

**SUBMITTAL TO THE BOARD OF SUPERVISORS
COUNTY OF RIVERSIDE, STATE OF CALIFORNIA**

237A



FROM: Assessor-County Clerk-Recorder / Records Management and Archives Program

SUBMITTAL DATE:
December 13, 2011

SUBJECT: Records Management and Archives Program (RMAP) FY10/11 Annual Report and Business Plan

RECOMMENDED MOTION: That the Board of Supervisors receive and file the FY10/11 Annual Report and Business Plan

BACKGROUND: Board policy A-43 requires that the Records Management and Archives Program submit to the Board of Supervisors annually a report that summarizes the activities of the program. The attached FY10/11 Annual Report includes an Executive Summary, Key Accomplishments and Financial Performance statements. In addition, as required by Board policy A-43, the Annual Report is followed by RMAP's five year Business Plan.

Departmental Concurrence

Larry W. Ward
Assessor-County Clerk-Recorder

FINANCIAL DATA	Current F.Y. Total Cost:	\$	In Current Year Budget: Budget Adjustment: For Fiscal Year:
	Current F.Y. Net County Cost:	\$	
	Annual Net County Cost:	\$	

SOURCE OF FUNDS:	Positions To Be Deleted Per A-30	<input type="checkbox"/>
	Requires 4/5 Vote	<input type="checkbox"/>

C.E.O. RECOMMENDATION:

APPROVE

BY:
Karen L. Johnson

County Executive Office Signature

- Dept's Recomm.: Policy
- Per Exec. Ofc.: Policy
- Consent
- Consent

MINUTES OF THE BOARD OF SUPERVISORS

On motion of Supervisor Buster, seconded by Supervisor Ashley and duly carried by unanimous vote, IT WAS ORDERED that the above matter is received and filed as recommended.

Ayes: Buster, Tavaglione, Stone, Benoit and Ashley
Nays: None
Absent: None
Date: December 13, 2011
xc: ACR

Kecia Harper-Ihem
Clerk of the Board
By:
Deputy

Prev. Agn. Ref.: | **District:** ALL | **Agenda Number:** 2.2

ATTACHMENTS FILED
WITH THE CLERK OF THE BOARD

County of Riverside
Records Management & Archives Program



Annual Report

FY 10/11

For Fiscal Year Ended
June 30, 2011



Records Management & Archives Program

TABLE OF CONTENTS

• Executive Summary	3
• Key Accomplishments	
• Robert J. Fitch County Archives	4
• Records Center	5
• Records Management	6
• Opportunities	7
• Financial Performance	
• Summary of Financial Activities	8
• Long-range financial plan, Statement of Net Assets	9



County of Riverside Records Management & Archives Program

2724 Gateway Drive • (951) 486-7190 Fax

<http://riverside.asrclkrec.com/rmap/>

Executive Summary

Annual Report
FY10/11



This Annual Report to the Board of Supervisors is submitted as directed by policy A-43 § B.8. This report seeks to advise the Board of Supervisors on the progress made to date towards full implementation of this policy.

The Records Management and Archives Program's (RMAP) mission is to promote an awareness of the value of effective and appropriate records management through education and training; to foster and support the identification and preservation of records of historical or permanent value; to encourage collaboration between key departments to ensure legal compliance, the management of risk and the appropriate application of new records and information management technologies; and to provide cost-effective records storage and document imaging services that comply with recognized recordkeeping standards as well as state and federal laws.

In FY10/11 RMAP made great strides in promoting professional records management throughout the County of Riverside with both the general public through the Robert J. Fitch County Archives and internally with County Departments.

During the fiscal year the County Archives participated in the development of a regional History Consortium to ensure that local history collections are preserved and shared. This is especially critical during these economic times when resources are limited. In addition, the County Archives provided assistance to the public in researching real property records using the historical documents of the County Assessor and Recorder.

Recognizing that the fundamental nature of business recordkeeping is rapidly changing from paper document-based systems to electronic-media based systems, RMAP formed an inter-departmental committee charged with developing a Board of Supervisors policy that will more clearly define the requirements of a Trusted System as defined in Government Code 12168.7. This committee has worked diligently to create such a policy, which it plans to submit for approval in the coming fiscal year.

The records management services offered by RMAP continue to evolve in order to provide the records management foundation upon which Departments can build their own internal programs. RMAP has maintained and will continue to advance its paper document scanning operations utilizing Image On Demand applications as well as contracted projects.

Under the current economic conditions, government agencies are facing greater challenges while addressing growing workloads. These workloads require that information be processed in the most efficient way possible while struggling with shrinking budgets and reduced staff. RMAP is committed to working with the County of Riverside Departments to manage these workloads through the implementation of professional records management practices.



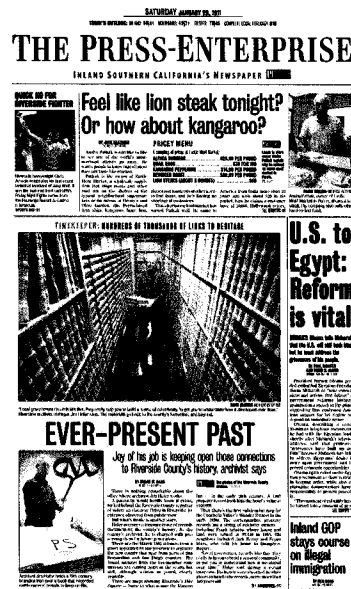
Robert J. Fitch County Archives

Annual Report
FY10/11

Open to the public, the County of Riverside Robert J. Fitch Archives serves a broad range of interests and users, including: County staff, independent researchers, students, historians, and writers.

Public Outreach

- Presented 15 programs to a variety of professional archival and community organizations focusing on the maintenance and management of historical documents.
- Participated in the California Assessor's Administrative Services Association (CAASA) conference with a presentation on the historical significance of county assessment records.
- Interviewed by the Press-Enterprise newspaper for a front page article on the Archives appearing in the January 29th edition.
- Provided tours of the Archives and instructed graduate and undergraduate students from area colleges and universities on archival research methods and preservation issues.
- Continued to promote the County Archives program through involvement in community and professional organizations.



County Initiatives

- Investigated several sites for relocating the County Archives' staff and resources. This will allow for an expansion of the services and documents available to County departments and the public.
- Provided ongoing service as the liaison to the County's Archives Commission.
- Participated in the review of 6 Departmental Records Retention Schedules and a revision of the General Records Retention Schedule that were approved by the Board of Supervisors.

