

# Records Management, Access & Privacy

Led by: City Clerk's Office

## Description:

Records Management, Access & Privacy provides the framework and tools for the effective management, protection, preservation and release of records by the Corporation.

## Customers:

- City employees;
- Requestors under FOIP;
- Business Unit Records Management and Information specialists.

## What is delivered to customers:

This service provides managed documents, processes FOIP requests, investigates privacy breaches, completes privacy impact assessments and delivers records-related training and support.

## Partners:

- Information Technology
- Information Security (Corporate Security)
- Business Unit Records and Information Specialists
- FOIP (Freedom of Information and Protection of Privacy)
- Program Administrators in all business units

## Service need (value proposition):

This service ensures The City is able to provide, protect and preserve its records in order to meet operational, legal, fiscal and archival requirements. It also ensures a balance between the public's right to know and an individual's right to privacy.

## Current state service value

<p><b>63%</b> FOIP On-Time Rate (2017)</p> <p><b>95%</b> Records Management Training satisfaction</p>	<p><b>14</b> FOIP Program Admins &amp; EAs trained (2017)</p> <p><b>1,022</b> Staff trained on Records Management</p>	<p>2018 Budgeted Gross Operating Expenditures Funding Breakdown (\$ Millions)*</p> <p><b>\$180</b> Annual Records Management, Access &amp; Privacy cost per City employee</p> <p><small>* Gross operating budget and the service cost ratio may include internal recoveries that are also included in other services' gross operating budget.</small></p>
<p><b>Connections to Citizen Priorities</b></p>		<p><b>What the service includes (\$000s)</b></p> <ul style="list-style-type: none"> <li>• Records Management = \$1,521;</li> <li>• Archives = \$804;</li> <li>• Information Access = \$702;</li> <li>• Privacy = \$365.</li> </ul> <p><b>Key Capital Investments</b></p> <p>Capital funding will allow the Corporation to better manage electronic records, including developing and implementing processes and procedures, training users, and developing effective document repositories.</p>



# What we've heard and service outlook

## What we heard: Research & Engagement Results

Customers interviewed during an internal engagement expressed an increasing desire to see greater support, tools and training on the management of electronic records. Internal customers have also expressed a desire for more training on the administration of the FOIP Act, as well as more information with respect to privacy obligations. Internal and external Archives users desire more online archival records. In 2017, requestors of information through the FOIP Act expressed dissatisfaction with both the timeliness of responses and the content made available through release, as well as the user fees assessed.

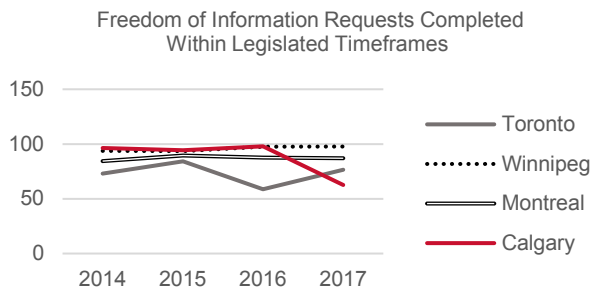
## What Council has directed

- W2 – This service supports all business units and services to be as efficient and effective as possible through streamlined management of records and information.
- W3 – Available records and access provides citizens with information to be used in making improvements to their communities.
- W4 – By providing the framework for Records Management, Access and Privacy this service allows The City to make informed decisions on risk and to innovate through service delivery.
- The Records Management, Access and Privacy service does not align with any specific long-term plans.

## What are we watching?

The growing use of technology will lead to the creation of more electronic records, with much of it in unmanaged repositories such as email. The public increasingly expects greater transparency and access to information while also expecting privacy to be appropriately protected. As unmanaged records and information increase in volume, the corporation's exposure to legal and compliance risk increases.

## Benchmarking



The FOIP Program has seen an increase to the number of requests in recent years, and an increase to the complexity of requests in general. More resources have been required to address the volume, while also dedicating resources to administer Privacy Impact Assessments for the Corporation and investigate privacy breaches. Greater information sharing with other jurisdictions and even more emphasis on employee education are intended to improve legislative compliance.

