

CHICAGO
PUBLIC
SCHOOLS

CPS



FINAL REPORT

Chicago Public Schools

Processing Active Student Records

And

Active Financial and Business Records

Submitted By:



Contact: Robert C. Bobb
President & CEO
The Robert Bobb Group, LLC
P: (202) 731 0006
F: (202) 591 3200
[bob@robertbobbgroup.com](mailto:rob@robertbobbgroup.com)

Submission Date: Wednesday, August 21, 2013

The Robert Bobb Group, LLC | 555 Thirteenth Street, NW | Suite 500-A West | Washington, DC 20004 | www.robertbobbgroup.com



The Robert Bobb Group, LLC
555 Thirteenth Street, NW
Suite 500-A West
Washington, DC 20004
(P) 202-688-4253
(F) 202-591-3200
www.robertbobbgroup.com

Transmittal

Wednesday, August 21, 2013

Mr. Steve Lewey
Vice President
Global Workplaces Solutions
1100 Bilter Road
Aurora, Illinois 60502
USA

Dear Mr. Lewey:

On behalf of The Robert Bobb Group, LLC (RBG) and our team of consultants (the RBG Team), I would like to thank you for the opportunity to assist your team in managing and processing the active student records and active business and financial records during the consolidation of the closed Chicago Public Schools (CPS). Student records are the most important files created and maintained by CPS. These records document the matriculation of students and are the financial and educational groundwork for the continued educational career of both the students and their parents/guardians; who are both our most important stakeholders. These vital and personal records are frequently requested by institutions, businesses, governments, and other public or private entities when students submit applications in the pursuits of higher education, entering the job market, military service, and other career endeavors. Thus, CPS has a legal obligation to protect the security and integrity of these records, and to provide confidential and responsible access to them upon the request of authorized parties.

With this understanding of the importance of protecting the integrity and intellectual control of these records, we have produced a report that is consistent with the Chicago Public Schools 2013-18 Action Plan entitled, *The Next Generation: Chicago's Children 21st Century Preparation for Success in College, Career and Life, Pillar 2, Systems of Support that Meet Students' Needs*¹. Following the policies, procedures, protocols, and instructions of the Records Management Unit (RMU), we operated within the tenet and consciousness of Pillar 2 while processing and managing these records.

Our Report

Our report includes the guidelines, methodology, and plans and procedures for collecting, processing, sorting, batching, packing, annotating boxes, and finally, shipping the active student records. Our executive summary provides an overview of the project, while our project background provides information on the use of documents and resources that were helpful in organizing, developing, and implementing provisions of the records management project. Comprehensive details on the project are covered in the methodology, implementation, and project outcomes. The conclusion provides a review

¹ For additional information, please see the Appendix, Section 1.



The Robert Bobb Group, LLC
555 Thirteenth Street, NW
Suite 500-A West
Washington, DC 20004
(P) 202-688-4253
(F) 202-591-3200
www.robertbobbgroup.com

of the project in meeting the scope of work; contract requirements; and, our recommendations on addressing issues, problems, concerns, and matters that surfaced during the project. We also address our plans, guidelines, procedures, and strategies that proved successful throughout this engagement. These recommendations are offered for consideration in the endeavor of future records management projects.

Our team appreciates the opportunity to demonstrate our capabilities and experience with you and your team and thank you for the opportunity of being a strategic partner to Global Workplace Solutions (GWS) and the Chicago Public Schools.

Respectfully submitted,

Robert C. Bobb
President & CEO, The Robert Bobb Group, LLC
Phone: (202) 731-0006
Email: bob@robertbobbgroup.com

TABLE OF CONTENTS

I.	Executive Summary	1
II.	Project Background	2
	A. Chicago Public School Logistical Plan	
	B. Records Management Services	
	C. Scope of Work	
III.	Methodology	3
	A. Chicago Public Schools Records Procedures	
	B. Records Management Tasks	
	C. Records Management Requirements	
	D. Records Management Plan	
	E. Logistical Operation Plan	
	F. Records Management Protocols	
IV.	Implementation	11
	A. Staffing	
	1. Project Executive	
	2. Consulting Archivist	
	3. Project Managers	
	4. Records Technicians	
V.	Outcomes	17
	A. Active Student Records Database	
	1. Box List	
	2. Manifests	
	B. Active Financial & Business Records Database	
	1. Boxes Transferred	
	2. Manifests	
VI.	Conclusions	18
	A. Recommendations	
VII.	Glossary	20
VIII.	Appendix	21

Executive Summary

The Robert Bobb Group, LLC was engaged on June 13, 2013 by Global Workplace Solutions to provide records management services for closed, turnaround, and consolidated schools as outlined in the *300 Decisions School Consolidation Planning Services Logistical Plan*² (May 1, 2013), prepared for the Chicago Public Schools. Consistent with the Plan, RBG developed a methodology of systems, strategies, and processes to perform the records management services. The records management methodology developed to service this project includes: preparing staffing plans, work plans, logistical and operational plans, records management plans, records management procedures, and records management protocols. These plans, procedures, and protocols were developed to collect, stage, sort, batch, pack (envelopes and boxes), index (box list), annotate boxes, and coordinate shipping of active student and active business and financial records.