Operations

- Increased communication with the County Historical Commission and County Historic Preservation Office on issues related to the preservation and promotion of Riverside County History.
- Conducted or assisted with original research using the County's historical records in response to more than 100 inquiries from professional historians and the general public.
- Provided Assistance to the City of Riverside and UC Riverside for their joint project to identify City historical sites associated with 19th and 20th century Japanese immigrants.
- Continued to index Assessor Property Ownership Records for the years 1893 to 1960.
- Provided support to the County Recorder Certified section for access to historical documents. Provided referrals and support to the Public Service Section of the Assessor-Clerk-Recorder's office.

Statistical Summary as of 6/30/11

Archives Services:	FY10/11	FY09/10
Online & telephone inquiries	61	79
Visitors & Researchers	52	30
Outreach Programs	13	25

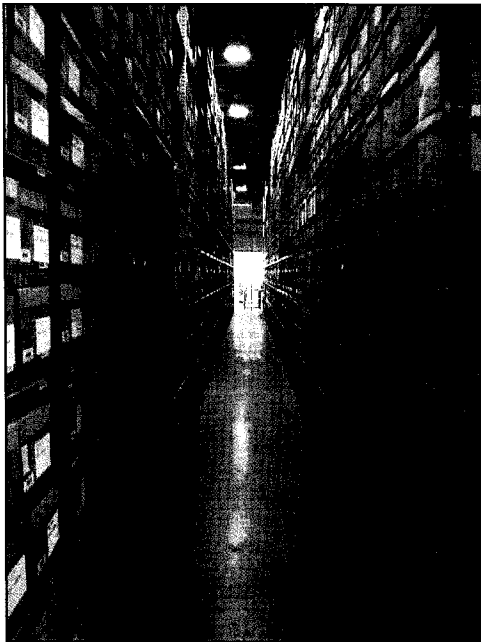
Records Center

Annual Report
FY10/11

The County Records Center offers point-to-point, secured tracking of all records stored for the County of Riverside departments and local government agencies.

County Initiatives

- Upgraded RSSQL records management system to include Image on Demand module. Image on Demand Services will provide customers the flexibility of electronically retrieving their documents through RS-Web. RS-Web is a secured on-line link between the Records Center and County Customer Departments.
- Confidentially destroyed over 9,000 boxes of documents through the implementation of Records Retention Schedules.
- Revised policies and procedures essential to the consistent quality of operations and customer service.



Secured storage for County records at a fraction of the cost of storing these records in office space.



RSWeb and Image On Demand will enable Desktop Ordering of Records & Reports.

Operations

- Installed additional shelving at the Wilderness location to provide more high-volume box storage.
- Completed the Records Retention Module within the RSSQL system to automate the destruction process for all records covered by a records retention schedule.
- Scanned more than 275,000 pages of paper documents creating PDF and/or TIFF images for County departments.

Statistical Summary as of 6/30/11

Records Center Services:	FY10/11	FY09/10
Certified Destruction (boxes)	9,287	4,843
Storage Boxes	166,488	160,307
Deliveries	4,497	3,362
Retrievals / Re-filings	48,671	67,459
Indexing Boxes / Files	216,092	258,767
Pages scanned	275,776	88,741

Records Management

Annual Report
FY10/11

The Records Management section provided comprehensive instruction on the policies and regulations behind BOS Policy A-43 to the Executive Management of each County Department and Agency.

County Initiatives

- Continued our countywide training program on the fundamentals of records management through Board Policy A-43 training;
- Formed a management level committee charged with defining county departments' responsibilities with regard to trusted systems as per GC 12168.7;
- Continued to offer the "Essentials of Records Retention Schedule Development" workshop designed to assist department staff in the development of departmental records retention schedules (DRRS).
- With the Departmental Technology Standards committee, developed guidelines for the naming of electronic records in order to facilitate day-to-day records management at the desktop.
- Continued the monthly RMAP meetings covering such topics as the use of Archival Records in the County of Riverside, Electronic Records Naming Conventions and How to Implement the General Records Retention Schedule in the office.



RMAP continued to offer educational programming throughout the year.

COUNTY OF RIVERSIDE RECORDS RETENTION SCHEDULE					
Department / Agency: All Departments		Schedule Type: General Records Retention Schedule (GRRS)			
Division: All Divisions		Schedule #: GRRS_2010_REV04			
Section: All Sections					
Code	Title	Description	Copy of Record	Official Record Retention	Disposal / Retention
Accounting (AOC)					
ACC100	Accounts Payable	Records documenting payment required to be made for goods and services. May include claims, invoices, petty cash records, returns, vouchers and warrants.	Auditor Controller	FY + 5	GC 26907 Shred / Delete
ACC150	Accounts Receivable	Records documenting payment received for goods and services provided by the county. May include collection notices & records, credit advice, receipts and uncollected account records. May also include daily deposit, daily balance and balance sheets.	Auditor Controller	FY + 5	GC 26907 Shred / Delete
ACC200	Banking	Records documenting transactions with an outside financing institution. May include statements, reconciliations, deposit slips, cancelled checks for minor transactions, negotiated checks, returned checks, and check registers.	Auditor Controller	FY + 5	GC 26907 Shred / Delete
ACC250	Capital (Fixed) Assets	Records related to the financial activities associated with capital (fixed) assets. May include overviews, related transfer files, and sale records.	Auditor Controller	CL + 5	GC 24651(b) Shred / Delete
ACC300	General Ledger	Contains the accounts needed to reflect the financial position of the government.	Auditor Controller	P	Best Practice County Archives
ACC350	Payroll	Records created to track the payroll of department employees. Records indicate anniversary dates, vacation and sick-leave accumulations, hours worked, labor and overhead contribution reports and PEOPLESOFT reports.	Auditor Controller	FY + 5	Audit support: Shred / Delete (see also: GC 24651.5(a))
ACC400	Payroll - garnishments	Records related to garnishments from a County employee pay. May include accounting documents and orders.	Auditor Controller	FY + 5	Audit support: Shred / Delete (see also: GC 24651.5(c))

The GRRS provides retention instructions for records common to all departments.

Operations

- Processed and received BOS approval for six Departmental Records Retention Schedules and a revised General Records Retention Schedule;
- Provided consulting services to County departments in the areas of records retention schedules, certified destruction, and paper and electronic recordkeeping;
- Continued working with departments to identify records eligible for destruction based upon either the General Records Retention Schedule (GRRS) or their Departmental Records Retention Schedule (DRRS).
- Destroyed or permanently removed (for department destruction) more than 9,000 boxes from storage freeing space for new arrivals to the Records Center.

