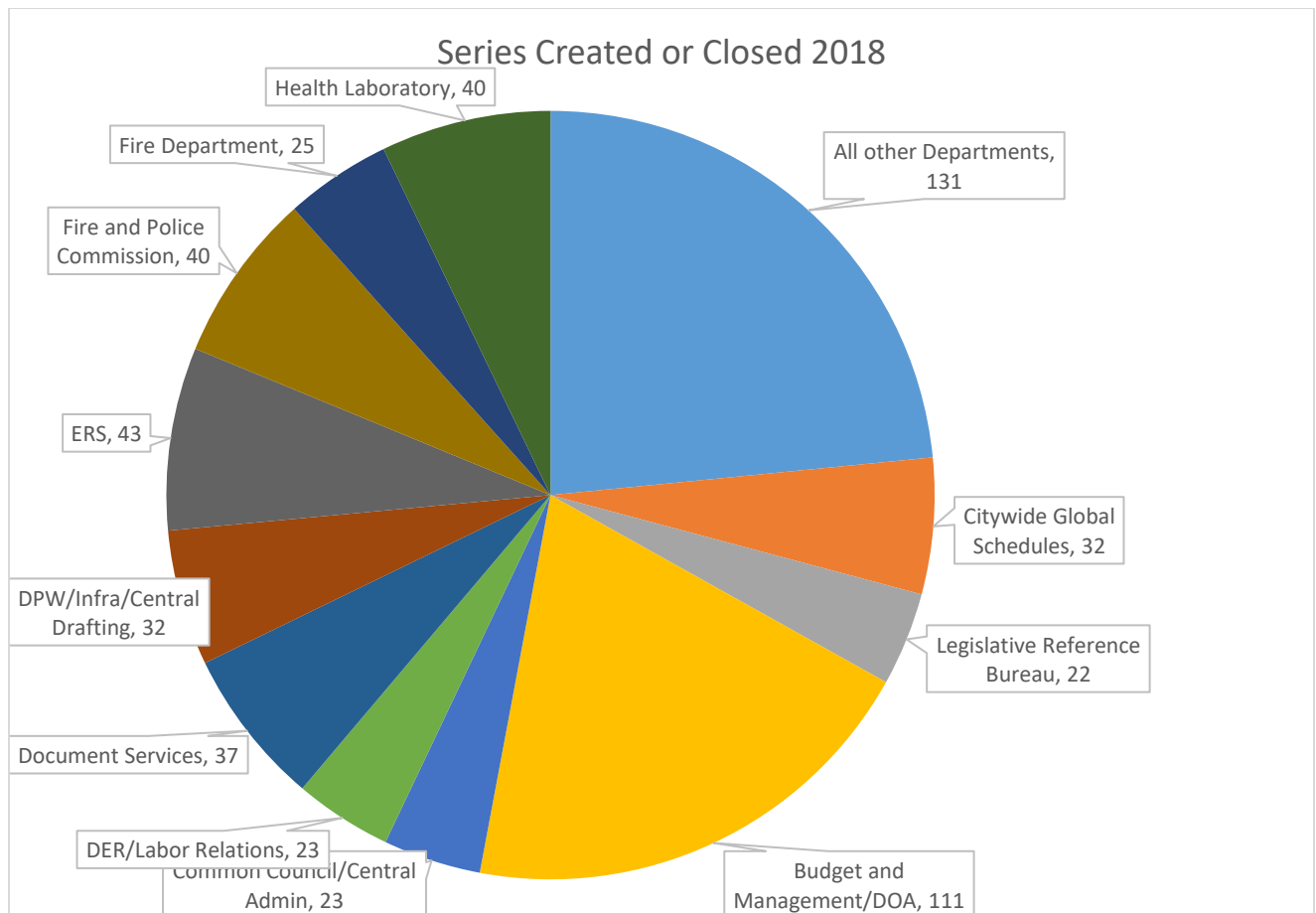


# Document Services Section Records Management Activities for 2018

## Records Schedules and Scheduling

### Over 500 schedules reviewed in FY 2018

In 2018, The Document Services Section reviewed **559 retention schedules from 39 city departments and divisions**. All of these schedules were eventually submitted to the City Information Management Committee for review and approval. The largest single department contributor of schedules to that total was the Office of Budget and Management, which renewed or closed 111 records schedules in the second quarter. (See below for a comprehensive breakdown).



