Detailed Follow Up Report - Auditor Determined Status

Rec#	Recommendation	Auditor FollowUp	City Auditor's Status	Closed
2207	**City Clerk Operations**		**Issued:**	**6/15/2022**
1A	The City Clerk should develop a records management training program that includes in-person and computer-based training options and provide the training to, at a minimum, the departmental Records Coordinators and other staff with records management responsibilities. As well, the training program should address how to apply requirements to electronic documents, such as those in the City's document management system.	Sept 2022: The City Clerk's office reported that a revised training program is being developed that will include an in-depth, in-person component to be conducted at least twice yearly. One component will address records management in the City's document management system. This training is scheduled to be implemented by December 2022. Additionally, a computer-based training option will be developed to provide a high-level overview of records management functions and responsibilities. This option is planned to be implemented by March 2023. Jan 2023: The City Clerk reported that this work is still underway, and they met with the HR department to plan how to implement the training through Scottsdale University, the online training management system. May 2023: An in-person training has been developed and provided to the City's Records Coordinators. A 30-minute computer-based training has also been created, and the department is working with HR and IT to test the presentation before rolling it out. Aug 2023: The online training is now available and records coordinators have been directed to complete the training.	Implemented	☑
1B	The City Clerk should create a process to ensure annual or biannual reviews of Records Inventories, including tracking review request dates, responses, and date the inventory was last reviewed. Also, ensure the records inventories are reviewed for accuracy and to address any discrepancies with State Library retention requirements.	Sept 2022: The City Clerk's office reported that records inventories are being reviewed to ensure compliance with State Library retention requirements. Besides noting a Last Updated date when changes are made, the City Clerk staff will be noting a Last Reviewed date when an inventory is reviewed but not changed. This process is planned to be implemented by December 2022. Auditors observed that recent review dates were not yet noted on Sharepoint inventory documents. Jan 2023: Auditors verified that the update and review information is now being captured in the most recently available records inventory documents.	Implemented	☑

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1C	The City Clerk should require the Records Manager to contact departments that do not submit Certificates of Records Destruction at least annually to determine if additional guidance is needed. Also, review the submitted certificates for accuracy before filing them with the state. Further, consider creating a City form to collect the required record destruction data or attaching Scottsdale-specific instructions to the State Library form to clarify the process to be followed.	Sept 2022: The City Clerk's office developed an instructional cover page with guidance on how to correctly fill out the destruction request documents. Additionally, the office reported they are reviewing all destruction requests to ensure the forms are correctly filled out and the retention period has been met. Further, by January 2023, they will follow up on an annual basis with any departments not submitting destruction requests. Jan 2023: The City Clerk reported that in January 2023, they emailed departments that had not submitted destruction requests in the last 12 months. He provided an example email, which included the requirements and illustrated where to find the form and submit it.	Implemented	☑
1D	The City Clerk should resume records inspections and update the Records Inspection Report form to include offsite records storage and electronic records management.	Sept 2022: The City Clerk's office reported that the inspection report form was updated to include offsite records storage and electronic records management. Also, records inspections resumed in August 2022. Auditors reviewed one of the recent inspection reports.	Implemented	☑
1E	The City Clerk should collaborate with Information Technology to automate, where feasible, the key tasks required for timely, accurate and compliant records management.	Sept 2022: The City Clerk's office reported that they are working with Information Technology staff to create an online solution where Records Officer information can be stored and records destruction requests submitted. This portal has been developed and is being tested. They anticipate implementation by February 2023. Jan 2023: The City Clerk reported that the online portal was implemented in November 2022. Only the designated Records Officers will have access to the portal, so the departments will need to update the Clerk's office when their records coordinator changes. Auditors reviewed the communication of the new process sent to the records coordinators.	Implemented	☑

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2	The City Clerk should consider providing on-demand computer-based trainings for Board and Commission staff liaisons as an alternative or supplement to the current individual training.	Sept 2022: The City Clerk's office reported that in-person and virtual training sessions are currently held to review items related to AR 121 Legal Postings and the Open Meeting Law. Additionally, by February 2023, a computer-based training option will be developed to provide a high-level overview of board and commission functions and responsibilities. Jan 2023: The City Clerk reported this work is still underway and expected to be completed in March 2023. May 2023: A computer-based training for board and commission liaisons is being developed. Aug 2023: The department reported that the computer-based training is being recorded and tested. It is expected to be completed within the next few months. Dec 2023: Auditors confirmed the computer-based training has been completed and provided to board and commission staff liaisons.	Implemented	☑