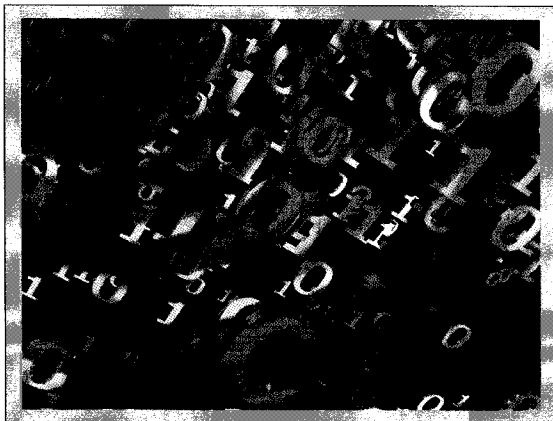
Opportunities

Annual Report
FY10/11

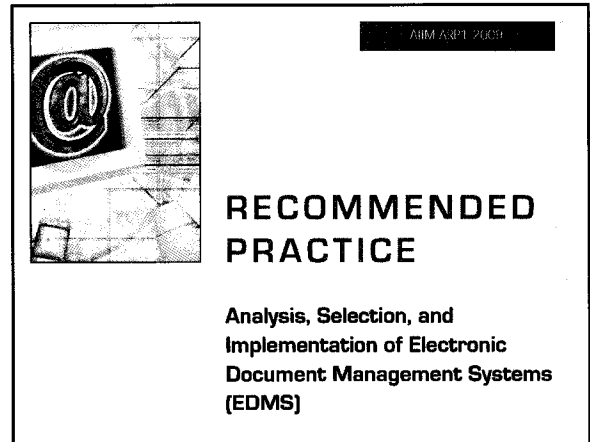
The Records Management & Archives Program in cooperation with County Departments is working towards fully implementing the intent and purpose of BOS Policy A-43, County Records Management and Archives Policy.

County Initiatives

- Over the course of the next two to three years, reposition RMAP's business base and establish sustainable funding to enable us to expand our Records Center.
- Continue to work with the Trusted Systems committee to develop a Board policy regarding trustworthy electronic records preservation.
- Work with the Auditor Controller's Office and their audit team to verify departments are implementing records management policies and procedures in compliance with BOS Policy A-43.
- Work with County Human Resources to develop a series of webinars for on-line records management training for all County Departments.
- Survey County Departments through questionnaires and site visits to ensure the records management needs of County customers are being met and to ensure their compliance with BOS Policy A-43.



Electronic record keeping will continue to be a primary outreach initiative.



Operations

- Expand imaging services to include the scanning of paper documents to electronic media for all departments in accordance with local, state and federal laws.
- Work with County Departments to expand the collection of the County Archives to include records from County departments outside of the Assessor-County Clerk-Recorder.
- Offer the "Essentials of Records Retention Schedule Development" workshop to all County Departments at no charge in order to assist department staff in the development of Departmental Records Retention Schedules (DRRS).

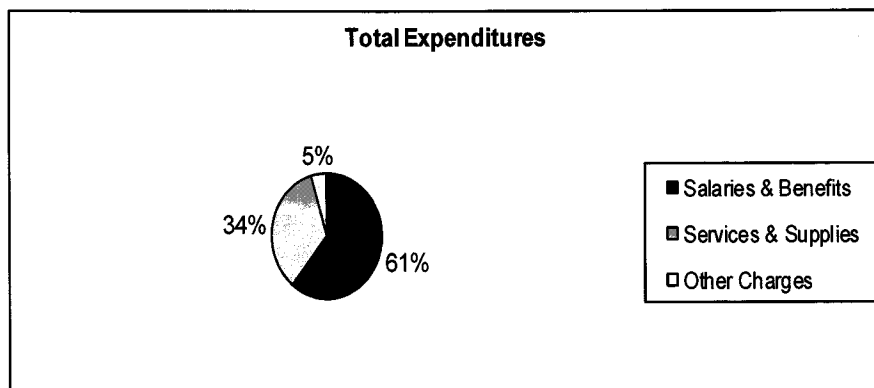
Financial Statements

Annual Report
FY10/11

Financial Performance

Summary of Financial Activities

	<u>Budget</u>	<u>Actual</u>	<u>Variance</u>
Total Dept. Revenue	\$2,088,339	\$1,940,565	(\$147,774)
Salaries & Benefits	\$1,373,834	\$1,073,580	\$300,254
Services & Supplies	\$693,442	\$610,282	\$83,160
Other Charges	\$116,475	\$80,773	\$35,702
Total Expenditures	<u>\$2,183,751</u>	<u>\$1,764,635</u>	<u>\$419,116</u>
Net (Cost) / Income	<u>(\$95,412)</u>	<u>\$175,930</u>	<u>(\$271,342)</u>



The projected net loss was off-set by a one-time use of capital reserve in order to cover necessary operational infrastructure. The addition of new shelving at our Wilderness facility increases our storage capacity and earning potential. Other expenses were reduced in an effort to keep the draw on capital funds at a minimum.

Financial Statements

Annual Report
FY10/11

Statement of Revenues, Expenses & Changes in Net Assets

Projected for Fiscal Years Ending June 30, 2011 through 2016

	Actual <u>2011*</u>	Projected <u>2012</u>	Projected <u>2013**</u>	Projected <u>2014</u>	Projected <u>2015</u>	Projected <u>2016</u>
Operating Revenues	\$1,933,624	\$1,797,444	\$1,742,967	\$1,742,967	\$1,742,967	\$1,742,967
Operating Expenses	\$1,764,635	\$1,802,540	\$1,748,250	\$1,748,250	\$1,748,250	\$1,748,250
Operating Income	\$168,988	-\$5,096	-\$5,283	-\$5,283	-\$5,283	-\$5,283
Other Income	\$6,941	\$6,000	\$6,000	\$6,060	\$6,121	\$6,182
Total Income	\$175,930	\$904	\$717	\$777	\$838	\$899
Capital Contributions, net	\$0	\$0	\$0	\$0	\$0	\$0
Change, Unrestricted Net Assets	\$175,930	\$904	\$717	\$777	\$838	\$899
Total Change in Unrestricted Net Assets	\$175,930	\$904	\$717	\$777	\$838	\$899
Unrestricted Net Assets - July 1st	\$829,487	\$1,005,467	\$1,006,422	\$1,007,189	\$1,008,016	\$1,008,904
Total Change in Unrestricted Net Assets	\$175,930	\$904	\$717	\$777	\$838	\$899
Unreserved Fund Balance	\$50	\$50	\$50	\$50	\$50	\$50
Unrestricted Net Assets - June 30th	\$1,005,467	\$1,006,422	\$1,007,189	\$1,008,016	\$1,008,904	\$1,009,853

* Unaudited - per PeopleSoft Financials (Simpler) as of August 25, 2011

** Figures represent the required 6.82% reduction to rates effective FY12/13.

Revenue decreased 27% in FY1011 due to the transfer of the Document Imaging section to the County Recorder. Revenue, though expected to decline in FY1112, will continue to out pace expenses as a result of this restructuring of RMAP.

