

Support Services Review Template

Update Year: 2012

Unit Name:

Records Management Services

Today's Date: April 2, 2012

Unit Review Leader:

Mary Ann Bridges

Five Fundamental Questions

1. What are the primary services or outcomes provided by the support service area and what is the impact of those services and outcomes on students and other key stakeholders?

Records Management Services supports all of ACC through its program components which are listed below:

In compliance with the Texas Local Govt. Records Act and ACC AR#3.03.014, the Manager of Institutional Records (RMO) will establish standards and procedures for the proper care and storage of College records. This is the foundation of records Management Services. The unit serves students because records management requirements are binding on all offices and units of ACC. Functions include creation and maintenance of a records control schedule to identify essential college records. The records control schedule also identifies the retention periods of college records. This helps ACC staff better manage their records and operate more efficiently. This, in turn, supports student success. The RMO will also provide a centralized facility for storage of inactive College records identified on the College Records Control Schedule and determined to be inactive are eligible for storage in the Records Center. The Records Center is not to be used for storage of extra copies of documents, magazines, newspapers, books, or other non-record material. A secure, centralized storage facility ensures secure storage of inactive college records. This provides ACC's administrative and academic departments with needed space to operate more efficiently.

According to the Local Govt. Records Act; the Electronic Records Standards and Procedures, (LGC 205), the TX Public Information Act, and ACC AR#3.03.014, Records Management Officer will establish standards and procedures for the proper care and secure storage of College records. This requirement is fulfilled through the document imaging system. Student admission and financial aid records are maintained in electronic format to facilitate multi-user and geographically dispersed access, and to provide secure maintenance of sensitive student records in compliance with FERPA, HIPAA, and the Texas Public Information Act. Departments using the imaging system include Admissions and Records, Financial Aid, Advisors, Office of Students with Disabilities, virtual College of Texas. The service is available to all offices and units of the college upon approval of the RMO based on the evaluation of the records to be scanned.

AR 3.3.016. Gives RMS responsibility for the administration of College print-based forms. This includes revisions to existing forms as well as the creation of new forms in compliance with College administrative rules and procedures. The Forms Inventory is provided for all offices and units of the college. Efficient access to print forms enables students to access the right form at the right time.

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College unit/department managers have the primary responsibility for the proper and legal management of the records in their custody to ensure they are complete and accessible for the designated retention period. The destruction of any record identified on the College Records Control Schedule must be documented and authorized by the Records Management Officer.

RMS has contracted with a vendor which picks up confidential materials and shreds it onsite, certifying its destruction. This protects confidential and sensitive information in student and staff records, keeping ACC compliant with FERPA, HIPAA, and the Texas Public Information Act.

ACC's Historical Archives is a new initiative that will be maintained as part of the Records Management Program. Access to Materials will be provided through Records Management Services. Students benefit from ACC's strong historical foundation. The Archives will prove valuable to Community, Scholars, Educators, ACC Staff and students.

2. What are the strengths, weaknesses, opportunities, and threats present that enhance or hinder the unit's ability to provide those services and meet expected outcomes during the next five years?

STRENGTHS

RMS Staff

Knowledge

Manager: Training and Experience

- Masters of Library and Information Science (RM Specialty)
- 15 years' Experience in Records Management
- Electronic Records Conference (Cohassett)
- HIPAA

Imaging Supervisor: Training and Experience

- HIPAA Training
- ACC Academy
- Records Management Training
- ECM Certification
- TSLAC Records Management Classes
- HIPAA

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- 7 years experience in all facets of Fortis Imaging Software

Records Coordinator: Training and Experience

- Associates Degree in Information & Records Management
- RCAMS (Records Management) Software Training
- ARMA RIM 101 Training
- Texas State Library Training
- HIPAA
- 25 years' experience in the department.