### 151 schedules to State Records Board for approval

With regards to State Records Board activity, **151 records schedules** were submitted to the Wisconsin Public Records Board for approval. This disparity is a result of the PRB's preference to only review schedules for authoritative copies of active records. Schedule close requests are delivered to the State

Records Center for recordkeeping purposes only and do not need to be approved by the full board. This process has been greatly accelerated by implementation in late 2017 of a mass close schedule form, which has abrogated the need to fill out a records schedule for each individual closed schedule and therefore reduces the burden on records creators and department heads to sign dozens of individual forms. It is no exaggeration to say that without implementation of this form, only a fraction of these series could have been realistically closed in this timeframe.

### More than half of all substantive schedules for new series

Of the 151 schedules mentioned above, **97, or 64%, are new schedules for records which had previously not had formal records retention and disposition authorities.** This high number is a direct result of outreach to departments which in some cases had not had formal contact with City Records for records management for over 15 years, during which time the records being created by those departments shifted dramatically. In at least one case, successful outreach led to records schedules for a department, Environmental Collaboration Office, which had never had schedules associated with **any** of its records. Additionally, this outreach effort led to updated schedules for a huge number of archivally-significant offices and series, including a set of more granular retention schedules for aldermanic records (allowing for more accurate appraisal during archival processing), a set of schedules for key Mayoral records, and formal schedules for the new Common Council File workflow.

