

Non-Instructional Annual Review

Purchasing ~ Records Management

This document addresses the following SACSCOC requirements: CR 2.5, CS 3.3.1, and CS 3.5.1, CR 3.9.2, CR 3.13.3, and FR 4.5

Purpose

Amarillo College non-instructional areas consistently review data and strive for improvement. The purpose of this review is to demonstrate how AC non-instructional areas support AC's mission by *"...enriching the lives of our students and our community."*

On an annual basis, the Program Review process will capture a holistic snapshot of strengths, weaknesses, and improvement plans based on institutional data and assessment information.

The information collected on this form will also serve to help your division complete the information required by SACSCOC for Amarillo College's continued reaffirmation efforts.

Response Length Suggestion: Most responses should be 2-3 sentences. If available, you may also provide a link to other documentation that answers each question.

I: Identification

1. Department Title:

Purchasing & Records Retention

2. Department Purpose Statement:

Assure the procurement of goods and services for AC in an ethical legal manner, utilizing best practices while lawfully maintaining an active on-going records management program. -& To provide efficient administration and access to public information according to State law and College Policy.

3. Department Review Year (i.e. Most Recent Academic Year)

2013-14

4. Date of Submission:

7-10-2014

5. Lead Person Responsible for this Department Review:

Name: Vickie Shelton
Title: Purchasing Director
E-mail: vlshelton@actx.edu
Phone Number: 371-5017

6. Additional Individuals (Name and Title) Responsible for Completing this Department Review:

Mike Jager - Records Retention Central Receiving

II: Existing Data (Not Survey, Focus Groups, and/or Interviews)

AC staff/administrators collect and evaluate data related to people served.

1. What significant AC, state, federal, or other reports do you complete on an annual basis and/or what significant quantitative data do you collect or review on an annual basis? (Please provide links to data/report information or a succinct summary of your data findings.)

- 1) - Yearly Records Management report to the Board of Regents. (see link below)
<http://www.actx.edu/purchasing/filecabinet/141>
- 2) - Record Inventory (yearly Records Management Committee report). (see link below)
<http://www.actx.edu/purchasing/filecabinet/142>
- 3) Bulletin F (...data I review for the college program)
<https://www.tsl.texas.gov/slr/recordspubs/lgbullf.html>
- 4) Record Control Schedule filed with Texas State Library & Archives Commission per regulations (see link) <http://www.actx.edu/purchasing/filecabinet/144>

2. Based on the past year's data (referenced in Question #1), please evaluate your data and/or department.
(Place an 'X' in each text box that corresponds to your evaluation. You may delete or add rows.)

Data Reported/Collected (Include Most Important Data)	Needs Improvement	Meets Standards	Exceeds Standards
1. 14,052 lbs. of college records disposed with an additional 19,980 lbs. of confidential documents disposed of from FY 2012-13		X	
2. Transition to electronic record management software for the college digital records.	X		
3. April 2015 the TSLAC (Texas State Library & Archives Commission) Bulletin F will render two of our primary records storage areas out of compliance with State regulations.	X		
4. File new Records Control Schedule as required by college policy and state regulation.		X	

3. (If applicable) If any area "Needs Improvement," please explain why (i.e. Analysis).

Item #2 above. Most digital information maintained by the college, does not comply with State regulations for records management, nor does it comply with College RM (records management) policy.

Item #3 above. In April 2015 the TSLAC Bulletin F, which establishes compliance for records storage facilities, will render two of our storage areas out of compliance, which means we will no longer be able to use them.

4. (If applicable) Based on the data above, what changes do you recommend (i.e. Action Plan)?

Item #2 above. Continue to expand the work started last year with the Perceptive software application - Records Policy Manager.

Establish an inter departmental form, to work as a digital storage request form that will allow the required records management controls to be applied. This is of paramount importance if we want to move forward with digital records management.

Item #3 above. Transfer boxed records into a private storage facility or brings the AC facilities up to standards.

III: Existing Data (Based on Surveys, Focus Groups, and Interviews)

In this section, provide examples of ways you used survey data or qualitative research (interviews, focus groups, etc.) to make decisions.

PART A:

1. Over the past year, did your area collect and/or review any survey data or qualitative (focus group, interview, etc.) information?

(Place an 'X' in the text box that corresponds to your response.)

Yes (If Yes, Proceed to PART A, Question #2)	No (If No, Proceed to PART B)
	No

2. Summarize the most important information that was collected and/or reviewed and the results.

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3. (If applicable) Based on the data above, what changes do you recommend (i.e. Action Plan)?

