

To: Chair & Committee Members, Audit Committee

Date: May 6, 2019

Areas Responsible: Elaine Henley, City Clerk

The following table summarizes the current status of all issues identified in the Internal Audit of Municipal Archives #16-02.

Total Recommendations	Closed	Pending
34	34 (100%)	0 (0%)

The Table below summarizes the closed issues from the Internal Audit of Municipal Archives #16-02.

Recommendation	Status Update	Date
1.1 Management should review the mandate of the Archives to determine if the responsibilities of uploading and tracking the City's policies on the website and handling City owned art work should be the responsibility of the Archives. If so, the mandate should be updated and approved by Council. In making this determination management should consider the current work backlog (see Issue 3.2) and the future work requirements of the Archives Division.	Completed. Mandate revised and approved by Council on October 9, 2018.	Implemented Closed

Recommendation	Status Update	Date
<p>1.2 Management should review the above policies (see issue in report) to ensure they are up to date and complete. Policies should be combined where practical and revised to include any new or different guidance including items contained in this audit report. Management should also ensure that all policies are vetted through the City policy approval process (i.e. Corporate Policy Committee, SEC, Finance Committee and Council).</p>	<p>Completed. The unapproved policies will remain in effect as standard operating procedures not requiring policy development or Council approval. Council approved this direction on October 9, 2018.</p>	<p>Implemented Closed</p>
<p>1.3 In order to avoid confusion, only the retention periods approved by Council in the last revision should be included in Schedule B of the Records and Information Policy.</p>	<p>Completed</p>	<p>Implemented Closed</p>
<p>1.4 To ensure that the documented work procedures are accurate and complete and help move the division to attainment of its goals and objectives they should be reviewed and approved by management.</p>	<p>Documented work procedures have been reviewed and approved by management. These will continue to be reviewed/refreshed on an ongoing basis as required.</p>	<p>Implemented Closed</p>
<p>2.1 When reviewing the mandate of the Archives management should consider the many benefits that can be achieved through the digitization of archival records and determine if this should be added to the division's mandate. In order to make this determination management should consult with an individual in this area who would be knowledgeable about the potential benefits that can be</p>	<p>The City's archives adhere to the Rules for Archival Description (RAD), an internationally accepted form of preservation. The Archives Mandate identifies the need to collect and preserve (i.e. digitize) archival material which is also reflected under the City of St. John's Act. Digitization equipment is currently used by Archives staff and a specialized digital scanner for</p>	<p>Implemented Closed</p>

Recommendation	Status Update	Date
2.1 Cont'd achieved through a digitization project along with the expected costs.	oversized archival ledgers has been ordered. The Archivist has also prepared and submitted an application to the National Heritage Digitization Strategy Fund to hire a resource to conduct digital scanning. Response recently received, and City's application was rejected.	
2.2 (i) In order to decrease the risk of a complete loss of important city records, management should: i. determine if the cabinets at the City Archives which store microfilm are fireproof. If they are not fireproof, then management should obtain fireproof cabinets for storage of the microfilm.	Cabinets are not fireproof. Options were investigated, and the cost is quite prohibitive. As such it was decided that this not be pursued at this time. See also response in Section 2.2 (iv).	Not Implemented Closed
2.2 (ii) In order to decrease the risk of a complete loss of important city records, management should: ii. store the original records of the City in a fireproof vault.	The Rooms has agreed to house a limited number of records (ledgers) free of charge in their vault. Prior to doing so, the City will digitize records from the original copy (to maintain visual quality). See response in Section 4.1 which elaborates further). A specialized digital scanner has been purchased. As ledgers get digitized, they will be transferred to The Rooms vault with Provincial Archives.	In Progress (this will be a multi-year effort) Closed
2.2 (iii) In order to decrease the risk of a complete loss of important city records, management should: iii. arrange off-site storage of the extra microfilm copies of the records not currently being stored off-sight.	See response in Section 2.2 (iv). (after further discussion with management the extra microfilm copies will not be stored off-site.)	Not Implemented Closed

