

Houston ISD

Records Management

Service Level Agreement (SLA)

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| **Approver:** | Senior Manager, Administrative Services Department  Director of Customer Services, Information Technology Department |
| **Implemented by** | Records Management |
| **Comments** | This SLA reflects the level of service currently provided. |

**Service Level Agreement – Records Management**

# Service Name

Records Management and Document Imaging Services

# Service Description

See scope

# Service Provider

Records & Document Imaging Services (Admin. Services/IT)

# Location

4400 West 18th Street

Building B - Route #1

Houston, TX 77092

# Contact Info

Records Management Office: 713-556-6055

Document Imaging Services Office: 713-556-6037

Fax: 713-556-7010

RecordsManagement@houstonisd.org

# Customer

Those District schools and departments using the services offered by Records & Document Imaging Services listed in Appendix A

# Agreement Valid Until Date:

SLA to run until amended; it is reviewed annually.

# Approvers

Senior Manager, Administrative Services Department

Director of Customer Services, Information Technology Department

# Scope

This agreement covers the following services provided by Records Management and Document Imaging Services and described in full in Appendix A:

1. Advice on records management and records conversion to digital and or microfilm
2. Maintenance of District retention schedule and assistance in implementing it
3. Storage of in-active records in the District Records Center
4. Retrieval of records from the District Records Center
5. Confidential records destruction/shred service run by Records Management.
6. Records conversion to electronic/and or microfilm images.

The purpose of this SLA is to establish a co-operative partnership between us and our users by clarifying roles, expectations, and providing mechanisms for resolving problems.

# Exclusions

If services are required because of a move or school closure, then the move/school closure budget should cover any costs in terms of confidential destruction, storage, and/or transport costs wherever possible.

# Provider Responsibility

Records Management and Document Imaging Services will:

* Comply with service standards as described in Appendix A
* Provide the services covered by this agreement and listed in Appendix A
* Follow District policies and procedures, in particular the records management and retention policies (see <http://www.houstonisd.org/Page/31617>) and those pertaining to the Texas Public Information Act and data protection legislation such as FERPA (see <http://pol.tasb.org/Home/Index/592/> )

# Customer Responsibility

* Users of the services offered by us should follow the guidelines provided on our website (<http://www.houstonisd.org/Page/31913>) and also any training or instructions given by our staff. We reserve the right to refuse its services to departments that do not comply with these instructions.
* Users should be aware that we will not take responsibility for the ownership of their records. Rather we will provide services and support to enable schools and departments to manage their own records responsibly. Schools and departments continue to maintain custody of their records while stored in the records center. Good management of records rests with the principal or head of the department at all times.
* In the event that we cannot agree on a suitable course of action (for example, if the member of staff who transferred records has left the District and is unable to advise us), we will escalate the decision to the principal at the school or head of the department. In the case where a designee has been appointed, we will recognize them as having authority to act on behalf of the principal or head of department concerning records management decisions.

# Service Hours, Availability and Reliability

We will provide our services during standard office hours, Monday to Friday, 8am-5pm during the months of August – May. The summer schedule is Monday to Thursday, 7am-5:30pm. There may be occasional issues with covering the service if members of staff are absent unexpectedly. If this is the case, we will provide as much information as possible in the interim and resume service as soon as we can.

# Escalation

We will use reasonable actions to provide the services as detailed in Appendix A. Users should be aware, however, that there may be occasional issues with covering the service if members of staff are absent unexpectedly. Where difficulties occur, we will make every effort to take corrective action and to keep users informed.

All complaints should be addressed to the District Records Manager, who will respond as soon as possible, usually within five working days. If you are not satisfied with the response, you may then escalate the complaint to the Senior Manager, RMO of Administrative Services/IT who will respond as soon as possible, usually within five working days.

# Security

This SLA operates with existing District policies, including the Information Security policies.

# Reporting and reviewing

Reviewed annually by the Records and Information Services Manager

## Appendix A

1. **ADVICE ON RECORDS MANAGEMENT ISSUES**

We agree to:

* Respond to inquiries on all aspects of records management and document imaging services, including issues surrounding retention of records. Inquiries received through inter-office mail, fax, department email address, staff email address, or telephone will be answered within two working days.
* Provide advice and support to schools and departments concerning their record keeping. This will be done on request from schools and departments and also via a program of targeted work.

Users agree to:

* Take responsibility for good records management in their school or department and to follow District policies and procedures.

## DISTRICT RETENTION SCHEDULE

We agree to:

* Work with schools and departments to produce and maintain retention schedules that take into account any relevant compliance and operational requirements.
* Use these retention schedules when deciding on disposal actions for records held in the District records center or requested by schools or departments.

Users agree to:

* Work with us on developing the schedules and keeping them up to date.
* Follow the recommendations as established by the retention schedules.
* Notify us as soon as any changes (e.g. to working practices, legislation etc.) occur which require the schedule to be updated.