With the anticipated continuance of mandatory furloughs and associated reductions, salary expenses are expected to be lower in FY1112. At the same time, revenue is expected to only slightly increase due to the current economic issues being faced by the County Departments. Cutting costs in other areas, RMAP hopes to balance our budget and break even by the end of FY1112. Adjustments in the rates charged to County departments will help bring revenues back up in order to fund this new facility and, over time, pay for a new, larger records storage facility.

Extension Requests

Annual Report
FY10/11

In accordance with Board of Supervisors Policy A-43 § B.8, below and following are the extensions to retention periods requested by departments and granted by RMAP.

ASSESSOR-COUNTY CLERK- RECORDER, COUNTY OF RIVERSIDE
RECORDS MANAGEMENT & ARCHIVES PROGRAM (RMAP)

RMAP Use Only:
Work Order #: 79085
Date Received: 1/27/2011

REQUEST FOR EXTENSION, Form 785 (Part I)
Request for Extension of Time for Retention

A. ORIGINATING DEPARTMENT

Department: Human Resources Date submitted: 1/26/2011
Sec / Div: Employee and Labor Relations RMAP Acct. #: C132105
Address: 4080 Lemon Street Fl/Rm: 7th Contact: Lisa Pina
City: Riverside Zip: 92501 Tel: 951-955-5838
Mail Stop #: 1181 Fax: 951-955-0374

B. RECORDS DESCRIPTION

RRRS_CHR_2008_Rev01	CHR-PER250	Corrective or Disciplinary Actions	4/29/2010	10137.1	General Disciplines	3	
DRRS_CHR_2008_Rev01	CHR-PER250	Corrective or Disciplinary Actions	4/29/2010	10915.1	Appeals	1	
Comments: _____						Number of boxes (above)	4
_____						Number of boxes (attached)	0
_____						Total to be retained	4

C. REQUEST FOR EXTENSION

We request an extension of time for the destruction of the above listed records pursuant to Board of Supervisors Policy A-43 § D.5 citing the relevant audit, legal case or current, pending, or expected litigation justification below.
(If you need more space, attached a separate piece of paper to this form and check this box)

The files in these containers still have a current pending litigation action. They are to remain available until litigation matter is closed.

This form and any attachments will be submitted to the Board of Supervisors pursuant to Board Policy A-43 § B.8.

Records Verified by: [Signature] Date: 1/26/2011
Print Name: Kimberley Gustafson Tel: 955-2026
Departmental Records Coordinator
Request Authorized by: [Signature] Date: 1/26/11
Print Name: Barbara Olivier Tel: 53515
Title: Asst CEO / HR Director
Department Head or authorized designee

[Signature]
31 JAN 2011

RMAP 785, Part I_2008-03

Extension Requests

Annual Report
FY10/11

Continued...

ASSESSOR-COUNTY CLERK- RECORDER, COUNTY OF RIVERSIDE
RECORDS MANAGEMENT & ARCHIVES PROGRAM (RMAP)

RMAP Use Only:
Work Order #: 81691
Date Received: 3/30/2011

REQUEST FOR EXTENSION, Form 785 (Part I)
Request for Extension of Time for Retention

A. ORIGINATING DEPARTMENT

Department: Treasury- Tax Collector Date submitted: 03/08/2011
Sec / Div: Payment Reconciliation Unit RMAP Acct. #: C117/03
Address: 4080 Lemon St. FI/Rm: 4th Fl Contact: Yiyong Wu
City: Riverside Zip: 92502 Tel: 951-955-3950
Mail Stop #: 1110 Fax: 951-955-3923

B. RECORDS DESCRIPTION

¹ Retention Schedule # (ex. GRRS_2008_Rev01) or DRRS name, BOS approval date & agenda #	² Records Series Code or Item #	³ Records Series Title	⁴ Date of Container Destruction Report	⁵ Category Code	⁶ (Category) Description	⁷ Number of boxes
GRRS-2010-REV05	ACC200	BANKING	02/17/2011	10144.1	NSF & TFR FILES	139
GRRS-2010-REV05	ACC200	BANKING	02/17/2011	10311.1	MASTER FILM ROLLS	2
Comments: _____						Number of boxes (above) <u>141</u>
_____						Number of boxes (attached) _____
_____						Total to be retained <u>141</u>

C. REQUEST FOR EXTENSION

We request an extension of time for the destruction of the above listed records pursuant to Board of Supervisors Policy A-43 § D.5 citing the relevant audit, contract provisions or current, pending, or expected litigation justification below.

(If you need more space, attached a separate piece of paper to this form and check this box)
Waiting for auditing.

This form and any attachments will be submitted to the Board of Supervisors pursuant to Board Policy A-43 § B.8. 3/23/11

Records Verified by: Yiyong Wu Date: 3/10/2011
Print Name: Yiyong Wu Tel: 951-955-3950
Departmental Records Coordinator Wu
Request Authorized by: Kreu Ngo Date: 3/28/11
Print Name: Kreu Ngo Tel: 956-3954
Title: Principal Accountant
Department Head



RECORDS MANAGEMENT AND ARCHIVES PROGRAM

Business Plan Fiscal Years 2011 - 2016

December 2011

**Submitted to:
Board of Supervisors
County of Riverside**

Table of Contents

Executive Summary	3
Program Objectives	5
Vision, Mission, Goals & Strategies.....	6
Program Profile	8
Market Analysis	10
Program Opportunities	13
Marketing Plan	15
Operating Plan	16
Financial Plan	17
Facility Expansion Plan	22

Executive Summary

This business plan provides a strategic framework for the Records Management and Archives Program (RMAP) within which to establish the environment and resources necessary to enable departments and agencies to effectively execute their responsibilities toward sound recordkeeping and preservation.

This plan outlines a systematic approach to implementing sound practices throughout county operations. Essential to the success of the program will be the effectiveness of RMAP to demonstrate the benefits of its services and to clearly articulate the economics of its methods, so departments and agencies can make knowledgeable decisions based on best practices.

Educational initiatives, record retention schedule development and document imaging projects are expected to fuel growth and represent approximately 10% of projected revenue over the planning horizon. This target is attainable by working with departments to reduce unnecessary expenditures while encouraging responsible recordkeeping including appropriate retention and timely disposition of records of short and long-term value.