Forms Manager: Training and Experience

- JAWS for Windows
- Dreamweaver Accessibility
- Knowbility AccessU
- MS Office Accessible Documents
- PDF Accessibility
- ARMA RIM 101 Online course
- TSLAC Records Management Classes
- AIIM Distributed Capture
- Records Management: RCAMS Accession Software
- HIPAA
- 4 years' experience scanning
- 2 years experience with forms

Auditor: Training and Experience

- Virus Awareness
- AIIM Webinar: Paper That Works - Get started with Distributed Capture
- TSLAC Records Management Classes

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- ARMA RIM 101
- Dreamweaver Accessibility
- PDF Accessibility
- Introduction to JAWS for Windows, the Basics
- Accessible MS Office Documents
- RCAMS Accession Software
- Understanding Photographs: Introduction to Archival Principles and Practices
- HIPAA
- 5 years' experience in position

Scanner

- ARMA RIM 101
- TSLAC Records Management Classes
- RCAMS Accession Software
- HIPAA
- 2 years' experience in position
- 13 years' experience at ACC
- Team Work
 - Scan-Audit Relationship
 - Staff works together to facilitate workflow
 - Cross-Training between records and imaging units
 - Staff works together to prep, scan, and audit documents.
 - Staff works together to meet deadlines
 - Peer-to-peer training.
 - After formal training, peers can step in and help with particular trouble spots.

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- Staff ready and willing to cover for each other

Technology

- Fortis Imaging System
 - Secure state of the art imaging system.
 - Opportunities for automated workflow.
 - Multi-user access from all campuses.
 - Opportunities for e-forms.
- RCAMS
 - Software integrated with Texas State Library retention schedules.
 - Web component for departmental access
- RMS promotes or facilitates legal and regulatory compliance
 - Records management laws.
 - Federal laws and rules.
 - FERPA, HIPAA, Public Information Act.
 - Efficient management of information.

Security

- Facility
 - Firewalls
 - Secure entry
 - Limited access to designated staff.
 - Location away from campuses
- Storage of inactive records
 - HIPAA/FERPA Compliance due to secure facility and staff training.
 - Inactive records removed from office space.
 - Secure destruction with certified shredding company.

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- Fortis Imaging system
 - Tiered access
 - Administrative
 - Editing
 - View only
 - Access limited to department using software.
 - Moving away from SSN access

WEAKNESSES

Implementation

- ACC Inventory
- Training of ACC Staff in basic records management
- Forms Process
 - Forms inventory
 - Management over all forms
- Project Completion

Records Outreach

- Public Relations
- Update Website

OPPORTUNITIES

Training for ACC Staff

- Mandatory training through Professional Development
- Mandatory scanner training by RMS
- Web training module on Records Management

College Outreach

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- Facility Open House
- Updated Webpage
- RM Newsletter

Archives

- Archives Facility with Reference Room
- Cold storage for magnetic media
- Clean room

Centralized Management

- Centralized scanning
- Forms Inventory and Control
- Approval for purchase of all desktop scanners
- Approval for purchases of all imaging software

THREATS

Administrative Neglect

- Lack of administrative support
- Inappropriate Job Descriptions
- Position Ownership
- IT Support

Regulatory Compliance

- Changing laws and rules
- Decentralized imaging
- Legal issues

Facilities

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- Crowded conditions
- Room for processing, storing, and providing access to archives
- Clean room for archival accessions

3. Using the answers to the first two questions, what improvements to primary services and/or intended outcomes will occur during the next five years?

1. Implementation.

- Using current RMS inventory plan, systematically inventory ACC Records department by department, using the inventory to update ACC records retention schedule.
 - Outcome: Updated, current, useable Retention Schedule
- Develop processes and procedures to change/update retention schedule as needed.
 - Outcome: Online forms to notify RMS of needed changes.
- Using RCAMS software, develop procedures and rollout use of online retention schedule and storage software.
 - Outcome: Improved access to RMS storage services and reduction of paperwork.
- Using online training, orientation training, and training classes, increase ACC employees' awareness of basic records management principles, laws, rules and best practices.
 - Outcome: ACC Staff trained in basic records management, enabling them to operate more efficiently.
- Plan and implement a Forms Inventory, systematically inventorying ACC Forms department by department and using the inventory to update ACC's online Forms inventory.
 - Outcome: Current list of approved ACC forms, using standard format to better identify ACC brand, and elimination of unauthorized, poorly designed forms.

