

Audit at a glance

Records Management

MAY 2021

ABOUT | The Office of the Clerk and Recorder is responsible for preserving and distributing records as well as making that information available online to the public and other city agencies. The department also records documents on behalf of the public, including real estate documents and marriage and civil union licenses. These records become part of the public record and are available online.

In the report

FINDING 1: The Office of the Clerk and Recorder Has Not Developed a Strategic Plan, Impacting Its Ability to Effectively and Efficiently Manage Records

- The office does not have a formalized plan or timeline to prioritize the digitization of records, has not assessed what documents are considered historical or what risks threaten stored records, and is not destroying records in accordance with the city's records retention schedule. As the office has not scanned many records and no publicly accessible electronic database exists, individuals cannot easily access historical records, and the records analyst must spend time retrieving documents from multiple locations, including off-site storage, when requests are made.
- The office has not identified how to organize staff to effectively and efficiently perform work and prevent unnecessary disruptions. The office cannot ensure efficiency and effectiveness for several processes because of staffing and succession planning issues. For example, there is no primary person responsible for some duties or documentation of former staff members' responsibilities.

Cause and Effect of Workforce Issues

Staffing or Succession Issue	Effect or Potential Effect	Cause
No primary person responsible for addressing complaints	Complaints may not be addressed in an organized manner	Management has not replaced staff who have left and did not prioritize documenting staff responsibilities
Staff unsure of bulk permit processes	There could be inefficient or unfair bulk permit processes	
No primary administrator for CountyFusion	No one person to contact for CountyFusion assistance or changes	
No one responsible for contract monitoring	No assurance that contract vendors are meeting terms	

Source: Auditor's Office analysis based on interviews with staff in the Office of the Clerk and Recorder.

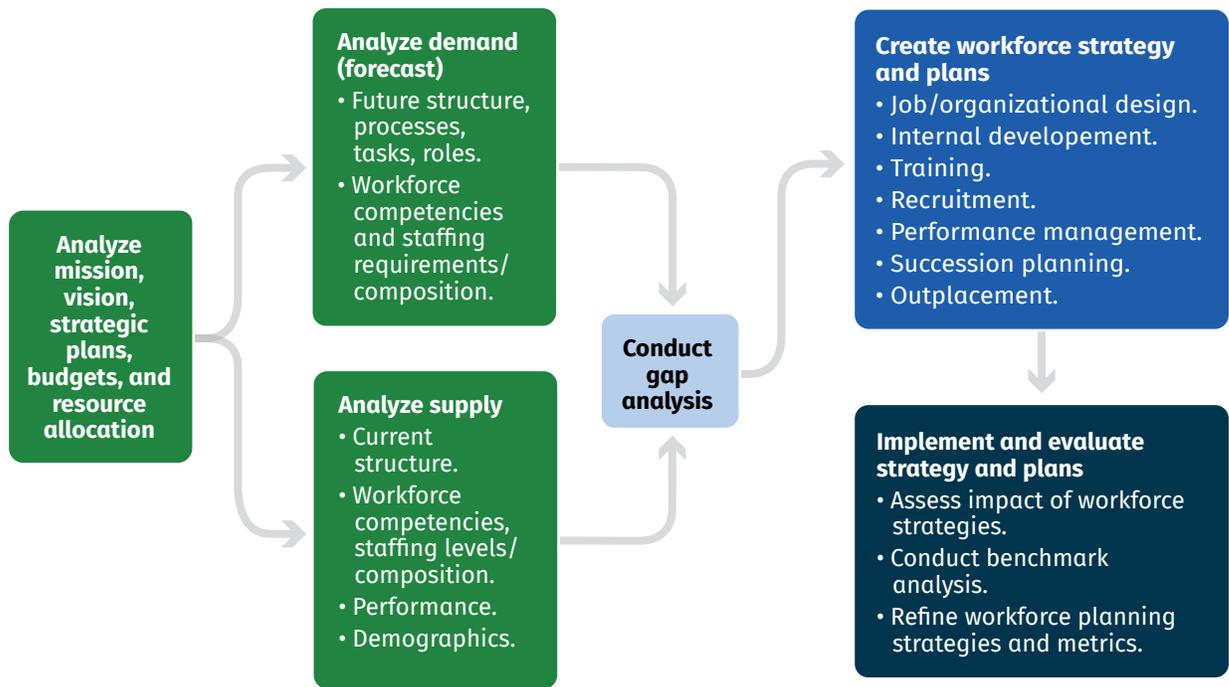
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Timothy M. O'Brien, CPA | Denver Auditor

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Workforce Analysis Framework



Source: Graphic by Auditor's Office staff using information from the U.S. Office of Personnel Management.

- The office has not conducted a workforce analysis and does not have sufficient succession planning to ensure work continues when staff leave.
- The office operates without sufficient policies and procedures, which impacts the efficiency and effectiveness of its operations. There are no documented review processes, contract monitoring, service provider reports, or customer service processes.

FINDING 2: The Office of the Clerk and Recorder Is Not Taking Sufficient Measures to Protect Individuals' Personally Identifiable Information

- The office does not proactively redact certain personally identifiable information when recording documents and there are inconsistent redaction practices among staff. Colorado law says government entities should implement and maintain reasonable security procedures and practices to protect such personal information from unauthorized access, use, modification, disclosure, or destruction.

- The office does not adequately disclose to individuals and organizations that information being recorded will become part of the public record and therefore will be accessible online. Currently a person can record a document containing another person's personally identifiable information without that person's knowledge. Denver residents and other individuals could be exposed to identity theft if their personally identifiable information is posted publicly in the Office of the Clerk and Recorder's online records database.