This report provides a detailed and comprehensive analysis of the professional records management services performed. It includes services provided from the scope of work to the final outcomes of processing active student and active business and financial records that were shipped to respective schools and networks. The scope of work prioritized the division-of-labor with a four-step plan which was implemented in processing and shipping the active student and active business and financial records. Detailed and rigorous plans were employed which included a twenty-step

records management process of tasks, requirements, and procedures for collecting, processing, and shipping records to their respective sites. The report also includes a logistics and operations plan to brief, update, and debrief our stakeholders in each and every phase of the project.

The report addresses project implementation which covers staffing, records management training, processing active student and active business and financial records, and project outcomes. Guided by the project executive leadership, as noted in the organizational chart on page 12, a team of one consulting archivist and four project managers were hired to supervise 118 records technicians at 70 schools to process the records of approximately 18,000 students and ship 1,798 boxes of active student and active business and financial records. Additionally, the project managers assisted with coordinating and transferring 3,252 boxes of inactive records to Adam Clayton Powell School. The professional leadership team and records technicians completed phase one of the project, processing and shipping the records on July 31, 2013.

² For additional information, please see the Appendix, Section 2.

Project Background

In preparation for the consolidation of underutilized and under-resourced schools, the 300 Decisions team worked with the Chicago Public School (CPS) Transition Team and departments to develop the *Chicago Public Schools Logistical Plan (Plan)*³, dated May 1, 2013, as a guide to manage the CPS consolidation project. The Plan outlines processes, actions, guidelines, and procedures for the consolidation of underutilized and under-resourced schools. It provides a methodology for the development of processes and strategies and the implementation of actions, activities, and tasks to ensure a smooth transition in the school consolidation project. A comprehensive list of expected outcomes, including records management, is cited in the Plan to facilitate the transition of records in the consolidation process. The records management process, as outlined in the Plan, protects the intellectual property of CPS in the transition and consolidation of schools. The process also provides guidelines for collecting, sorting, packing, and indexing active student and active business and financial records; annotating boxes; and shipping boxes as cited in the Records Management Section on pages 28-31.

The policies, procedures, and protocols in the records management process are codified in the *Law Department, Records Management Unit, All Transitioning Schools Records Management Manual*⁴, dated January 30, 2013. The manual

provides guidelines and instructions on the records management process; procedures for processing, packing, and transferring records; and procedures for documenting the disposition of records.

The Robert Bobb Group, LLC was engaged with Global Workplace Solutions to perform the records management project services as required in the Plan for the consolidation of closed schools. The records management services provided by the Robert Bobb Group, LLC were performed in consultation with the Records Management Department and the Enterprise Records Manager; by following the policies, procedures, instructions, and guidelines of the Records Management Manual; and protocols, procedures, and guidelines, consistent with the Manual, as developed by the Robert Bobb Group, LLC, for the closed schools consolidation records management project.

³ For additional information, please see the Appendix, Section 2.

⁴ For additional information, please see the Appendix, Section 3.

Methodology

The methodology to service the records management project was developed in accordance with the plans and initiatives, including, but not limited to the Scope of Work, Records Management Work Plan, Logistics and Operation Plan, and Records Management Protocols, as listed below.

Scope of Work

This scope of work (SOW) performed by Global Workplace Solutions (GWS) including its subcontractor "Consultant" encompasses the consulting for, management of and the packing and relocation of the Active Student Records, and Active Business Records located in certain schools known as "Closing Schools" and "Turnaround Schools", identified in the School Consolidation Program by the Board of Education of the City of Chicago (The Board or CPS)., This SOW includes the classification, organization, identification and storage, as well as the physical transfer of the active records from the closed or other consolidating schools to the welcoming schools, and servicing of records in the turnaround schools and includes the following Priority Items:

1. Surveying, appraising, and inventorying records with a scheduled walk-through in the schools as a preliminary inspection to determine quantity and location of where records are stored;
2. First Priority, processing, including packaging, labeling, packing and transferring the Active Students Records from the closed schools to the welcoming/turnaround schools;

3. Second Priority, processing, including packaging, labeling, packing and transferring the Active Non-Students or Business/Financial Records from the closed schools to the welcoming/turnaround schools;
4. Third Priority processing and transferring the Active Non-Students Records or other Records Series from the closed schools to the welcoming/turnaround schools, other CPS location (such as Network Office) or to a designated secure storage facility as per instructions from the Records Department.

Tasks and Work Requirements for all priority levels:

1. Collect, batch, and stage active records from all areas in the school to a designated secure records processing area as determined by the consultant and CPS, in close proximity to active records file room;
2. Maintain the integrity of the current filing order provided the arrangement and organization of the files are in the original or a logical filing order as required by CPS. If provenance of the records has not been established, prepare the records in the original filing order as cited in the provided Chicago Public Schools Records Department's guidelines and procedures of packing records.
3. Pack the records according to the current filing order or in a logical filing order (alphabetical by students' last name, and thereunder by first name and middle