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- Establish procedures to formally manage and approve all ACC forms in all formats, promoting good forms design, ADA compliant, standard format to promote ACC brand, and elimination of poorly designed forms.
 - Outcome: Improved legal compliance, accessibility, format and usability of ACC forms.
- Develop procedures and timelines to bring projects to completion in a timely manner.
 - Outcome: more projects completed in a timely manner.

2. Records Outreach

- Using e-newsletters, blogs, wikis, training and open-houses, expand the reach and brand of RMS.
 - Outcome: Increased awareness of records management and RMS services across ACC.
- Develop procedures to identify resources to update RMS website in a timely manner.
 - Outcome: Current information on RMS website.

3. Administrative Neglect

- Through reporting, events (EXAMPLE: open house), targeted services to key stakeholders, promote RMS's value and range of services to enhance position in ACC.
 - Outcome: Improved relations with upper level administration.
- Develop Job Descriptions to improve hiring process, accurately reflect duties of RMS Staff, and provide opportunities for staff upward mobility with appropriate training and experience.
 - Outcome: Trained, experienced staff to fill highly specialized positions in RMS and to attain positions in other ACC departments, improving records management and efficiencies across ACC.
- Through recognition and reward programs, recognize contributions of RMS staff for quality workmanship and efforts above and beyond service norms.

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- Outcome: Improved morale, continually improving quality of work, better hiring choices due to department reputation, and more RMS staff moving to higher level positions throughout ACC.
- Through reporting, effective communication, and positive feedback promote opportunities for teamwork with IT, recognizing and rewarding positive collaborative experiences (EXAMPLES: Bringing breakfast tacos to IT staff working on project).
 - Outcome: Improved relations with upper level administration.

Regulatory Compliance

- Develop procedures to work with departments to track changes on federal and state laws and rules that affect departmental record-keeping.
 - Outcome: More efficient and legally compliant management of information.
- Centralize management of imaging operations in Records Management Services.
 - Outcome: Ensure quality and accuracy of document imaging, and eliminate rogue imaging systems which may not be legally compliant or effective.

Facilities

- Expand shelving to cage to make room for processing destruction boxes.
 - Outcome: Safer work environment for RMS staff.
- Expand storage area and provide appropriate facilities for archival processing and viewing or plan for archival facility in Highland Mall space.
 - Outcome: Appropriate environment for processing and viewing archival materials.
- Build in the warehouse (or as part of the Archives in Highland Mall) a clean room with appropriate processing area and ventilation for processing archival materials coming into RMS.
 - Outcome: Safe environment in which to process archival materials covered with dust, and containing possible biohazards.

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4. How will the unit measure the extent to which planned improvements have resulted in better service or intended outcomes for students or other key stakeholders?

Primary Service Issue	Improvement	Measure	Baseline	Target	Current
1. Program Implementation:	Systematic approach to mission instead of responding to requests.	1. Department by Department Records Inventory	0	Yr1: 5 depts. Yr2: 5 depts Yr3: 5 depts. Yr4: 5 depts. Yr5: 5 depts.	0
1. Program Implementation:	Systematic approach to mission instead of responding to requests.	2. RCAMS web implementation.	Enter current Retention Schedule in software.	Yr. 1: complete retention schedule update and set up Storage Module online. Yr.2: Roll out to test department. Yr3: Write procedures. Train other departments. Yr.4: Continue adding other departments as records are inventoried and added to retention schedule. Yr.5: Ongoing.	0
1. Program Implementation:	Systematic approach to mission instead of responding to requests.	3. Online RM training: create online RM training classes for ACC staff.	0	Yr.1: Online class for faculty. Yr.2: online class for staff Yr3: Advantages of imaging. Yr4: Managing email. Yr5: Managing e-records.	0