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PART B:

Additional Comments Related to Surveys and Qualitative Research (Not Required):

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IV: Institutional Initiatives

PART A –No Excuses:

Each department is expected to support student success initiatives.

1. List 1 or more ways your department most focuses on any of the No Excuses goals/initiatives.

No Excuses Goal IV Persistence from Term to Term and Year to Year.

If we fail to update our records storage facilities by April 2015, we'll be in violation of Bulletin F. College policy requires that we report to the BOR in the May 2015 meeting. Compliance with information regulations is part of that report.

Spending extra money on private storage facilities will result in additional loss of funds for student services.

2. Are there any changes your department has made over this past year to remove barriers to students and further the No Excuses goals OR to move the needle toward fulfillment of the No Excuses goals?

➤ If so, please explain.

➤ If not, but you plan to make changes that aid students success, please provide a few sentences explaining how you can better support No Excuses.

None this year.

PART B –Institutional Outcomes:

Each department is expected to provide quality student, customer, and/or client services.

1. For this review year, what is/were your department's most important goals (i.e. broad things you would like to accomplish)?

#1. Bring the Records Policy Manager software online to manage imaged digital records.

#2. See the College's Records Retention Schedule certified by the TSLAC.

#3. Move into a record storage facility that will meet the new regulations established in Bulletin F.

2. For this review year, what is/were your department's most important outcome/s that can be specifically measured and help you achieve your goals? Provide examples of 1-3 outcomes. (An outcome provides observable evidence that your student's or client's knowledge, skill, ability, attitude, or behavior has changed as a result of your efforts.)

#1. After training in the Records Policy Manager (RPM) software, AC Departments with saved imaged documents will maintain their digital documents in compliance as verified by the RPM matrix report.

#2. Each Department Head will submit their approvals for the updated records control schedule, which is sent to the Texas State for their approval.

#3. Acquire a compliant record storage facility.

3. How does your department assess the above outcome/s? What were the results of your outcome assessment? What do your results tell you?

#1. Five departments have matched their imaged documents as verified by the matrix report.

#2. Each Department Head submitted their approvals for the updated records control schedule, which has been sent to the Texas State Library Commission for final approval. We are waiting for a reply from the TSLAC.

#3. Our last attempt at acquiring a compliant record storage facility was denied.

4. What change/s has your department made in the past year or do you plan to make based on your assessment of any outcome?

#1. As new/other departments are brought online with image now, they will maintain their imaged documents according to the retention schedule.

#2. All submissions to the TSLAC are up to date at this time.

#3. We plan to move our permanent record holdings to a private company in order to meet our compliance objective if the College cannot build or find suitable storage at one of our campuses.

PART C – Strategic Planning:

Each department is expected to support AC's Strategic Planning initiatives.

1. Identify at least one strategy or task from the Strategic Plan your area currently addresses/evaluates.

Goal # 3 - Commit the college to technology which attracts and retains students by enabling more effective and efficient college operations. (AC Strategic Plan through 2015, Strategy 4.6)

Bring the Records Policy Manager software online to manage imaged digital records.

2. (If applicable) What additional item/s should AC's Strategic Plan address?

Compliant storage facility for permanent records per TSLAC (Texas State Library & Archives Commission) regulations.

PART D – Core Objectives (CR 2.10):

SACSOC guidelines require non-instructional areas to provide student support programs, services, and activities that are consistent with its mission and that promote student learning and enhance the development of its students.

At Amarillo College, a component of student learning is found present in the existence of AC's General Education Competencies. Due to recent mandate changes set forth by the Texas Higher Education Coordinating Board (THECB), AC has adopted the following General Education Competencies: Communication Skills, Critical Thinking Skills, Empirical and Quantitative Skills, Teamwork, Social Responsibility, and Personal Responsibility.

Although these competencies obviously relate to academia, many non-instructional areas also support some or all of these objectives.

Some Examples of Ways Non-Instructional Areas Can Support Student Learning:

Personal Responsibility: Any service that provides materials/information related to financial literacy, life planning, etc. to students could relate to personal responsibility. Also any measure of student personal responsibility (e.g. percent of students not dropped for non-pay, percent of students who pay their rent to AC housing on time, etc.) relates to this topic.

Social Responsibility: If students are able to serve or learn about ways to serve their community or world, this could relate to social responsibility.

Communication, Critical Thinking, and Empirical and Quantitative Skills: If a department teaches a skill/topic within the classroom or through a published document geared toward students, this skill/topic could relate to communication, critical thinking, or any of the other objectives—depending on the skill/topic being taught.