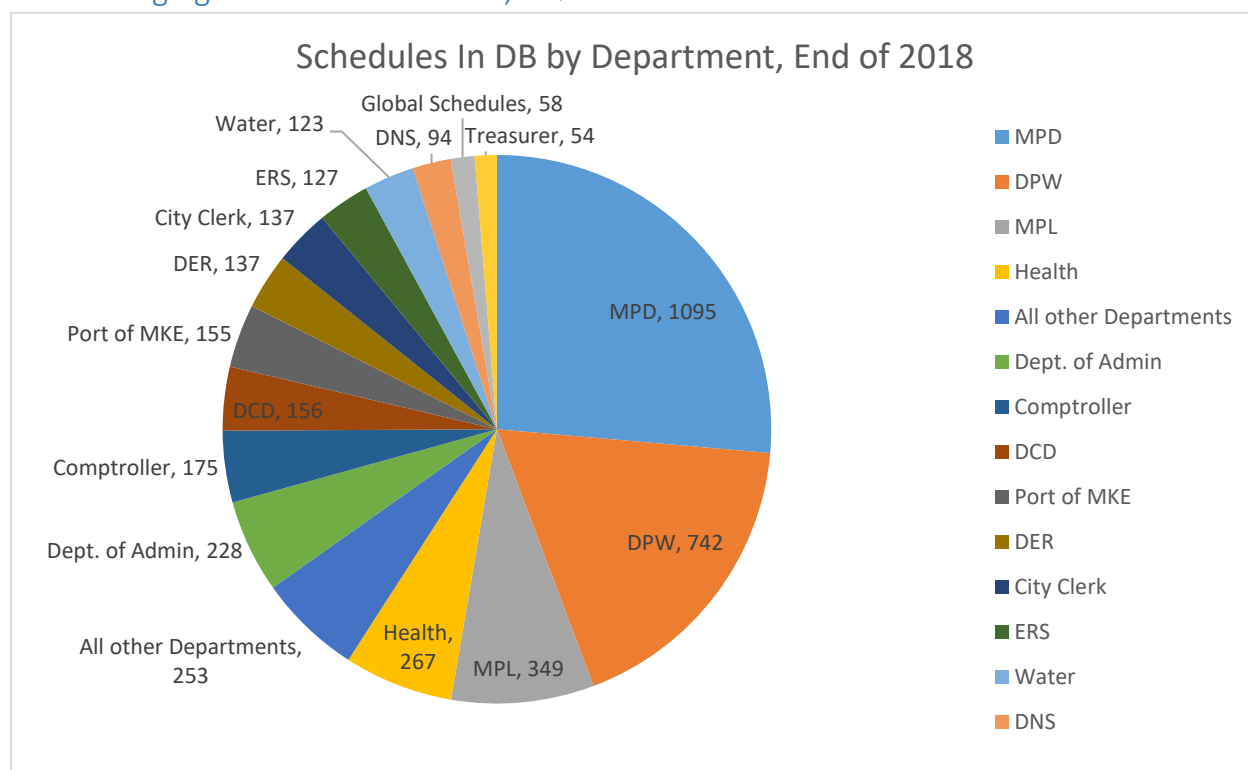
## Special Initiatives and Projects

### RMS replacement projected for April 2019 rollout

Regrettably, the timeline suggested in the 2017 report of having a new system in place by March of 2018 was wildly optimistic—as of this writing in February 2019, we are still using the Castle Group CRMS, due to a number of miscommunications and failures to fully detail our requirements. Most notably, we piloted one replacement system in March that seemed promising, but because of the international origin of the vendor and the complexities of the procurement process, we were not able to bring a contract with that vendor to a satisfactory conclusion. This failure did, however, provide the impetus to explore a number of other vendors' offerings, including product demos and in one case a site visit to a local government user of one of the products to assess their satisfaction.

In December 2018, following the final withdrawal of the vendor mentioned above, we converted our original exception to bid request into a formal RFP, which went live in late January. As of this writing, an evaluation committee has been convened to assess the proposals and hopefully make a recommendation to purchase a usable replacement. We have placed greater access on remote accessibility and integration with barcoding technology, which should allow us to make a number of efficiency improvements in the way boxes are received, requested, and managed.