This plan will demonstrate the necessity for improving the efficient use of County office space through expansion of the RMAP record and archival storage facilities. RMAP maintains two record storage centers that are currently at capacity. County Departments continue to store inactive and historical records in their offices, occupying more expensive space than that offered through RMAP. Creating additional storage capacity by expanding our current Records Center located at the Gateway offices of the Assessor-Clerk-Recorder, would allow RMAP to store additional departmental records in a secure environment that is managed and staffed by experienced records professionals. This would allow County Departments to better utilize their existing office space and consolidate many more inactive records into RMAP's centralized records management system.

In addition, the preservation of the County's historically significant records would benefit greatly from additional space that is secure and provides appropriate environmental controls for permanent storage. The Robert J. Fitch County Archives (Archives) facility provides a professionally managed archival storage facility that safeguards many of the County's historical documents and makes them readily available to County staff and a wide variety of users. The County Archives facility is at full capacity, and unfortunately the present location of the County Archives does not include sufficient suitable space to accept the transfer of additional historical records. As with their inactive records, County

Records Management & Archives Program
Business Plan Fiscal Years 2011-2016

Departments are often storing historically valuable documents within their offices or in sub-standard storage facilities. Without additional space to provide appropriate protection and management of these unique materials, many of the County's significant records are in danger of being lost or deteriorating beyond recovery.

In these financially challenging times, RMAP's primary goal is to focus on saving money by saving time (labor) and space. Through the development and implementation of records retention schedules, departments can save money by taking advantage of records management best practices and our secure document destruction services. In the process, they may also identify records of historical significance that can be transferred to the Archives for preservation.

Program Objectives

The primary objective of the Records Management and Archives program is the efficient, effective and economical management of records and information in compliance with state and federal regulations and County policy. Proper records management ensures that information is available when and where it is needed, in an organized and efficient manner, and in an appropriate environment, and that historical information is preserved.

As stated in Board Policy A-43, it is the intent of the county to establish a uniform program of responsible recordkeeping applicable to all county departments in accordance with applicable law. By doing so, it is the Board of Supervisors' goal to:

1. **SAVE SPACE** by removing from offices records not required for the day-to-day operations; by removing from storage areas records that no longer have significant value; and by maintaining a consistent flow of records from office space to off-site storage to destruction.
2. **SAVE MONEY** by better utilization of office space and imaging technology for active records; by restricting the use of leased space for storage of inactive records; by controlling the purchase of equipment and supplies to file inactive records; by providing cost effective storage facilities for inactive records; and by encouraging the use of automated micrographic systems for very active, long term and archival records.
3. **SAVE TIME AND LABOR** in locating records by removing inactive records from office files; by centrally locating inactive records in an off-site facility; by maintaining a computerized records management system which provides for retrieval and accounting of off-site records and utilize imaging technology and automation for active records retrieval.
4. **PRESERVE AND PROTECT** documents of historical significance and/or archival value.

Vision, Mission, Goals & Strategies

The vision of RMAP is one where all departments, agencies and districts are knowledgeable of the legal, business and historical significance of the records they create or maintain and are thereby able to dispose or preserve of them appropriately. RMAP also envisions the continued development of a cost-effective, full-service, and secure record storage and retrieval facility maintained according to the highest standards for the benefit of County departments.

The mission of the Records Management and Archives Program is to promote an awareness of the value of effective and appropriate records management through education and training; to foster and support the identification and preservation of records of historical or permanent value; to encourage collaboration between key departments to ensure legal compliance, the management of risk and the appropriate application of new records and information management technologies; and to provide cost-effective records storage and document imaging services that comply with recognized recordkeeping standards¹ as well as state and federal laws.

Goals

1. Develop a framework and provide leadership by offering tools and services that enable departments to apply responsible records management practices and fully implement Board Policy A-43.
2. Develop and execute a financial plan that supports the program's revised focus and provides for long-term capital needs including the expansion of the Records Center and Robert J. Fitch Archives (Archives).
3. Expand professional consulting functions to provide advice to county departments on the development of records management policies that include retention schedules, paper and electronic records management, and the appropriate disposition of records at the close of their retention period.
4. Develop a plan for archiving the county's permanent and historic records while facilitating access to them.
5. Become the vendor of choice for services that deliver sustained value and quality in conformance to industry standards and that make the most effective use of county resources.

¹ Such standards may include American National Standards Institute (ANSI), Association for Information and Image Management (AIIM) and International Standards Organization (ISO).

Records Management & Archives Program
Business Plan Fiscal Years 2011-2016

Strategies

1. Continue educational initiatives and consulting services that assist departments and agencies in meeting their legal and service requirements cost-effectively.
2. Develop sustainable funding through the creation of reasonable rates that support retention schedule development and implementation as well as archives consulting and preservation.
3. Through annual training and low to no cost consulting, position the program as the primary source for answers to departments' recordkeeping and preservation questions.
4. Acquire an appropriate Archives building large enough to house the growing archives collection.
5. Maintain cost-effective storage and imaging services that conform to professional quality standards.

Program Profile

Presently, RMAP offers record storage, document imaging and advisory services in the areas of record retention, indexing and paper and electronic files management and preservation. While this has provided a valuable and cost-effective service to county departments and agencies, the program can do more to meet the county's needs.

The formalization of industry standards, emergence of the Internet as an effective tool for industry professionals, and enabling technologies, such as digital imaging, have elevated records and archives management to priority status in organizations. More and more organizations are now recognizing that records management programs will pay for themselves through savings in staff time and resources and improved information accessibility. Recognizing these trends, RMAP's professional staff has developed training reinforcing the requirements of Board of Supervisor's Policy A-43 and A-68 including the following:

- Development of departmental records management policies in support of records management procedures;
- Demonstrated implementation of the General Records Retention Schedule (GRRS);
- Documented progress on the development of a Departmental Records Retention Schedule (DRRS);
- Appropriate management of electronic records and digital images; and
- Appropriate security of sensitive information.

RMAP will also emphasize the importance of following the Association of Records Managers and Administrators' (ARMA Int'l) Generally Accepted Recordkeeping Practices (GARP®) in the areas of

- Accountability
- Transparency
- Integrity
- Protection
- Compliance
- Availability
- Retention
- Disposition

In addition, RMAP continues to operate the official County Records Center providing secure, cost-effective storage for records of short-term value. The Records Center, in two locations, currently houses more than 158,000 containers. The Records Center also provides records management services such as assistance in the implementation of the GRRS and a department's DRRS. The Records Center container tracking database automates the disposition process at the close of an approved retention period.