Source: Municipal Benchmarking Network Canada

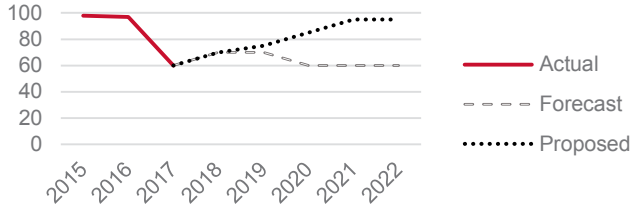
## What matters to Calgarians

VALUE DIMENSION	DESCRIPTION
Availability	City employees are able to locate, provide, protect and preserve records in order to meet requirements.
Informs	The City releases information in accordance with legislation and engages in proactive disclosure where appropriate.
Reliability	Employees and the public can rely on the expertise of staff in matters of privacy, records and information access.
Legislative Compliance	Employees comply with the legislation, regulation and policies governing records management, access and privacy.



# How is the Service performing? Where we are headed and where do we want to go?

FOIP on-time rate (Percentage of concluded FOIP requests that were completed within the legislated timelines)

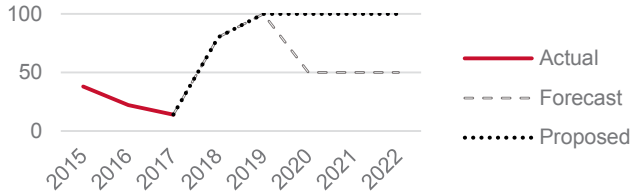


## Story behind the curve

### FOIP on-time rate

Temporary staff shortages combined with an increase in the volume and complexity of information access requests and Privacy Impact Assessments (PIAs) has led to a drop in the on-time compliance rate of the FOIP Program. In addition, the volume and complexity of privacy-related requests (including PIAs and privacy breaches) has required a greater amount of staff effort. Staffing actions and a business process review will allow the sub-service to refocus efforts on completing information access requests in a timely manner.

FOIP Training volume (Number of employees (PAs, Alternates & EAs) who received City of Calgary FOIP training in the listed calendar year.)



### FOIP Training volume

Temporary staff shortages combined with an increase in the volume and complexity of access to information requests has led to a drop in the ability of FOIP staff to offer access and privacy training to the Corporation. Staffing actions and a business process review will allow the sub-service to focus on increasing training amounts and look at alternative training delivery methods.

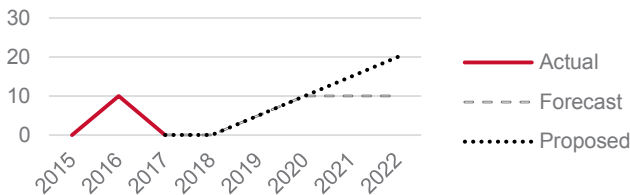
Records management training satisfaction (Percentage of Corporate Records training attendees who rated the courses as good or excellent.)



### Records management training satisfaction

Records Management training is a key foundation of administering an effective Corporate Records program. Satisfaction rates reflect both the content of the sessions and the approach taken by records analysts and administrators who conduct the training. Training is often updated to account for any changes to software, policies or guidelines, which require regular review to remain current and effective. The service will aim to maintain satisfaction levels while exploring enhanced delivery options.

Disposition compliance rate (Percentage of system-hosted records eligible for disposition that were submitted for disposition each year)



### Disposition compliance rate

Disposition is a key step in the management of official records. Business units control the rate at which disposition occurs, supported by their Business Unit Records Coordinator (BURC) and by Corporate Records. While disposition has been on hold for two years due to ongoing technology upgrades, disposition processes for both physical records and electronic records (new) will ensure a greater volume is processed. Investments in short-term assistance to address the backlog of records will help ensure future performance improvements.



## What do we propose to do?

### What we propose to continue doing

STRATEGY
Provide the framework and tools for the management and preservation of records.
Implement the recommendations of the 2018 business process review.
Administer the FOIP program.

#### Why?

This service will continue to provide the framework and tools for the effective management, protection, preservation, and release of records by the Corporation. Implementation of the outcomes of the 2018 Business Process Review will continue, ensuring that resources are aligned to priorities and well-designed processes are in place.