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Primary Service Issue	Improvement	Measure	Baseline	Target	Current
1. Program Implementation:	Systematic approach to mission instead of responding to requests.	4. Forms Management Program: department by department inventory, forms update, and online ADA compliance.	Online forms inventory.	Yr.1: Online forms ADA compliance. Yr2: forms inventory (5 departments). Yr3: ditto Yr4: ditto Yr5: ditto	Online forms inventory, but no control over rogue forms and questionable ADA compliance.
1. Program Implementation:	Systematic approach to mission instead of responding to requests.	5. Establish procedures to formally manage and approve all ACC forms in all formats, promoting good forms design, ADA compliant, standard format to promote ACC brand, and elimination of poorly designed forms	Online forms inventory	Yr. 1: establish Forms committee. Yr.2: Develop common design and standards. Yr3: Develop procedures for requesting forms. Yr4: Develop online forms training. Yr5: Have all ACC forms ADA compliant.	Online forms inventory, but plethora of rogue forms and questionable ADA compliance.
1. Program Implementation: Systematic approach to mission instead of responding to requests.	Systematic approach to mission instead of responding to requests.	6. Project Management Tracking	Project Numbers for each project	Yr.1: Enter all new projects in project management software. Yr2: Develop plan to focus on project completion. Yr3: Work with Clients to develop hard deadlines for project completion. Yr4: Implement improved processes. Yr5: Review processes.	All projects have project numbers, but very little tracking.

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Primary Service Issue	Improvement	Measure	Baseline	Target	Current
2. Records Outreach:	Expand the reach and brand of RMS.	Begin e-newsletter. Set up wikis for help with technology. Establish online training. Hold open houses in RMS.	0	Yr.1: Begin e-newsletter. Hold open house. Create online training. Create RM Advisory Committee. Yr.2: Hold open houses. Continue e-newsletter. Hold online and in-person training. Yrs 3 – 4: Ongoing Yr5: Review processes for improvement.	0
2. Records Outreach:	Expand the reach and brand of RMS.	Develop procedures to identify resources to update RMS website in a timely manner.	0	Yr1: RMS Manager takes training to update website. Yrs 2 – 5: RMS Manager updates website.	0
3. Administrative Neglect	Improve administrative processes in RMS and improve administrative support.	Through reporting, events (EXAMPLE: open house), targeted services to key stakeholders, promote RMS's value and range of services to enhance position in ACC	0	Yr1: Hold open house. Develop short presentation advertising services. Establish RM Advisory Committee. Yr2: Develop small projects to help upper level administration. Yr3: If position improved, continue services. If not, develop new strategies. Yrs 4 – 5: Ongoing.	0.

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Primary Service Issue	Improvement	Measure	Baseline	Target	Current
3. Administrative Neglect	Improve administrative processes in RMS and improve administrative support.	Develop Job Descriptions to improve hiring process, accurately reflect duties of RMS Staff, and provide opportunities for staff upward mobility with appropriate training and experience	0	Yr.1: Review all jobs in RMS to determine actual tasks & workload. Yr2: Submit New job descriptions for review and approval. Yr3: Change current employees to new job descriptions. Yr4: Hire additional staff. Yr5: Review job descriptions and make improvements.	Job descriptions that do not match job duties.
3. Administrative Neglect	Improve administrative processes in RMS and improve administrative support.	Through recognition and reward programs, recognize contributions of RMS staff for quality workmanship and efforts above and beyond service norms.	0	Yr1: Develop formal & information internal reward & recognition systems. Yr2: Implement reward systems. Develop increasingly advanced training program for each position. Yrs 3-5: Review program and make appropriate changes.	0
3. Administrative Neglect	Improve administrative processes in RMS and improve administrative support.	Through reporting, effective communication, and positive feedback promote opportunities for teamwork with IT, recognizing and rewarding positive collaborative experiences (EXAMPLES: Bringing breakfast tacos to IT staff working on project).	Emails as needed.	Yr1: Working with IT and RMS staff, Develop plan to effectively work with IT staff on projects. Yr2: Test Plan and get input on effectiveness. Make changes as appropriate. Yrs 3-5: continue plan implementation, review, and make changes.	Repeated problems with communication on projects.