Records Management & Archives Program
Business Plan Fiscal Years 2011-2016

RMAP also provides digital imaging services to departments who wish to have easy electronic access to their records. Digital imaging services provide PDF and/or TIFF images that are indexed for easy filing in one easy process.

The Robert J. Fitch County Archives (Archives) identifies, collects, preserves and makes available to County departments and members of the public the County's records of permanent and/or historical value. The Archives provides secure, environmentally controlled storage of these records and works with departments to ensure that records of long-term value are transferred to the Archives as soon as practicable.

Market Analysis

General

The County of Riverside is among the fastest growing counties in the state and its population is expected to double by mid-century² increasing the cost to the county to meet the growing demands on county services. In addition, it is anticipated that the State budget crisis will continue to cause a tightening of state funding locally.

These factors dictate the need to improve productivity and space utilization, which can be aided through improved records management practices and the adoption of new technologies.

Image-based Systems

While many county functions may benefit from new technologies, such as a document management system, implementation of these systems places even greater emphasis on **consistently** applied records management practices.

Image-based systems have been implemented or are being evaluated by numerous departments as a means to improve workflow and records management. RMAP can assist departments in finding answers to several key questions:

1. Will the selected technology and supporting policies and procedures conform to the requirements of a trusted system as defined in GC 12168.7 and as detailed in Board of Supervisors Policy A-68, "Trustworthy Official Electronic Records Preservation"?
2. Will the storage medium survive the retention requirements of the records?
3. Has business continuity planning considered access to records in the event of a significant business interruption?
4. Will the workflow incorporate file management practices that satisfy public service needs as well as record disposition requirements?

Records Retention Schedules

All County departments and agencies need to create or update their records

² Miller, Jim. "Riverside County population forecast to double by 2050, ranking it No. 2 in state," *The Press Enterprise*. 07/10/2007
http://www.pe.com/localnews/inland/stories/PE_News_Local_D_population10.410f243.html

Records Management & Archives Program
Business Plan Fiscal Years 2011-2016

retention schedules. To date, thirty-one departments/divisions in the County of Riverside have developed a departmental records retention schedule approved by the Board of Supervisors. Another twenty are in the process of developing their DRRS.

Records Center Operations

The official County Records Center is a non-mandatory storage option for departmental records of short and long-term value. The Records Center provides storage, retrieval and destruction services to all customers through the consistent implementation of the General Records Retention Schedule and Board of Supervisors approved Departmental Records Retention Schedules.

The Robert J. Fitch County Archives

The Robert J. Fitch County Archives is the only archive for County records of historical value such as those generated by the Assessor, County Clerk and Recorder. The Archives offers access to these records free of charge and is supported by revenue generated by the Records Center.

Departments' Purchasing Patterns

The key elements in departments' buying decisions are:

- Impact on appropriations,
- Retrieval rate (response time & ease) for needed records, and
- Quality of service.

When departments have other options, including their own warehouses, storage within vacant office spaces and other storage vendors, RMAP must meet the departments' needs in a manner that is both cost effective and efficient.

Warehouse operations must continue to work efficiently in order to satisfy the retrieval needs of the departments and the quality of that service cannot be compromised.

Third Party Suppliers

Direct competition for all services is growing. But more importantly, the opportunity for compromise or substitution is high. For example, record storage has minimal impact on current year appropriations when compared to the initial cost of a scanning project, which can seem to be dauntingly high. Likewise, imaging can provide high accessibility and lower operating cost (once the investment in a document management system is made), but image quality and system preservation or migration is a risk. RMAP's challenge is finding the appropriate balance between cost, preservation and access that can compete

Records Management & Archives Program
Business Plan Fiscal Years 2011-2016

with the seemingly inexpensive choice of doing nothing at all.

In the area of record storage, there are other providers in the area. The County Record Center is a cost effective alternative when viewed in terms of overall records management services, i.e. storage, retrieval and final disposition. Considering the average cost of a four drawer file cabinet and estimating a square footage cost of \$2.00/sq. ft. for downtown Riverside office space, the Records Center can save departments an estimated \$2,640 per month when they transfer their inactive records to the Records Center.

Scanning service comparisons are difficult for a variety of reasons, including the availability of combination fax, copy and scan machines. When departments consider doing it themselves as an option, it is hard to compete. However, RMAP does ensure conformance to ANSI/AIIM standards, which is not the case for all service providers or department initiatives. All factors considered, we believe our pricing is competitive and our product superior.

Program Opportunities

Professional resources will provide higher levels of expertise to the County of Riverside to support various record management initiatives including:

Professional Consulting Services

- Assisting departments in the implementation of records management programs that follow Generally Accepted Recordkeeping Practices (GARP®)
- Assisting departments to develop and implement the General Records Retention Schedule and department-specific record retention schedules.
- Providing intranet based tools and services in order to promote an understanding of the economic benefits of records management and archival preservation.
- Providing educational opportunities that raise awareness of Federal and State records management requirements as well as County policies and procedures.
- Advising County personnel on best practices related to records management, including paper and electronic file management, workflow support, and business continuity planning.

Trusted Systems

- Providing training and consulting services in conformance with Board of Supervisors Policy A-68, "Trustworthy Official Electronic Records Preservation."
- Providing guidance regarding the most appropriate means of preserving electronic records for short and long-terms.

Imaging & Scanning Services

- Providing scanning services to help establish a digital repository for departments moving to image-based systems.
- Providing scanning and indexing services for on-going applications that are best suited for batch processing.
- Providing scanning services that comply with the requirements of a trusted system as required by Board of Supervisors Policy A-68.
- Supporting retrieval needs for Record Center customers with image-on-demand service.

Records Management & Archives Program
Business Plan Fiscal Years 2011-2016

Preservation & Archival Services

- Providing archivist services including consulting services and preservation through proper storage.
- Establishing access to records of indefinite term or historical value electronically to improve public service and to better preserve the physical records.
- Enable access to original records for research purposes.

Marketing Plan

1. Position RMAP as the primary source for expert advice on recordkeeping issues and for assistance to departments in managing their recordkeeping responsibilities cost-effectively.
 - a. Education initiatives will demonstrate the benefits of knowledgeable recordkeeping and highlight the options available to departments to fulfill these requirements.
 - i. Quarterly RMAP meetings open to all departments provide timely and practical information;
 - ii. Annual training for all departments emphasizes major, countywide records management initiatives.
 - b. Consulting services will respond to departments' specific needs.
 - c. Retention schedule implementation strategies will maintain RMAP's connection with departments even after their retention schedule is complete and will continue to foster comprehensive records lifecycle management.
2. Enhance the RMAP website making it a viable resource for departments seeking records management assistance.
3. Define product and service offerings clearly and align pricing appropriately to ensure added value to the customer.
 - a. Develop a scanning process that is competitive while adhering to national and international standards for electronic imaging and trustworthy systems.
 - b. Develop image-on-demand services that will expedite the retrieval process and advance the management of electronic records.
4. Reach out to professional and community organizations through presentations focusing on the best records and archival management practices developed for the County of Riverside as a means of increasing public awareness about the importance of proper record keeping and maintenance of archival documents.