- initial) as required by the procedures of the Chicago Public Schools Records Department or the appropriate office responsible for managing records;
4. Follow provided Procedures and Guidelines for Processing Student Records and Non-Student Records as prepared by the Records Department or the appropriate office responsible for managing records;
 5. Prepare a complete box list for each records series, and place a copy of the completed box list in each box of the Active Students Records or any records series;
 6. Place an individual copy of the box list in the box that lists the files that are packed ONLY in the box, and attach a copy of the box list on the front of the box;
 7. A Chicago Public Schools officials must sign the *Content Certification Sheet (box list)*⁵ of records packed in the boxes as verification that the files in the boxes are the only ones that were collected and packed from the closed/turnaround school;
 8. Seal the boxes
 9. Annotate the boxes with the following:
 - a. Records Group Number by school as assigned by the consulting archivist;
 - b. Records Series/Box Content (Active Student Records);
 - c. Alphabetic range of box's content, if available;
 - d. Box number and cumulative number of boxes (i.e.1/50);
 - e. Name of the closed and welcoming schools or other CPS location (i.e., Network Office, etc.) and the date range of the records.
 10. Stage and palletize the boxes for shipping in numerical order according to the arrangements in 9B above;
 11. Shrink-wrap the boxes on the pallet or in designated staging area where pallets cannot be used;
 12. Ensure that the records are secured by CPS security staff at the loading dock or pick-up location(s) and until such time they are picked up by carrier.
 13. Schedule a records pickup date for shipping the records;
 14. Attach a copy of the records box list to the records transportation manifest for the receiving schools or the person receiving the records;
 15. Copies of the transportation manifest will be signed and dated by the authorized school official(s) releasing the records and the driver who takes custody of the records to be shipped on the same day the records are picked up and delivered to the welcoming schools or the person receiving the records.
 16. Driver will at all times accompany his vehicle while loading and unloading the records;
 17. Coordinate the shipping of the boxes to either the receiving schools or other CPS location, person receiving the records or the records storage facility, and require that the transportation manifest is signed and dated by the driver releasing the

⁵ For additional information, please see Appendix, Section 13.

records after they are shipped, and signed and dated by the official who receives the records;

18. Provide the consulting archivist with a copy of the box list and all signed and dated copies of the manifests, and accompanying paperwork;
19. Conduct, first, second, and final inspection of buildings to verify the removal of all records from the closed school.
20. A complete copy of the box lists and all supporting paperwork shall be provided to the CPS Records Department before Services can be considered complete.

Timeline of Project: Schedule of work for completion of Active Student Records and Business and Financial Records deliverables not to exceed July 31, 2013.

Primary Subcontractor: The Robert Bobb Group, LLC

Active Records Include:

- Student folders/records:
 - Cumulative
 - Health
 - Special Education
 - Speech
 - Discipline
 - Behavioral/psychological
 - Attendance
 - English Language Learner
 - RTI

Active Business and Financial records:

- Contracts
- Bank records
- Purchasing
- Budgets

- Invoices of receiving documents
- Petty cash
- Grant Records (includes current year grants, awards, private and public foundations, etc.)

Number of Schools to be included in Active Student Records and Active Business and Financial Records Project Scope:

- 47 closing schools
- 7 turnaround schools
- 16 welcoming schools

Project Price Includes:

- Cost of all associated personnel and their expenses to perform the tasks outlined above
- Cost of all materials and supplies
- Cost of transportation services

Work Plan

- CPS official or representative provided the consulting archivist with a list of 70 closing, welcoming, and turnaround schools;
- CPS/GWS identified a school for orientation and training of all (118) records technicians;
- CPS/GWS stocked schools with prescribed envelopes to file the active student records and boxes to pack active student and active business and financial records;
- Consulting archivist and project managers zoned, mapped, and routed schools by close proximity for managing the project with on-site visits;

- CPS provided the consulting archivist and project managers with a contact list of Principal Transition Coordinators (PTCs), principals, or representatives at schools for project communication and coordination or provided contact information of consulting archivist and project managers to individuals for the same purpose;
- Consulting archivist and project managers established communication with the PTCs, principals, and representatives at schools for introduction of both parties, and provided them with the names and start date of the records technicians assigned to their school;
- CPS provided the consulting archivist and project managers with roster of students currently enrolled at the closed schools, and a roster of the welcoming schools they would be attending in the Fall or informed consulting archivist and project managers that the PTCs, principals, or representatives at the schools have this list to cross check actual records collected and packed against the enrollment roster;
- Astyra hired 118 records technicians for the records management project.
- Project managers made daily inspection of project progress at the schools and, in consultation with the PTC, principal, or representative, made necessary adjustment with the project to keep it on course;
- Record Technicians affixed CPS's student labels to the envelopes, and indexed the boxes;
- Project managers conducted an initial walk-through of schools in search of active student records and active business and financial records;
- Records Technicians sealed the envelopes, and packed the active student records in boxes provided by GWS;
- Records Technicians annotated and labeled boxes with names of closed and welcoming schools, and box content; sealed the boxes; and assisted the PTCs with the paperwork transfer;
- Records Technicians staged and palletized active records for pick-up;
- Records Technicians collected, sorted, batched, filed, and interfiled active business and financial records;
- Records Technicians packed and indexed active business and financial records;
- Records Technicians annotated and labeled boxes with names networks and box content; sealed the boxes; and assisted the PTCs with the paperwork transfer;
- Records Technicians staged active business and financial records for pick-up;
- Project managers conducted initial and follow-up walk-through of schools in

Consulting Archivist held training workshop for records technicians:

- Records Technicians were assigned and deployed to the closed schools to work under the immediate supervision of the PTCs, principals, or school representative, and supervision of the project managers;
- Records Technicians collected, sorted, batched, filed, and interfiled active student records in CPS's prescribed envelopes;

search of active business and financial records;

Logistics and Operation Plan

The Logistics Operation Plan included provisions for identifying project resources, briefing and debriefing project stakeholders and staffing firm, training records technicians, establishing guidelines for employees' tour of duty, meeting project management schedule and timeline for the project, and establishing guidelines for project managers in managing the project.