## CRC managing over 4000 schedules; 84% obsolete

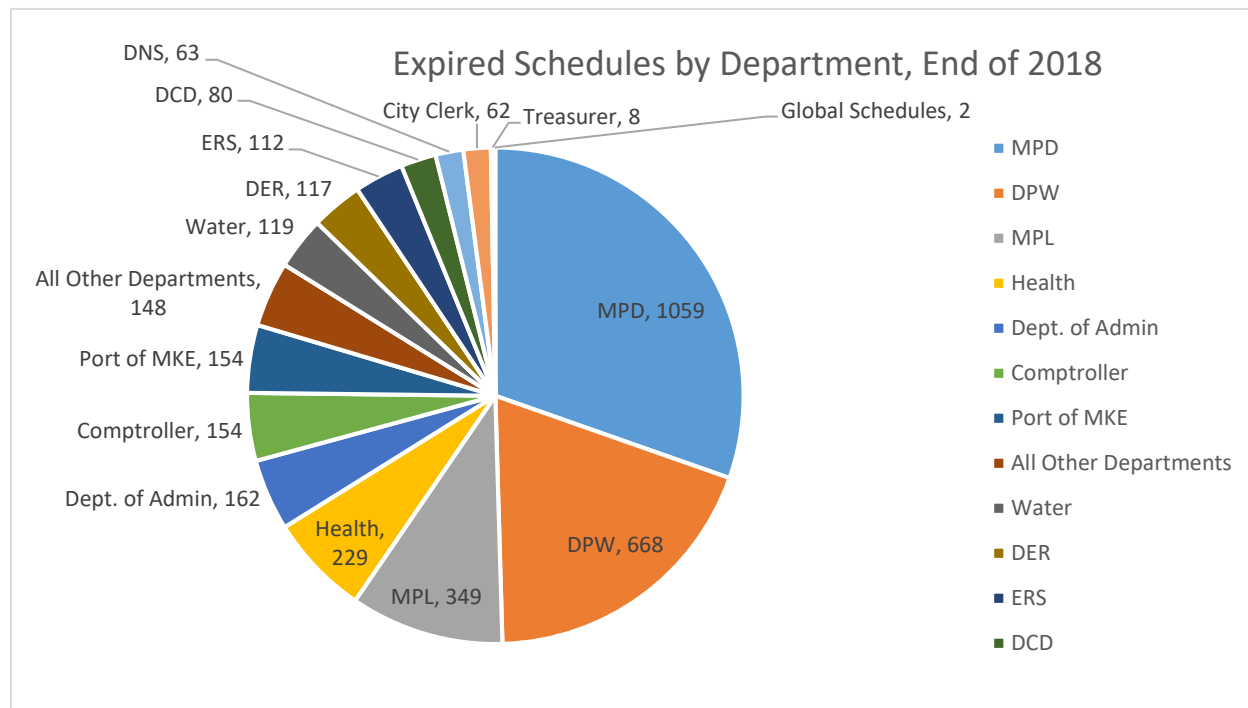


After adjusting for schedules that are still in the database for reference purposes but have officially been closed or obsoleted, City Records is currently maintaining **4,150 records schedules**. Of these, 3,486 are expired or obsolete, but have not yet been approved for closure by the controlling department. The absolute number of schedules being maintained as active thus appears to have fallen only by 97 from 2017 (761-664), but that number is not fully reflective of the 408 schedules closed as obsolete or superseded by global schedules, compared to the 97 new schedules (for a net of **-311 schedules**). The disparity comes from the manner of adjustment--- as schedules are superseded, they are moved to the “obsolete schedules” area of the database, which changes the working denominator of the calculation. A better measure might be ratio: **84% of schedules in our database are obsolete as of 2018, compared to 87% of schedules in the 2017 calculation.**

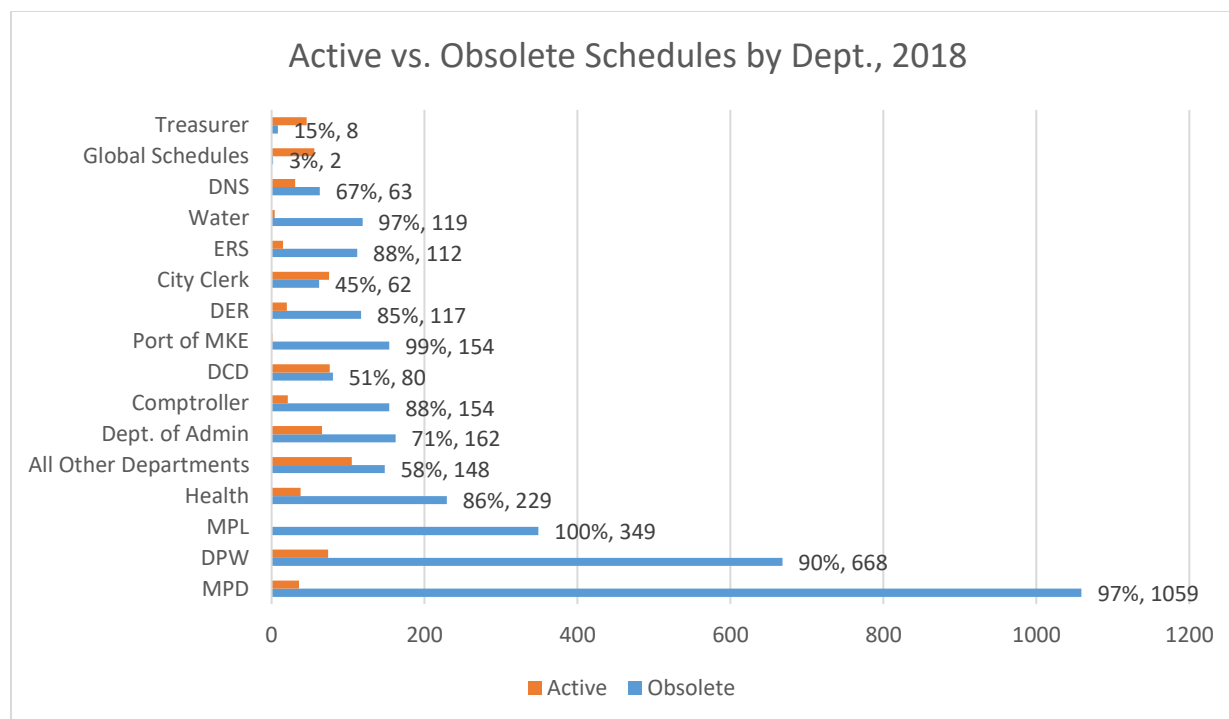
### Challenges remain for DPW/MPD schedule creation