Operating Plan

1. Deliver services that represent the prudent use of County resources and maintain standards to monitor the quality of output to ensure consistency and value to the County.
2. Continue to monitor and evaluate County needs in order to provide the most valuable services to our customers.
3. Stay abreast of technological advances in order to offer the most current products and services such as scanning services.
4. Document processes and benchmark to third party suppliers as a means to provide continuous process improvement and value to the county.
5. Develop a long-term operating plan that provides for adequate facilities with:
 - a. Sufficient capacity to meet county needs for short-term records.
 - b. Suitable environmental controls to preserve county records of long-term or permanent value.
 - c. Secure an environmentally controlled work area for preservation, cataloguing, appraisal, and accessioning of archival material by county personnel for on-going maintenance of the county archives.
 - d. Suitable and secure public access and work areas for research.

Financial Plan

As an Internal Service Fund, the service rates and revenues are set to provide for a contribution to the working capital needs of the program. The program is able to consider the total economic costs, provide for on-going capital needs and provide for rate stability, in support of the objectives set forth by the Board. The projected revenues and expenses follow on the next page: Statement of Revenues, Expenses and Changes in Unrestricted Net Assets (Figure 1).

As county departments develop and implement best practices, revenue will be derived from consulting services, preservation of aged records, and the consistent implementation of records retention schedules. Record Center activities will shift from maintaining permanent records to primarily managing temporary records including the destruction of these records once their retention period has passed.

Traditionally, revenues have been derived from record storage and micrographic services. However, in FY09/10, RMAP was reorganized in order to refocus on goals and objectives better suited to current and anticipated customer needs. The Document Imaging section, which provided microfilming services to County departments, was eliminated from RMAP. RMAP now plans to focus on four key service areas: records storage, records reformatting (digital imaging), records management (consulting and training) and archival preservation.

Records storage services are expected to be in demand for the foreseeable future. Though the implementation of records retention schedules will help to alleviate storage cramping, we still anticipate a need to expand our warehouse space to accommodate new and growing customers (See Facility Expansion Plan on page 23 of this document). The start-up costs for either expanding our current warehouse area at the Gateway facility or moving to a new, larger facility will come from a portion of the unrestricted net assets. Currently, \$373,000 has been set aside by the Board of Supervisors for this purpose (Agenda Item #3.30a on 1/25/11). But, RMAP will need to designate more in order to fund this initiative.

Additionally, reformatting services must be enhanced in order to provide trustworthy images that may be incorporated into departments' trusted systems as per Board of Supervisors Policy A-68. New software must be secured that will enable RMAP to scan and send electronic records to the customers, who may then destroy the paper originals per Board Policy A-43. This will reduce the office space storage needs of most user departments.

Records Management & Archives Program
Business Plan Fiscal Years 2011-2016

Records Management & Archives Program (RMAP)
Statement of Revenues, Expenses, & Change in Unrestricted Net Assets
Projected for Fiscal Years Ending June 30th, 2011 through 2016

	Actual <u>2011*</u>	Projected <u>2012</u>	Projected <u>2013**</u>	Projected <u>2014</u>	Projected <u>2015</u>	Projected <u>2016</u>
Operating Revenues	\$1,933,624	\$1,797,444	\$1,742,967	\$1,742,967	\$1,742,967	\$1,742,967
Operating Expenses	\$1,764,635	\$1,802,540	\$1,748,250	\$1,748,250	\$1,748,250	\$1,748,250
Operating Income	\$168,988	-\$5,096	-\$5,283	-\$5,283	-\$5,283	-\$5,283
Other Income	\$6,941	\$6,000	\$6,000	\$6,060	\$6,121	\$6,182
Total Income	\$175,930	\$904	\$717	\$777	\$838	\$899
Capital Contributions, net	\$0	\$0	\$0	\$0	\$0	\$0
Change, Unrestricted Net Assets	\$175,930	\$904	\$717	\$777	\$838	\$899
Total Change in Unrestricted Net Assets	\$175,930	\$904	\$717	\$777	\$838	\$899
Unrestricted Net Assets - July 1st	\$829,487	\$1,005,467	\$1,006,422	\$1,007,189	\$1,008,016	\$1,008,904
Total Change in Unrestricted Net Assets	\$175,930	\$904	\$717	\$777	\$838	\$899
Unreserved Fund Balance	\$50	\$50	\$50	\$50	\$50	\$50
Unrestricted Net Assets - June 30th	\$1,005,467	\$1,006,422	\$1,007,189	\$1,008,016	\$1,008,904	\$1,009,853

* Unaudited - per PeopleSoft Financials (Simpler) as of August 25, 2011

** Figures represent the required 6.82% reduction to rates effective FY12/13.

Figure 1

Financial Plan – Cont'd

Furthermore, Image-On-Demand services are planned to be added this fiscal year in order to address departments' desires for immediate access to their stored records in a digital, searchable format.

Records management services will be expanded to better address the professional accountability standards of recordkeeping developed by the Association of Records Managers and Administrators (ARMA International). The eight generally accepted recordkeeping principles as listed on page 8 of this document will provide the structure for the education initiative of RMAP for the next 3-5 years.

The Robert J. Fitch County Archives will continue to provide a secured and environmentally safe location for County records of historical significance. The goal is to provide this service at no cost to the County departments, which will require the use of overall RMAP revenues as a funding base.

As the program shifts its focus, a greater percent of revenue will come from consulting and reformatting services provided to County departments and agencies. From a County perspective, the costs for these services will be offset over time by improved utilization of people and office resources as well as improved accountability and management of risk.

The Statement of Net Assets (Figure 1) projects little growth in net assets throughout the planning horizon. Yet, these net assets will be designated in order to build the working capital necessary to fund the expansion of the Records Center and Archives. The Records Center, for example, is presently at risk of being unable to meet the storage demands of departments. Warehouse expansion is required to support our expanding customer base. As a result, capital outlay will be required for new equipment in addition to providing for the increase in monthly expenses. Furthermore, the working capital goal is 45 days revenue on hand. Therefore, building and maintaining a strong Net Asset position is essential to the expansion of the Records Center and the continuance of the program.