### What we propose to do less of

STRATEGY

#### Why?

While implementation of business process reviews may identify opportunities to "do less" of specific processes, the service will be enhancing the level of service over the business cycle and is not proposing to do less of any specific area of work.

### What we propose to do more of or include as a new offering

STRATEGY
Prioritize completing access requests within the legislated timelines.
Complete Privacy Impact Assessments in a timely manner.
Dispose of records as appropriate.
Increase staff complement to address volume and complexity.

#### Why?

There will be an increased focus on completing access to information requests in compliance with legislation. Through existing project funding and new investments there will be an emphasis on developing and implementing new disposition tools for both electronic and physical records, allowing the Corporation to dispose of records that are past their retention date and no longer serve an operational, financial, legal or archival purpose.



## What Operating Budget do we need to achieve these results and strategies?

For Council Approval

SERVICE PERFORMANCE RESULTS FOR 2019-2022	CURRENT	TREND
FOIP on-time rate (Percentage of concluded FOIP requests that were completed within the legislated timelines)	70	↑
FOIP Training volume (Number of employees (PAs, Alternates & EAs) who received City of Calgary FOIP training in the listed calendar year.)	80	↑
Records management training satisfaction (Percentage of Corporate Records training attendees who rated the courses as good or excellent.)	95	↔
Disposition compliance rate (Percentage of system-hosted records eligible for disposition that were submitted for disposition each year.)	0	↑

### Breakdown of net operating budget (\$000s)

	2019	2020	2021	2022
Previous Year's Budget	3,389	3,554	3,839	4,099
Less Previous Year one Time	-	-	-	-
Base	3,389	3,554	3,839	4,099
Revenue Changes	-	-	-	-
Internal Recovery Changes	-	-	-	-
Inflation	165	45	45	45
Operating Impact of Previously Approved Capital	-	-	-	-
Operating Impact of New Capital (Incremental)	-	-	215	-
Efficiencies	-	-	-	-
Service Reductions	-	-	-	-
Service Increases	-	240	-	-
One Time	-	-	-	-
Realignments	-	-	-	-
Total	3,554	3,839	4,099	4,144

### Total Operating Budget (\$000s) for Approval

	2018 Budget	2019			2020			2021			2022		
	At Mar 31	Base	One-Time	Total	Base	One-Time	Total	Base	One-Time	Total	Base	One-Time	Total
Expenditure	3,392	3,557	-	3,557	3,842	-	3,842	4,102	-	4,102	4,147	-	4,147
Recoveries	-	-	-	-	-	-	-	-	-	-	-	-	-
Revenue	(3)	(3)	-	(3)	(3)	-	(3)	(3)	-	(3)	(3)	-	(3)
Net	3,389	3,554	-	3,554	3,839	-	3,839	4,099	-	4,099	4,144	-	4,144



# Recommended Capital Investment to Support Service Delivery

For Council Approval

## Capital Budget for Council Approval

ACTIVITY	DESCRIPTION	2019 REQUEST (\$000s)	2020 REQUEST (\$000s)	2021 REQUEST (\$000s)	2022 REQUEST (\$000s)	2023+ REQUEST (\$000s)	Total REQUEST (\$000s)
Annual Investment Program(s)		-	-	-	-	-	-
Project(s)		280	500	280	500	-	1,558
471997	Content Suite (Phase 2) - EDRM	280	500	280	500	-	1,558
Program(s)		-	-	-	-	-	-
<b>Sub-Total (New Budget Requests)</b>		280	500	280	500	-	1,558
Previously Approved Budget Remaining		470	392	-	-	-	862
<b>Total Capital Investment</b>		750	892	280	500	-	2,420

## Explanation of Capital Budget Requests

### Project(s)

#### Activity 471997: Content Suite (Phase 2) - EDRM

New Budget Request of \$1,558 thousand for continuation of work relating to Content Suite - Enterprise Document and Records Management (EDRM).

Funding from Lifecycle Maintenance & Upgrade Reserve

Operating Impact of Capital: This request requires \$215 thousand base funding of operating costs starting in 2021.