Tool Box

The consulting archivist and project managers secured the following resources for the tool box to develop the logistics and operation plan:

- All Transitioning Schools Records Management Manual
 - Records Management Training Manual
 - A list of the 70 schools;
 - List of Lead Principal Transition Coordinator (LPTC) contact information (including phone numbers and e-mail addresses);
 - List of PTCs contact information (e-mail addresses);
 - List of principals and representatives from the 70 closed schools;
 - Support for supervision of record technicians onsite at closed schools.
 - Contacted Global Workforce Solutions to obtain:
 - Maps;
 - Matrix of closed schools;
 - Envelopes;
 - Boxes;
 - Transportation of active student records to welcoming schools;
 - Transportation of active business and financial records to network sites.
- Contacted Astyra Corporation to obtain:
 - 118 records technicians;
 - Recruited, interviewed, and vetted prospective records technicians.
 - Contacted Accurate Biometrics to obtain:
 - Background checks and finger printing for all employees working on project

Briefing and Updates

After this preliminary information was obtained, daily meetings were conducted with the project managers to ensure adequate progress was being made as well as any pressing questions and concerns were addressed.

Debriefing and Operational Readiness

Internal meetings were held with consulting archivist and project managers on project readiness:

- Confirmed training site and time
 - Confirmed conference training room laptop ready for presentation
 - Confirmed list of LPTCs, PTCs, principals, or representatives of the schools provided by CPS

- Consulting archivist and project managers provided their contact information to CPS to enable the establishment of necessary linkage for communication and project coordination

Training

Trained technicians in collecting, filing, interfiling, packing, indexing active student records, and active business and financial records:

- Assigned 118 technicians to schools with name of PTC or contact representative;
- Record Technicians deployed to their schools after the training;
- Astyra Staffing Corporation provided the consulting archivist and project managers with an electronic and a hard copy of the records technicians.

Tour of Duty

Records Technicians reported to their workstations each morning under the following protocol:

- 9:00am, pending a time otherwise determined by the PTC, principal, or other official school representative;
- 8 hours a day, 5 days a week, 40 hours a week;
- 30 minutes (12:00 noon – 12:30pm) lunch;
- Records technicians signed in and out every day;
- Project managers made adjustment in the workforce in the absence of records technicians;

Project Management

Project managers implemented the Records Management Work Plan to ensure the active student and active business and financial records were:

- Collected, sorted, batched, filed and interfiled;
- Packed in boxes provided by GWS;
- Affixed labels with students name on envelopes provided by CPS;
- Sealed the envelopes to protect the integrity and confidentiality of the records;
- Annotated and labeled boxes with names of closed and welcoming school, and box content;
- Sealed the boxes to protect the integrity and confidentiality of the records.

On-site visits/supervision and reports

The Project Managers managed the project and supervised the records technicians through the following tasks:

- Project managers made daily inspection of project progress at the schools and, in consultation with the PTC, principal or representative, made necessary adjustment with the project to keep it on course to completion date;
- Project managers coordinated the project with the PTCs, principals, or representatives;
- Project managers conducted initial, follow-up, and final walk-through of the

schools to ensure records were packed and secured;

- Project managers ensured that the records were collected, arranged, and packed as required by Records Management Unit;
- Project managers ensured the integrity and confidentiality of the records were protected in accordance with protocols, procedures, and guidelines prescribed by the Records Management Unit.

The Records Management Work Plan and Logistics Operation Plan were supplemented by establishing schedules for reporting to work, tour of duty, and project supervision requirements as outlined below in the Records Management Project Protocol.

Records Management Project Protocol

Reporting to work: All records technicians reported to the PTC at the school at 9:00am, or designated time, to receive their assignment for the day. If the PTC was not on-site, the records technicians were informed to contact a project manager, principal, or designee.

Active student records: Records technicians collected and consolidated active student records with the following files.

- Cumulative Folder
- Cumulative card
- English Language Learner (ELL) records
- Health folder
- Special Ed/IEP folder, including RTI information
- Speech folder
- Behavior health, psychological reports, counselor records

- Discipline records
- Truancy/attendance folder

Envelopes: Records technicians placed the above files in the envelopes provided by CPS. Information on the envelope (written or affixed on label) included the following:

- Student last name, first name;
- Student date of birth;
- Current school name (Closing school);
- Welcoming/receiving school name;
- Welcoming/receiving school GSR number;
- Envelops alphabetized by last name;
- Records were not sorted by grade level, classroom, etc.;
- Envelopes sealed for integrity and confidentiality;
- Envelopes packed in boxes provided by GWS in alphabetical order for shipping to welcoming school;
- Technicians affixed label or wrote information (student and school) on the envelopes;
- Technicians packed records in alphabetical order;

Boxes

- Technicians indexed records in boxes;
- Project managers prepared database of the indexed records;
- Technicians labeled/annotated boxes with To: Welcoming School Name; From: Closing School Name;
- Technicians labeled/annotated boxes with content;

- Technicians sealed boxes;
- Technicians staged boxes in area designated by PTC.