Recommendation	Status Update	Date
<p>2.2 (iv) In order to decrease the risk of a complete loss of important city records, management should:</p> <p>iv. consider digitizing the records and having the digital media stored off-site (see 2.1 above).</p>	<p>The digitization process is underway and will be a long-term project occurring over the next few years. All digitized records and digital media are currently backed-up by the IT department on a weekly basis and stored off site. So, should a fire occur within the building and completely destroy all records, a back-up of all digital records will be available.</p>	<p>In Progress (this will be a multi-year effort)</p> <p>Closed</p>
<p>2.3 (i) In order to decrease the risk of damage to original documents, management should:</p> <p>i. allow individuals to review the maps on microfilm, and if needed, show the originals as long as they are handled by Archives staff only. As an alternative, seek an expert's advice as to whether the uncovered maps should be laminated and available to the public to handle.</p>	<p>Insurance plans/maps are stored in temperature/humidity controlled room and gloves are required when handling documents. Review of this material is always overseen by Archives staff. In addition, funding was approved, and a conservator has been contracted to encapsulate uncovered maps to prolong their condition.</p>	<p>Implemented</p> <p>Closed</p>
<p>2.3 (ii) In order to decrease the risk of damage to original documents, management should:</p> <p>ii. have the directories photocopied or scanned (i.e. digitized) and made available to the public and store the original documents. Many City directories are available online through various websites (e.g., MUN). A comparison of the directories at the Archives should be made with those online to determine if any need to be copied or scanned. If they are available online, the original</p>	<p>The progress of completion will eventually be aided by students who are hired yearly to assist with such tasks. It is anticipated that this project will take a few years to complete pending staff workload, possibly by December of 2020.</p>	<p>In Progress (this will be a multi-year effort)</p> <p>Closed</p>

Recommendation	Status Update	Date
2.3 (ii) Cont'd documents should be placed in storage and the public should be directed to the online source for review of the documents.		
3.1 Management and staff should obtain formal training on the InMagic DB/TextWorks system to ensure they are familiar with the system's abilities and are better able to utilize the system in performing their job duties (i.e. processing and monitoring).	Completed	Implemented Closed
3.2 (i) To help ensure that the backlog of appraisals, filing, etc. is resolved and all records are properly included in inventory with detailed locations documented, management and staff should: i. meet to discuss and develop plans for objectives, priorities, scheduling, costs, etc.	Completed. Staff have developed a schedule to routinely address the backlog of appraisals, filing, etc.	Implemented Closed
3.2 (ii) To help ensure that the backlog of appraisals, filing, etc. is resolved and all records are properly included in inventory with detailed locations documented, management and staff should: ii. meet on a periodic basis to monitor performance of the work and adjust the plans if necessary.	Completed. Management periodically meets with Archives staff to obtain progress updates on backlog.	Implemented Closed

Recommendation	Status Update	Date
3.3 (i) To enhance divisional objective setting and monitoring of results management should: i. request regular, periodic (e.g. monthly, quarterly) reports of information that relate to divisional goals and objectives from the Inmagic DBTextWorks computer system.	Completed. Short and long-term goals have been developed and these are monitored on a regular basis.	Implemented Closed
3.3 (ii) To enhance divisional objective setting and monitoring of results management should: ii. meet with staff on a periodic basis to review the reports and approve them.	Completed.	Implemented Closed
4.1 In order to reduce the amount of time searching for records on a specific topic, management should consider these records for the digitization project mentioned in Issue 2.1. If it is determined that it would be too costly and time consuming to have all records digitized, management should consider preparing indexes for all records and key them to a database, which should help decrease the time required for manual searches.	A specialized digital scanner (Archivist Quill Complete Kit and Foot Pad) has been purchased and installed to accommodate digitization of oversized minute ledgers from the years 1895 to 1990 (in ledgers) and from 1991 to 2013 in boxes. There are 96 ledgers of this type in storage. At a rough estimate of 500 – 700 pages within each, there are approximately 50,000 – 70,000 pages of information to be digitized. The manual process will occur over a long-term period given the current workload of staff. The progress of completion will eventually be aided by students who are hired yearly to assist with such tasks. It is anticipated that this project will take a few years to complete pending workload, possibly by December of 2020 or beyond.	In Progress (this will be a multi-year effort) Closed

Recommendation	Status Update	Date
<p>4.2 (i) In an effort to eliminate the inefficiencies in these processes management should consult with the Corporate Information Services Division to:</p> <p>i. determine if it would be possible and cost effective to have departmental employees key the list of transferred files directly into the Inmagic DBTextWorks system.</p>	<p>This recommendation is deferred pending a comprehensive records and information management (RIM) review. Funding has now been allocated through the Corporate Information Services Division to contract a consultant who will be commissioned to review current processes and develop where required best practices that ensure the protection and lifecycle management of the City's information assets. Concern was expressed by Archives and Records Management staff that there would be inconsistencies in the process should departmental employees be responsible for keying file lists to Inmagic, particularly without proper training and the development of standard operating procedures.</p>	<p>In Progress (this will be a multi-year effort)</p> <p>Closed</p>
<p>4.2 (ii) In an effort to eliminate the inefficiencies in these processes management should consult with the Corporate Information Services Division to:</p> <p>ii. review the Inmagic DBText Works system to determine if there is a more efficient process that can be used to move file records from the Records Management database to the Archives database.</p>	<p>See 4.2 (i) - prior to investing further into other processes/methods, this recommendation is deferred pending the RIM study. Though it is premature to speculate, it is anticipated that implementation of the final study's recommendations will occur over a phased approach during a five-year period with some items being implemented quicker than others.</p>	<p>In Progress (this will be a multi-year effort)</p> <p>Closed</p>