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Primary Service Issue	Improvement	Measure	Baseline	Target	Current
4. Regulatory Compliance	Improved legal compliance and standard procedures to track changes and update business processes and retention schedule accordingly.	Develop procedures to work with departments to track changes on federal and state laws and rules that affect departmental record-keeping.	0	Yr1: Review processes. Identify weaknesses and desired outcomes. Yr2: Work with depts to develop procedures to facilitate changes & help RMS track. Yr3: Implement procedures. Yr4: Survey for effectiveness. Yr5: Improve processes.	Missed opportunities to help RMS clients.
4. Regulatory Compliance	Improved legal compliance and standard procedures to track changes and update business processes and retention schedule accordingly.	Centralize management of imaging operations in Records Management Services.	Current program	Yr.1: Work with depts to plan transfer. Expand facilities accordingly. Get approval for RMS to approve all imaging projects. Yr2: Bring dept. 1 inhouse Yr3: Bring dept. 2 in-house. Yr4: Bring dept. 3 in-house. Yr5: Standard procedure: Imaging centralized in RMS.	Imaging scattered with mixed results on quality and legal compliance for legal requirements.
5. Facilities	Upgrade or expand facilities to meet growing demand and changing program.	Expand shelving in cage to facilitate destruction. Provide safer environment for records destruction and clear main area for current inactive storage.	0	Yr1: Add shelving to budget. Yr2: Add moveable shelving to cage. Yrs 3-5: Complete	Unsafe conditions

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Primary Service Issue	Improvement	Measure	Baseline	Target	Current
Primary Service Issue	Upgrade or expand facilities to meet growing demand and changing program.	Expand RMS to provide appropriate facilities for archival processing & viewing or plan archival facility in Highland Malls	0	Yr1: Plan for expansion or archive facility that meets national and state standards. Yr2. Appropriate budget. Yr3. Expand facilities. Establish processing procedures Yr4: Implement. Yr5: N/A	Appropriate environment for processing and public viewing of archival materials.
5.Facilities	Upgrade or expand facilities to meet growing demand and changing program.	Build in the warehouse (in Highland Mall) a clean room with appropriate work area and ventilation for processing archival materials coming into RMS. Provide Safe environment in which to process archival materials covered with dust, & containing possible biohazards.	0	Yr.1: Plan facility meeting health, safety and archival standards. Yr2: Let contract and get bids. Yr3: build facility. Create procedures for processing materials. Yrs 4-5: N/A	Dirty boxes come into storage area to be processed.
5.Facilities	Upgrade or expand facilities to meet growing demand and changing program.	Build cold storage for magnetic media.	0	Yr.1: Determine if ACC will retain original media and convert, or just convert. That will determine the size needed for storage. Still need it for negatives. Plan unit. Yr2: Bid out storage. Yr3. Build unit. Yrs4-5: N/A	Shelving for media.

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5. How will the planned improvements align with and contribute to the Mission and Intended Outcomes of Austin Community College?

Mission: The ACC District promotes student success and improves communities by providing affordable access to higher education and workforce training in its eight-county service area.

Outcome: Efficiently administered programs and services that create an institution that is a good place to work, learn, and otherwise experience the higher-education process.

1. Program Implementation: Systematic approach to mission instead of responding to requests. By conducting a department-by-department records inventory (inventories are the foundation of a records control schedule); implementing the RCAMS web software to facilitate records storage and destruction; provide online records management training for ACC staff; implement a formal forms management program; and using project management software, departments will operate more efficiently by managing information for effectively. Through more effective outreach, ACC staff will be more familiar with the services and staff of Records Management Services and, hopefully, improve efficiencies by implementing basic records management processes. By improving administrative support, Records Management Services will better serve ACC departments which, in turn, serve ACC students and constituents. Improved legal compliance and standardized procedures would help ACC staff implement records management processes and procedures and, as a result, improve efficiencies in ACC departments. Upgrading or expanding facilitates to meet growing demand and changing program, would help Records Management Services operate more efficiently and, subsequently, better serve ACC departments which would operate more efficiently.