Active Business and Financial Records:

Technicians collected and packed active business and financial records (contracts, purchase orders, bank transactions and statements, and other related records

- Technicians packed records as filed in the file cabinet or in container;
- Technicians labeled/annotated boxes with "2012-2013 Financial Records," To: Network Office GSR # of Network Office and From: Closing School Name (unless otherwise instructed by PTC)";
- Technicians sealed boxes;
- Technicians staged boxes in area designated by PTC;
- If active/open contract(s) were found, the PTC were notified and the network coordinator was informed;
- Active business and financial records were delivered to the network office with following instructions: "DO NOT label boxes with the welcoming school name, as no business and financial records were moved to welcoming schools. Boxes labeled with the appropriate network office name, GSR of the network office, and the closing school name."

Implementation

A staffing plan was prepared to organize the project and secure the required human resources needed to implement the records management plans, procedures, initiatives, guidelines, and protocols. The project was staffed with an engagement executive, project executive (consulting archivist), four project managers, 118 records technicians, and with a shared financial, administrative, research and quality management support pool. Astyra Corporation, a staffing firm recruited, interviewed, and hired records technicians who performed records management services required in the project. All staff who worked on the project submitted to a background check and fingerprinting as required by CPS of employees and contractors working with or around children. After fingerprinting and being cleared by background check, the records technicians were scheduled for a records management training workshop on processing active student and business and financial records. Upon completing the records management training workshop, the records technicians were assigned to Principal Transition Coordinators at the identified schools.

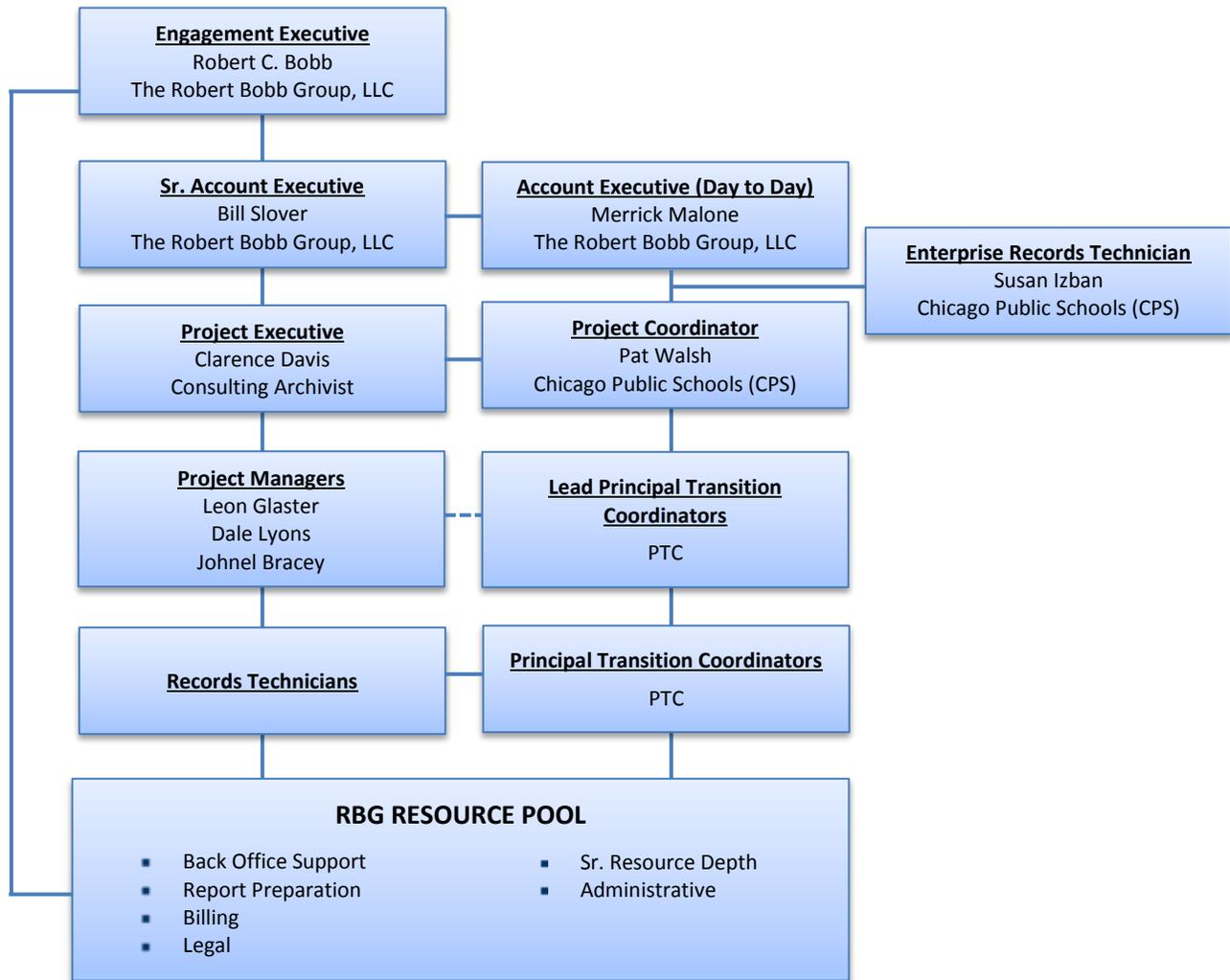
The organizational chart on page 12 outlines the division of labor employed in implementing the plans procedures, initiatives, guidelines, and protocols to implement the project. The duties and responsibilities of the project managers, the professional staff and records technicians to implement the tasks, activities, requirements of the project are cited below in the job

descriptions as required by the consulting archivist.