Teamwork: Any student organization/framework where students must work successfully within a group could equate to teamwork.

1. Does your area work (in-person, through publications, or through some other means) with students to learn/accomplish any of the following objectives?

Objective	Yes (If Yes to Any Area, Respond and Proceed to Part D, Question #2)	No (If No to All Areas, Proceed to Part D, Question #3)
Communication Skills		X
Critical Thinking Skills		X
Empirical & Quantitative Skills		X
Teamwork		X
Personal Responsibility		X
Social Responsibility		X
Note: May Insert other Objective/s		X

2. For each objective that received a "Yes" response, provide a bulleted list identifying how your department addresses each particular objective with AC students, any assessments related to your objective (if applicable), and any results related to your assessment (if applicable).

➤ Assessments can be indirect (e.g. surveys, focus groups, etc.) or [direct](#).

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3. Please indicate (place an X in the corresponding box/es) the mode of delivery by which you offer any support programs, services, and activities, to students.

In Person	Web	Phone	E-mail	Live Chat

4. Do you have plans to expand your learning objectives and/or modes of delivery? If so, how do you plan to expand these objectives/delivery modes? If not, why not?

No.

V: Policies and Procedures

Amarillo College's non-instructional areas consistently have procedures in place that promote student confidentiality, staff efficiency, student success, and accountability.

Each non-instructional area will respond to the Core 5 (first 5) "Policies and Procedures" questions if they are pertinent to their area. If a department has additional questions they would like to include for accountability or some other purpose, they will also include those questions on this section of the form.

1. Please explain how your area supports the security, confidentiality, and integrity of student records and maintains special security measures to protect and back up data (CR 3.9.2)

For confidentiality we coordinate services for six locked shred bins placed in select departments, plus we provide "on demand" pickups for confidential information. Our shredding vendor is nationally certified, bonded, insured, and on TX State contract. All paper is guaranteed to be shredded, pulped and recycled.

For security, Records Management provides secure pickup, transportation and storage services for boxed records, (including student records) from 34 AC departmental workgroups like the Registrar's Office and the Financial Aid depts.

Records Management staff is assisting the implementation of a software application that will flag imaged records once they exceed their legal retention period. Once implemented this application will **automate a previously unmanageable task**. We'll be able to **legally & efficiently delete old useless information**, whereby reducing the volume that must be stored and maintained. This capability directly relates to our information security and confidentiality by reducing the amount of excess, outdated data stored on the college servers. This information continues to cost the taxpayers year after year after year. Experience shows that 80+% of all data we create and receive at Amarillo College are for **short term** purposes and it has no legal, historical, fiscal, or research value.

Integrity - The college RM program receives ongoing guidance, both online and in person, from our regulating agency the Texas State Library and Archives Commission. A statement of compliance is received from the TSLAC and is documented in our yearly report at the May BOR meeting.

2. How do you ensure that all of your employees are aware of student complaint procedures and that the procedures are handled in a way that is in accordance with the institutional policy of complaint procedures being reasonable, fairly administered, and well-publicized (CR 3.13.3)?

In person meetings within the departments.

3. Has your area made any departmental changes based on student complaints? If so, what changes did you make (FR 4.5)?

No changes based on student complaints that I'm aware of.

4. Have you addressed any local, state, audit, or federal compliance issues that have caused you to make an adjustment to your department and/or a policy change? If so, please explain.

Yes. Records management is discussing plans to relocate all permanent records from the East Campus and the Polk storage areas. These facilities will no longer comply with standards for permanent records storage after April 2015.

5. Have you made any changes to your department's policy or procedures over the past year that are otherwise not addressed in this review? If so, please explain.

No.

VI: Conclusions

1. What is the biggest issue/obstacle that your department currently faces?

Please explain the issue, point to evidence supporting why your issue is important (addressed in this document or elsewhere), explain how you would like to fix the issue, and explain any budgetary constraints.

Our biggest issue is applying the Records Management program to our digital information systems. AC's compliance with LGRA (Texas Local Government Records Act) depends upon the success of our conversion to digital record keeping. The College could be penalized for non-compliance in this area. This issue must be given a higher priority. I have no estimate how much this will cost to solve. Much of the work can be accomplished or at least started with planning, prioritizing, and accountability. **Digital records management capability MUST be considered on the front end of system implementation, and included wherever relevant, as a component in all future software purchases, not as an after-thought, after systems are already purchased and implemented.**

2. Additional Comments Pertinent to this Annual Review Evaluation (Not Required):

None at this time.