Recommendation	Status Update	Date
4.3 Management should ensure that the Receiving Boxes of Records procedure is reviewed and approved as a part of the procedure review recommended in Issue 1.4 and that the Records Analyst is advised of any amendments made to the procedure. In the future, if any deviation from the procedure is required prior approval should be obtained from management.	Completed	Implemented Closed
4.4 When the Archives moves to its new location, management should ensure there is sufficient space in the public area for storage of the microfilm in an effort to make it self-serve. To ensure that the microfilm reels are not misfiled, users should be instructed to leave the microfilm in a tray for staff to return to their proper storage place.	Completed	Implemented Closed
4.5 In order to ensure the departmental employees who requested the records actually received them and acknowledges responsibility for the records, they should be required to sign the applicable form and return a copy to Records Management or the Archives.	Completed	Implemented Closed
4.6 Management should revise the Records Transfer List form to include a space for the supervisor/manager to sign to indicate approval of the items being forwarded to Records Management.	Completed	Implemented Closed

Recommendation	Status Update	Date
4.7 To ensure that management is aware of and approves all items identified for deaccession, the Deaccession Form should be reviewed and signed by the City Clerk.	Completed	Implemented Closed
4.8 (i) In an effort to increase efficiency and accountability management should: i. ensure that all City records, regardless of where they are stored, are included in the Records Collection database.	Completed	Implemented Closed
4.8 (ii) In an effort to increase efficiency and accountability management should: ii. review the process to determine if only one list of records for disposal is required and ensure that the list is signed, approved and dated.	Completed	Implemented Closed
5.1 (i) In an effort to increase controls over revenue management should: i. review and approve the schedule of fees to be charged for photocopying, scanning pictures, etc. and any other services offered by the Archives.	Completed – cash removed from the premises.	Implemented Closed
5.1 (ii) In an effort to increase controls over revenue management should: ii. reconsider the rates charged to MUN students and professors when reviewing the schedule of fees. One item to consider would be: are professors using the materials for writing books for sale. The rates charged for students and professors, if different from the general public, should be added to the schedule of fees.	Completed – cash removed from premises.	Implemented Closed

Recommendation	Status Update	Date
<p>5.1 (iii) In an effort to increase controls over revenue management should:</p> <p>iii. review the process used for photocopying to help ensure revenue completeness. This could include the use of a coin operated photocopier or some other method of tracking the number of copies used by the public.</p>	<p>Completed – cash removed from premises. The low demand for photocopies does not merit the cost of a new coin operated photocopier. The vast majority of information provided is through electronic scanned copying. Anyone wishing to be provided with photocopies in excess of 100 pages will be referred to the Access Center for payment.</p>	<p>Implemented</p> <p>Closed</p>
<p>5.1 (iv) In an effort to increase controls over revenue management should:</p> <p>iv. revise the Request Form to include a space for authors to sign and date, and a statement agreeing to provide a copy of the book.</p>	<p>Completed</p>	<p>Implemented</p> <p>Closed</p>
<p>5.2 (i) To help strengthen controls over revenue and cash on hand management should:</p> <p>i. request a cash float from the Department of Finance and Administration and deposit the cash on hand when the float is received.</p>	<p>Completed</p>	<p>Implemented</p> <p>Closed</p>
<p>5.2 (ii) To help strengthen controls over revenue and cash on hand management should:</p> <p>ii. move the cashbox to the Archivist's office and keep it in a locked filing cabinet or other secure area.</p>	<p>Completed</p>	<p>Implemented</p> <p>Closed</p>
<p>5.2 (iii) To help strengthen controls over revenue and cash on hand management should:</p> <p>iii. ensure that cash receipts are deposited in a timely manner.</p>	<p>Completed</p>	<p>Implemented</p> <p>Closed</p>

Recommendation	Status Update	Date
6.1 Management should store the art collection in a room separate from the Archives records and with less traffic to minimize the risk of damage.	Completed	Implemented Closed