The records technicians collected, sorted, batched, and packed the records in envelopes; alphabetized and packed envelopes in the boxes; prepared an indexed (box list) of records packed in each box; labeled and annotated the boxes for shipment; and assisted with coordinating the shipment of boxes. The project managers supervised the 118 records technicians at the 70 schools; managed the project and the coordination of project activities with the Enterprise Records Manager, Project Coordinator, Lead Principal Transition Coordinators, and on-site Principal Transition Coordinator.

See organization chart on next page.

Staffing



Engagement Executive

The President and Chief Executive Office of the Robert Bobb Group, LLC, and Engagement Executive for the Chicago Public Schools, Records Management Project developed the scope of work for the project, negotiated the terms and condition of the contract to service the project, set the overall start to finish project directives, set the executive level policies, procedures, and instructions for the project,

and provided executive management leadership and supervision of the project. The consulting archivist, project managers, and records technicians reported to the Engagement Executive on operational, managerial, and all activities and matters related to the report.

Consulting Archivist

Under the immediate supervision of the Engagement Executive, the consulting archivist, supervised the project managers; provided project leadership in developing project guidelines, procedures, protocols, and instructions that were consistent with the records management operational instruments of the Records Management Unit; conducted records management training workshops; and coordinated project activities with the Enterprise Records Manager, Project Coordinator, Lead Principal Transition Coordinators, and on-site Principal Transition Coordinators.

Project Mangers

The project managers worked under the immediate supervision of the consulting archivist, and the overall supervision of the principal project manager and the engagement executive. The duties and responsibilities of the project managers included providing project supervision and coordinating project activities with Principal Transition Coordinators (PTCs) in supervising the records technicians in collecting, batching, alphabetizing/arranging, packing, and indexing active student and active business and financial records located in closed schools of the Chicago Public Schools (CPS).

The project managers coordinated the project with fingerprinting requirements, orientation, technicians' assignments, time and attendance, daily on-site visits, administrative and managerial activities, monitoring the project to meet target completion date, implementing plans, preparing mapping matrix, preparing reports, preparing records management paperwork with the PTCs as required by the Records Management Unit, documenting the project, and performing other activities for the

successful completion of the project. The project managers coordinated project activities with the staffing firm, the Records Management Unit, LPTCs, on-site PTCs, consulting archivist, and principal project manager. The project managers ensured that all supplies, equipment, and other materials were secured to service the project.

The project managers inventoried, surveyed, appraised, and prepared the scope and content description of records for processing and final disposition. The development of finding aids (indexes) was supervised by the project managers. Project managers prepared records action plans to process, secure, and protect the intellectual integrity and confidentiality of records in all media.

The project managers tracked the progress of the project, and made necessary adjustments when needed. They conducted initial, follow-up, and final walk-through of schools to ensure no records were left behind. All policies, procedures, and activities of the project were implemented and monitored by project managers to protect all parties from liability exposure. Roundtable issues, problems, concerns, meetings, and discussion were held with the consulting archivist every morning, afternoon, and evening for the duration of the project.

Project managers performed services and functions as listed in the sub-contractor's agreement, and duties and responsibilities as assigned.

Records Technicians

Records technicians worked under the supervision of the project managers. Duties and responsibilities included collecting, batching,

alphabetizing/arranging, packing, and indexing active student records, and active business and financial records (including active contracts and 2012-2013 financial records) located in identified schools of the Chicago Public Schools (CPS). Records technicians provided records management support to the Principal Transition Coordinators (PTCs) in closed schools that were staffed with PTCs and performed the functions of PTCs in closed schools that were not staffed with PTCs, which included working with staff in the schools to identify where active student records and active business and financial records were stored so that they were collected by records series and taken to a records work room for processing.

Records technicians processed active student records by collecting, sorting, and consolidating the entire student record (Except the Registration Card and printed Elementary School Transcript) which included the cumulative folder including the, cumulative card, English Language Learner (ELL) records, health folder, special education/IEP folder, RTI information, behavioral health/psychological reports, counselor reports, etc., speech folder, truancy/attendance file, and discipline records. Once the active student records were consolidated, the records technicians placed the files in an envelope provided by the CPS for active student records. The technicians affixed labels with student names printed on them as provided by CPS on the envelope that corresponded to the name of the student files in the envelopes. Labels were placed in the upper left hand corner of the envelope (similar to a return address label). The technicians ensured that the envelopes included information with the student last name, first name; student date of birth; current school name (closing school); welcoming school, and welcoming school's GSR# (as available) and

wrote applicable information on each envelope if a label was not available. If there was more than one envelope required to hold the complete student record, the technicians indicated this on each envelope for the student (i.e. writing "1 of 2," "2 of 2" etc.). Envelopes containing active student records were sealed for confidentiality, sorted by welcoming school, and packed in boxes in alphabetical order within each receiving school. The records in the boxes were indexed with a complete box list, a copy of the box list was placed in each box, and a copy was provided to the PTC. The technicians labeled the boxes with "From: closed school name (Closed School)" and "To: welcoming school name. (Welcoming School)". Prior to sealing the boxes, the technicians conducted a search of the records storage areas to ensure that no active student records were left unpacked. If any active student records were found, they were interfiled in the appropriate envelopes. The technicians sealed the boxes to protect the integrity and confidentiality of the records. The technicians staged the boxes for pickup, and prepared the appropriate records paperwork for transferring and shipping.