## STORAGE OF IN-ACTIVE RECORDS

We agree to:

* Pick up in-active records (i.e. those only needed infrequently for the conduct of current business) for storage from schools and departments on request. At this time, we only accept Special Education student records for withdrawn students from schools. We will notify schools and departments of a pick-up date for their records within three working days of a request for pick up or contact you within two working days regarding any revisions needed to the paperwork. Based on a steady level of demand and limited staffing resources, we aim to pick up from schools and departments within four-six weeks. Adjustment to scheduling may be needed during the summer months when demand for services is high. We will always aim to provide the best option for each school or department which may mean schools and departments arranging their own transport to cut down waiting times. Scheduled deliveries by schools and departments will be accepted on Thursdays between 1:30pm – 3:30pm.
* Utilize records tracking database to maintain the disposition of transferred records and assign a location code to enable retrieval of the records.
* Ensure secure storage of the records until the disposal date and then take the indicated action. Review letters will be sent to departments shortly before this time to notify them of the proposed action. Notices to the public regarding destruction of Special Education records are done annually following established procedures.

Users agree to:

* Arrange a suitable date with us for pick up or delivery of the material and to give as much notice as possible. This is especially important if they are having large clear-outs at certain times of year or when moving offices as we can only take a limited quantity of material on each pick up.
* Package the material and fill in the transfer information according to the guidelines on our website. Departments should note that we are not able to check the contents of the boxes against the lists that they provide so they need to ensure that the lists are accurate and detailed enough to retrieve records if necessary and to make future decisions about the retention of the records.
* Ensure they have utilized their own storage space in the first instance. Space limitations in the Records Center means that sending material there should always be considered carefully and only done if it is the best solution available. In particular, schools or departments should not use the service purely to help manage an office move; a moving service which provides boxes should be built into the initial move plan.
* Ensure that they only send material that needs to be retained by the school or department and will only need to be consulted occasionally.
* Respond promptly to communications about records held in the Records Center in order to provide Records Management staff with the necessary information and/or authorization required to manage those records.

## RETRIEVAL OF RECORDS FROM THE RECORDS CENTER

We agree to:

* Retrieve records promptly within two working days when a school or department makes a retrieval request for 50 or less files/boxes. Requests for 50 or more files/boxes will be processed over several days. Urgent requests can normally be processed the same working day. Users have various options for accessing their records:
  + consultation in the Records Center upon agreed schedule (copier/ scanner available)
  + pick up of records in person upon agreed schedule
  + request delivery in which case Records Management will work with the user to schedule the delivery.
* Send out recall notices to remind departments of outstanding items at least twice a year.
* Where possible we will help departments to search for material when they do not know the location code but it should be recognized that this is not part of the service we offer and can only be done if and when we have the resources.

Users agree to:

* Not send material into the Records Center which is likely to be needed by them on more than an occasional basis.
* Keep accurate records of what has been sent into the Records Center so that they can request items by giving the correct box/file information.
* Return all retrieved items when they have finished with them (call Records Management first to arrange a secure method of transfer) or notify us that they are withdrawing the item permanently.

## CONFIDENTIAL DESTRUCTION

We agree to:

* Pick up confidential destruction from schools and departments on request. We will notify schools and departments of a pick-up date for their confidential destruction within three working days of a request for pick up or contact you within two working days regarding any revisions needed to the paperwork. Based on a steady level of demand and limited staffing, we aim to pick up from schools and departments within four-six weeks. Adjustment to scheduling may be needed during the summer months when demand is high. We will always try to provide alternative options for schools and departments, for example arranging their own transport to reduce waiting times. Scheduled deliveries by schools and departments will be accepted on Thursdays between 1:30pm – 3:30pm.

Users agree to:

* + Arrange a suitable date with us for pick up or delivery of the material and to give as much notice as possible. This is especially important if they are having large clear-outs at certain times of year or when moving offices as we can only take a limited quantity of material on each pickup.
  + Package the material according to the guidelines on our website. This applies in particular to non-paper records (CD’s, diskettes, etc.) which should be clearly marked and packaged separately to paper records.
  + Ensure that they only send material that requires confidential destruction.

1. **DOCUMENT CONVERSION SERVICES**

We agree to:

* Provide document preparation, scanning, microfilm services and electronic data import and storage.
* Within thirty (30) calendar days after delivery of the finished product, DIS will return the documents to the user or transfer the documents to the records center upon written request.
* Meet or exceed the quality control, processing, document preparation, and imaging specifications and standards for the creation of archival public record documents established by Texas State law.
* Promptly replace deficient work identified by the user with product that meets specifications and standards.

Users agree to:

* Deliver records in boxes capable of holding their contents with the lid closed. Boxes that are damaged, without lids, or weighing over 40lbs will not be accepted.
* Verify the quality and accuracy of the service performed and to notify us of any discrepancies within thirty (30) calendar days after receiving the finished work product for each project.

1. **SYSTEM MAINTENANCE – IMAGE REPOSITORY**

We agree to:

* Keep users informed of any system upgrades or scheduled maintenance of the online image repository, Application Xtender (AX).
* Work with Technology Services to set up AX deployment to new users.
* Manage AX issues for resolution including escalation to Technology Services for AX users.

Users agree to:

* Notify us of staff movements.
* Complete AX online forms for new users or amendments to Security Groups (including staff transfers).
* Notify us of any system error occurring in AX.