The process of closing obsolete schedules is made more challenging by the fact that just under half of all obsolete schedules are concentrated in just two large departments. In both of these cases, the overcentralization of records management responsibilities within the department has contributed to this issue. DPW, for example, has one official records coordinator to maintain the records for 3 major divisions and 18 discrete units, in addition to fulfilling her other job duties; in light of this, it is small wonder that there are 668 expired schedules in their unit. Likewise, the Police Department maintains schedules in 26 distinct units with only one records coordinator; to further complicate matters, the long-time records coordinator retired this year, and no indication has been made by her nominal replacement that reviewing records schedules is a priority. To the extent that either of these Departments had any schedule activity at all, it was a result of speaking with section heads in their roles as unofficial records subcoordinator. Both DPW and MPD were largely nonresponsive to the CRC’s late

2017 call for official subcoordinators; with new leadership and personnel in both Departments, we are hoping that a renewed call (to be sent to Department Heads in Q2 of 2019) will produce more fruitful results.



As the below chart suggests, this report would be remiss if it did not also mention the schedules of the Milwaukee Public Library and the Milwaukee Health Department, nos. 3 and 4 for absolute number of expired schedules. Activities around the Health Department are described below; MPL is also on the department target list for 2019, hopefully with an internal assist from the new manager of the Humanities division.



### [Fiscal/Accounting Global rolled out; Payroll Schedule in development](#)

The Fiscal/Accounting Global was completed and approved by CIMC and the State Records Board in Q2 2018; City Records has since been rolling out the global on a department-by-department basis during records surveys and schedule reviews. An enormous portion of schedules superseded in FY 2018 were superseded by Fiscal/Accounting general schedules, and there are many, many more potential schedules to target in 2019.

The other major global schedule worked on during 2018 was for payroll records. A working group comprised of representatives from DER, the Comptroller's Office, and DPW was convened to discuss their central recordkeeping needs and those of the payroll officers in other City departments; this working group provided feedback on a draft schedule in August 2018. Unfortunately, the intersecting nature of HRMS, FMIS, and CityTime meant that it was necessary to involve ITMD to get a full accounting of the recordskeeping process and the records created, and here the process of putting schedules together has stalled. City Records hopes in 2019 to reopen conversations with ITMD to further explore the records generated from the various databases, and how they interact, with a goal of submitting a payroll global to CIMC and the state by the end of the year.

### [Statewide Personnel and Municipal Records Schedules create opportunities](#)

During 2018, the Wisconsin Public Records Board passed two statewide general schedules that impact City of Milwaukee records functions, specifically a general schedule for Personnel records and one for Municipal Records. The Personnel schedule included a number of changed retention periods or new supporting statutes from when the City Personnel Records global was approved in 2015; using these schedules as a model, existing series descriptions and retention periods were updated and at least one new series was identified for scheduling. These schedules are awaiting review by DER, at which point they will be submitted for feedback to records coordinators from all departments.