The records technicians collected active business and financial records and provided them to the PTC. The records technicians collected and packed internal accounts/financial records for the 2012-2013 fiscal year in boxes. The technicians labeled the boxes with "Internal Accounts/Financial Records / From: school name (Closed School) / To: network office / GSR #". Prior to sealing the boxes, the technicians conducted a search of the records storage areas to ensure that no active contracts or 2012-2013 financial records were left unpacked. If any required active business and financial records were found, they were interfiled in the appropriate boxes. If active contracts were found, they were given to

the PTC. The technicians sealed the boxes to protect the integrity and confidentiality of the records. The technicians staged the boxes for pickup and prepared the appropriate records paperwork for transferring and shipping.

Records Review/Inspection Technicians

The inspection technicians inspected active student records and active business and financial records according to the protocols and procedures, and instructions of the project managers. They also reported findings and assessments of inspection to project managers. The elevation of Records Technicians (RTs) to Records, Review, and Inspection Technicians was created as a necessary strategy to bring the most experience RTs into the review and inspection process to assist the project managers in putting the records completion process on a fast track, and ensuring the integrity of the records management equipment for processing active student records and active business and financial records.

The Astyra Corporation

Through a partnership with the Robert Bobb Group, LLC, Astyra Corporation was hired to source, screen, interview, and provide record technicians to work 70 CPS schools’ records management project. Using its unique, problem-solving approach that the corporation has developed over the years, Astyra successfully found over 300 prospective records technicians candidates in 4 days of sourcing. Staff at Astyra pre-screened the candidates by conducting phone screenings in order to select those candidates who warranted an interview. Over the course of two days, 150 face-to-face interviews were conducted. Astyra set up a remote office at a downtown Chicago hotel to conduct the interviews and immediately

processed candidates that met the criteria for records technicians.

Astyra hired 96 records technicians and secured an additional five on stand-by. At the projects height, additional records technicians were brought on as needed. In all, Astyra hired 118 Technicians for the project. The vast majority of technicians’ addresses were inside of the Chicago city limits. Astyra and the Robert Bobb Group, LLC were pleased with the skill set of the candidates as most of them had previous file clerk experience; many of them with medical records and/or law firm filing experience. Astyra intentionally targeted those types of resources during the sourcing because it was believed the level of attention to detail with either legal or medical filing experience would translate well when working with school files. Provided below are demographic data of the resources used on the project.

Employee Type	
Records Technicians	118

Employee Residence		
City Addresses	91	77%
Surrounding Area	27	23%

Ethnicity		
African American	91	77%
Hispanic	15	13%
Caucasian	7	6%
Not disclosed	5	4%

Records Management Training

After Astyra screen and vetted prospective candidates for the project as records technicians, a list was submitted for further vetting with background check and fingerprinting to meet CPS’ requirements for

contract employees working around students and with student records. Once fingerprinting was completed, and all candidates cleared through the background check process, the consulting archivist and project managers, scheduled a records management training on processing active student and financial and business records to fully prepare the records technicians with the skills, knowledge, understanding to service the project. The consulting archivist used with some modifications, the records management training manual prepared by the Enterprise Records Manager to meet the specific needs of training the records technicians in art of records management to maximize their skills and knowledge on this project. The records management training workshop included the following topics below:

- Project goals
 - Project expectations
 - Definition of a records and non-records
 - General records management rules
 - Locating records in the schools
 - Identifying active student records
 - Processing active student records
 - Identifying active business and financial records
 - Processing active business and financial records
 - Packing records in envelopes
 - Labeling envelopes
 - Labeling/annotating boxes
 - Indexing/preparing box lists
 - Walk through and inspect building for records
- Confirm all records are removed from building
 - Shipping records
 - Confirm welcoming/receiving schools received records
 - Confirm records stored in safe place
 - Collect box list database
 - Collect manifests database

Outcomes

The outcomes of this project produced an index (box list) of 1,451 boxes of active student records that were collected, sorted, batched, processed and packed, and 71 boxes of business and financial records collected, sorted, batched, processed and packed for shipment from 70 closed and turnaround schools. The outcomes also produced manifests for the shipment of active student records from closed and turnaround schools to welcoming schools, and the shipment of active business and financial records from the closed schools to the networks. A comprehensive list of the active student records and active business and financial records was compiled, indexed, and digitized into a computerized database on the attached disk, accompanying this report in the appendix.