The reserves will be needed to support present services, including increased storage space to house records of short-term value, as well as those still needed to grow the program into a modern full-service facility. Over time, depreciation will provide a means, in part, for setting aside funds for investments. However, RMAPs assets are aging and several must be replaced in the next 3-5 years requiring the use of depreciation funds. Figure 2 provides a list of current assets and highlights those needing to be replaced within the planning period, i.e. prior to 2016.

Replacement costs, considering a 10% increase in price over the planning period, will require nearly \$65,000 from unrestricted net assets.

Records Management & Archives Program
 Business Plan Fiscal Years 2011-2016

Purchase Price	Description	Acq Date	In Service Date	Life	Beginning Dep Date	Ending Dep Date
29,070.44	PENCO SHELVING W/H-POST	1/1/2006	1/1/2006	240	1/1/2006	12/31/2025
44,046.26	Penco Shelving Project #1 2009	5/15/2009	5/15/2009	240	5/1/2009	4/30/2029
47,943.54	Penco Shelving Project #2 2009	5/18/2009	5/18/2009	240	5/1/2009	4/30/2029
24,591.33	Penco Shelving Project# 3 - A	6/30/2010	6/30/2010	240	6/1/2010	5/31/2030
12,540.78	Snorkel TM12 Scissor Lift	6/30/2010	6/30/2010	120	6/1/2010	5/31/2020
10,894.52	Upright TM12 Scissor lift	6/10/2008	6/10/2008	120	6/1/2008	5/31/2018
47,747.96	PENCO SHELVING UNIT	12/17/2004	12/17/2004	240	12/1/2004	11/30/2024
6,056.63	SERVER-HP PROLIANT DL380 G4	4/13/2006	4/13/2006	60	4/1/2006	3/31/2011
24,852.30	Comm. Systems - RC Annex	6/30/2008	6/30/2008	60	6/1/2008	5/31/2013
6,222.57	9080 Doc. Scanner ACR 000210WA	11/10/2008	11/10/2008	60	11/1/2008	10/31/2013
6,967.86	Canon DR 9050C Scanner	6/30/2010	6/30/2010	60	6/1/2010	5/31/2015
10,908.06	HP ProLiant DL380 G6 Server	6/30/2010	6/30/2010	60	6/1/2010	5/31/2015
7,256.38	HP ProLiant DL360 G Server	6/30/2010	6/30/2010	60	6/1/2010	5/31/2015
6,600.00	RSSQL container increase 300k	6/30/2010	6/30/2010	60	6/1/2010	5/31/2015
53,072.28	Penco Shelves	3/31/2011	3/31/2011	240	4/1/2011	3/31/2031
10,249.69	1930E Haulotte-Scissor Lift	5/12/2011	5/12/2011	120	5/12/2011	5/11/2021
8,777.63	Alarm System (Samsung)	5/10/2011	5/10/2011	60	5/10/2011	5/9/2016
Fully Depreciated Assets						
14,128.63	UPRIGHT SCISSORS LIFT	7/22/1997	7/22/1997	60	7/1/1997	6/30/2002
14,128.63	UPRIGHT SCISSORS LIFT	9/12/1997	9/12/1997	120	9/1/1997	8/31/2007
71,383.76	SHELVING W/SEISMIC ANCHORING	9/6/1996	9/6/1996	84	9/1/1996	8/31/2003
40,297.59	SHELVING W/SEISMIC ANCHORING	3/29/1995	3/29/1995	84	3/1/1995	2/28/2002
53,965.12	SHELVING W/SEISMIC ANCHORING	6/29/1995	7/1/1995	84	7/1/1995	6/30/2002
24,995.42	SHELVING W/SEISMIC ANCHORING	5/1/1996	5/1/1996	84	5/1/1996	4/30/2003
58,857.20	PENCO WAREHOUSE SHELVING	5/25/2001	5/24/2001	60	5/1/2001	4/30/2006
54,000.00	Software and Licenses	4/12/2002	3/26/2002	60	3/1/2002	2/28/2007
9,048.59	SAFE, MIXED MEDIA, FIREPROOF	10/11/1990	8/23/1990	240	8/1/1990	7/31/2010
6,056.63	Server-HP PROLIANT DL380	4/13/2006	4/13/2006	60	4/13/2006	4/12/2011

Figure 2

Financial Plan – Cont'd

The financial plan is summarized in the following:

1. Maintain balance and provide for the growth of unrestricted net assets in order to fund the expansion of the current or acquisition of a new warehouse facility.
2. Maintain balance and provide for the growth of unrestricted net assets in order to fund the replacement of operating equipment.
3. Maintain a fee structure that aligns with services offered and that fully supports the program's revised focus.
4. Build and maintain a net asset balance of approximately 45 days revenue on hand designated for working capital to provide for short-term cash needs.

Facility Expansion Plan

The Records Management and Archives Program currently has two critical expansion needs: the expansion of our current Records Center located at 2724 Gateway Drive and the possible relocation of the County Archives from 2724 Gateway Drive to 5950 Wilderness Avenue.

The County Records Center is physically located in two warehouses. One is situated at 5950 Wilderness Avenue (Annex) and occupies 22,325 sq. ft. while the other is located at 2724 Gateway Drive (Gateway) and occupies 20,163 sq. ft. Over the years, RMAP has steadily added shelving units in each location in order to accommodate the storage needs of County departments. Both locations have now reached their maximum shelving capacity as well as their maximum storage capacity, i.e. all shelving is full with more than 158,000 boxes. In order to continue to store County records in a cost effective manner, which includes the avoidance of the personnel and infrastructure expenses associated with acquiring a third warehouse, the facility at Gateway must be expanded.

Gateway needs additional warehouse space in order to expand its operations and continue to provide low cost storage of County records to the departments. It is anticipated that an additional 13,000 sq. ft. will provide records storage for more than 35,000 boxes. At our current growth rate of nearly 1,000 boxes added per month, this will provide records storage for 3 years. (But with the continued adoption of retention schedules by County departments, it is believed that destruction will begin to offset the influx of containers for storage.)

The County Archives space, approximately 3,100 sq. ft., is also at capacity. Over the next 3-5 years, RMAP will be looking to expand the Archives space to approximately 10,000 sq. ft. for increased storage and accommodating researchers. This could increase monthly expenses, such as utilities, by as much as 35%.

In order to avoid costly financing, these needs may require the use of unrestricted net assets minus the mandatory 45 day reserve. Additionally, funds will be set aside to cover the replacement of depreciated equipment.