The Municipal Records schedule, although intended largely for smaller cities with little or no existing records management support, nevertheless provides a useful benchmark of series that a given municipality should be creating and suggested retention times for same. City Records Staff performed an analysis of the over 150 schedules contained in the state document to determine correspondences with existing City Schedules. We determined that 82 of the series in the state general schedule had corresponding, active schedules within the City as of the end of 2018; 9 additional schedules either had correspondences but needed renewal, or have since been created. Of the remainder of series in the State schedule, 12 appear to be appropriate for global schedules; the rest relate to department-specific records not previously identified in surveys of the relevant departments in the City of Milwaukee. We will be looking to these series as an outreach tool in 2019, as a records management “quick win” to get recalcitrant records coordinators used to the idea of working on records schedules. This, in turn, will hopefully lead to a more sustained approach to keeping schedules up to date.

### [City Records Management Policy awaiting Common Council approval](#)

Following a few rounds of feedback from this committee, a final draft of a records management policy for the City of Milwaukee was submitted and approved by the CIMC and vetted by City employee representatives through the DER meet-and-confer process. The policy has not yet been referred to the appropriate Common Council committee for approval; once it appears on their agenda City Records Staff will prepare to answer any questions they might have about bringing the policy into force. We have in the meantime identified both a list of potential archival records series to which we might provide access in the Municipal Research Center, and a list of obsolete schedules to close once the policy is in effect and global schedules become opt-out (as opposed to opt-in, as the system currently works). This latter portion of the policy in particular should allow us to greatly reduce the number of obsolete schedules to sort through for most departments.

### [Massive survey of Health Department records and retention schedules](#)

The Health Department’s hire of a new operations director, in conjunction with the appointment of a new commissioner, provided City Records with an unprecedented opportunity to reshape records management within the large, complex department. Throughout the latter half of 2018, we worked with the operations director to explain records management and the applicability of the current retention schedule for the department, and how we could assist with updating that schedule and surveying records for disposal and/or archiving. This conversation culminated in a presentation to all Health Department Staff, where City Records representatives explained the importance of good records management and the services we provide to departments. As will be evident from the number of schedules from MHD being submitted to CIMC for Q1 2019, this outreach work has borne fruit in the creation of a number of new schedules, the renewal or closure of some others, and an influx of boxes from the Health Department, including a large number of archival records. More boxes and further schedule development is expected in 2018.

## Goal Summary for 2018-2019

Goal	Status	Notes
<b>Create and approve city-wide records management policy</b>	Approved by CIMC	Waiting for Common Council Action
<b>Continue renewing or closing obsolete retention schedules</b>	Ongoing	559 retention schedules submitted this year, including 97 new schedules.
<b>Improve time-to-process of incoming and outgoing records</b>	Partially Achieved	Approx. 90% of records are in their home in the stacks within a week of transfer.
<b>Complete migration to new version of RMS and develop RFP for a commercial solution</b>	In Progress	RFP evaluation is on-going; projected decision April 2019, with migration/training to follow
<b>Develop and Implement records management training programs city-wide</b>	Ongoing	Still looking for ways to expand reach of records management at a Citywide level. Department-level presentations were well-received.
<b>Develop processes/procedures for appropriate ingest of electronic records</b>	In Progress	Working with Heartland Business Systems to determine how to fully leverage the Enterprise Document Management component of FileDirector.
<b>Review and revise the City Vital Records program</b>	In Progress	This was low on the priority list for 2018 but will hopefully receive some focus in 2019.
<b>Provide basic archival description and archives service to members of the public in the Municipal Research Center</b>	In Progress	Common Council Files, Aldermanic Records, Historic Preservation Records are among priority targets for public access.
<b>Expand Citywide training and implementation of electronic records management</b>	In Progress	This includes both management-in-place and opportunities to integrate with FileDirector e-records capabilities.