Conclusion

After modifications to the scope of work and contract agreement to service more schools than were included in the original agreement, the project was successfully completed without any incidence or impediment in the records management system that impacted processing of records and the smooth shipment of records from the closed schools to the welcoming schools. Active student records and active business and financial records were collected, sorted, batched, processed, packed in envelopes, and indexed (box list); and boxes were annotated and labeled with the name of the closed and welcoming schools. The records were processed and shipped as required by the Records Management Unit. The final phase of the project, which includes compiling and tabulating the database, was completed July 31, 2013.

Recommendations

After evaluating plans, guidelines, and processing systems and procedures of the project, a Strength, Weakness, Opportunities, and Threats analysis (SWOT) of the project was conducted to improve future records management projects similar to one just completed.

The Strengths – The strengths of this project resided in the Chicago Public School, project leadership team which included the Enterprise Records Manager, the Project Coordinator, Lead Principal Transition Coordinators, and On-Site Principal Transition Coordinators. The project leadership provided background material, manual, policies, procedures, training materials,

and other useful resources on how to service the project.

Clear and concise directions, expectations, and instructions from the Enterprise Records Manager, Project Coordinators, Lead and on-site Principal Transition Coordinators (PTC) on the project were most helpful in facilitating the activities of the project. The PTC is a most valuable product of this system where their knowledge and skills in working with these records were premium. The experience they brought to the project as principals and educators was an invaluable source to the success of this project. It is recommended that the PTC system remain in place for future records management projects. The organizational structure of resourcing PTC with records technicians to service the project; project managers to supervise and coordinate the daily operation of the project; a consulting archivist to develop records management project plans, procedures, guidelines, policies, protocols, and instructions served the project with measurable success. Also, it is recommended to maintain this system of resource support.

The Weaknesses - The Weakness of this project resulted in a lack of clear and concise directions, instructions, expectations, and communication from the primary contractor on its protocols, procedures, and guidelines to execute plans, activities, and tasks required to move both the active and inactive records.

The Opportunities - The Opportunities of this project were evident in hiring many of the records technicians from the neighborhood

where the schools were located. This motivated many of the records technicians to stay with the project until completion, and a desire to work on any future projects in their neighborhood.

The Threats - The Threats were over-sized envelopes, which presented a threat to the project because the envelopes did not freely fit in the boxes. Nevertheless, the project managers and the records technicians made adjustments to the envelopes to accommodate packing them in the boxes. Other Threats included inactive records shipped with active student records, and active business and financial records that potentially threatened the integrity of keeping active student records separated from inactive records.

It is recommended, as the sub-contractor has developed plans, procedures, guidelines, and instructions as cited herein, the primary contractor should also develop written plans, procedures, guidelines, and instructions and share them with the sub-contractor so that project directions and expectations are concise and clear. The sub-contractor, on any future records management project, should have full and complete control of the project to ensure maximum efficiency. Finally, we recommend the use of standard archives and records center boxes, not moving boxes, for future records management projects.

In the future, the guiding principals for the processing of active student records and active business records must follow the guidelines and principals set forth by the Records Management Unit of the Chicago Public Schools.

Glossary

Active Student Records: Current records of matriculates who are enrolled in the Chicago Public Schools.

Active Business/Financial Student Records (FY 2012/2013): Current records created and maintained by the Chicago Public Schools in the transaction of business and financial affairs.

Archivist: An individual trained in the art and science of surveying, appraising, and scheduling records; managing an archive; managing and tracking the intellectual control and disposition of records; conducting research on and studying historical and permanently valuable records; and managing records management projects.

Inactive Business/Financial Student Records: Records of business and financial obligations of the Chicago Public Schools that have been met under the terms and conditions of the contracted transactions.

Inactive Student Records: Records of matriculates, who are no longer enrolled in the Chicago Public Schools as a result of their status which includes graduation, transfer to another public school district or institution, drop-out, death, and any other situation.

Non-Records: All copies of materials; reference and research materials (externally produced articles, internet research, equipment manuals, etc.); stocks publications, blank forms, promotional and advertising, and related records maintained by the Chicago Public Schools.

Permanent Records: Historical records of enduring value that will never be destroyed

according to the terms and conditions of the Records Retention Schedule.

Records: All information (paper and electronic) created, received, executed, or maintained by employees and contractors of the Chicago Public Schools in conducting the business of the Chicago Public Schools.

Records Retention Schedule: It is a legal document that defines retention of records as permanent or temporary records. It defines how long active records are maintained in the office; defines when inactive permanent records should be transferred to the Archives or Records Center; and defines when inactive temporary records should be transferred to the Records Center, and thereafter destroyed.

Temporary Records: Scheduled records that will be destroyed after they have met the terms and conditions of the Records Retention Schedule.

Appendix

1. The Next Generation: Chicago's Children- 21st Century Preparation for Success In College, Career, and Life
2. 300 Decisions School Consolidation Planning Services Logistical Plan (May 1, 2013)
3. All Transitioning Schools Records Management Manual
4. Records Management Workshop Manual
5. Project Manager's Position Description
6. Record Technician's Position Description
7. Protocol for Closing Schools by Zones
8. Protocol for Records Management Project
9. Protocol and Procedures for Preparing Box List and Labeling Boxes
10. Protocol and Procedures for Shipping Records
11. Protocol and Procedures for the Inspection of Closed School Buildings
12. Box Lists
13. Manifests

