

# Executive Summary

## Introduction

The Business Plan Development Team, led by Susanne Griffin, included Merry Keefe, Steve Ristuben, Jan Hrnecir, Craig Steiner, Becky Spensley and Carol Sikkema. The team received input from Business Information Services, Human Resources, City Coordinator and Finance staff, as well as Council Members and their staff. Most important, the team looked at the City Clerk's Department from the perspective of the citizens of Minneapolis.

The Development Team used the City of Minneapolis Business Planning Handbook as a guide to expand on the regular annual planning process utilized by the Clerk's Department since 1987. The Executive Summary is provided to summarize the content of the business plan.

As part of the annual planning process, the City Clerk Department reviews all responsibilities, policies and procedures to examine better ways to deliver services and manage resources. Some 2003 examples include the following:

- Streamlined the block event process before transferring the function to Public Works and Regulatory Services
- Reduced information required to be published in Finance and Commerce, saving an additional \$15,000 per year
- Reviewed convenience copier and printer costs with the Community Planning and Economic Development Department to save thousands of dollars in copying costs
- Reduced the number of voting precincts to save \$25,000 annually

## Mission Statement and Primary Business Lines

The City Clerk Department exists is to coordinate and maintain high quality, cost-effective information for Council Members, City staff and the public, so that effective and responsible decisions can be made to govern the city. We conduct elections that facilitate the maximum participation of all eligible voters in the City of Minneapolis.

To fulfill that mission the City Clerk Department has the following four primary business lines:

1. Information Management – Coordinate, maintain and provide access to City information
2. Council Administration and Support – Provide administrative support to City Council
3. Printing and Mailing Services – Provide copying and postal services
4. Elections and Voter Registration – Facilitate citizen participation in the electoral process

The City Clerk Department has completely outlined each of these business lines in the following plan, and a number of performance measures have been developed for each business line. The Department will continue to review those measures to determine whether they are accurately representing and measuring the outcome of the Department's and meeting its mission.

## Alignment with City Goals

The City Clerk Department aligns with and influences the following city goals:

- Deliver consistently high quality City services at a good value to our taxpayers - The City Clerk Department's mission, vision and values have a strong customer focus. The City Clerk Department places a high priority on making information available and accessible to every citizen and organization.
- Strengthen City government management and enhance community engagement - Community engagement and trust in government increases when there is easy access to information and services. The City Clerk Department continues to promote an informed community by accurately recording, transcribing and distributing City information via a variety of means.

## Significant Trend and Challenges

The City Clerk Department conducted an environmental scan and identified a number of trends and challenges that are facing the Department over the next several years:

1. **Enterprise Information Management (EIM): Internal policies and procedures** - The evolution of new systems to support City business processes has changed the way information is created and managed. The City needs to develop and implement policies, procedures and tools to provide the necessary foundation and framework by which electronic systems and records will be created, accessed and managed.
2. **Citizen Access to Information: External strategies to increase citizen participation** - The City Clerk Department will continue efforts to provide fast, accurate and easily accessible, quality information to the public concerning Council issues and actions. With enterprise enhancements to e-government, the Department will continue to develop additional automated tools to provide cost effective, efficient access to information.
3. **New Election Requirements due to the 2002 Federal Help America Vote Act (HAVA)** - The City Clerk Department Elections Office has been actively involved in interpreting the impact of this new federal law that was passed in response to voting problems during the 2000 presidential elections in many states, but fortunately not Minnesota. The full impact of this federal legislation remains to be seen, however, election officials statewide are working to fully implement this legislation to continue to facilitate this fundamental right.
4. **Technology** – The Department faces technological challenges with custom database applications used throughout the department and with imaging systems.
5. **Resources** – The City Clerk Department has seen a significant reduction in staff over the past several years, yet the department has made a strong commitment to support the City Council and the citizens, particularly as it relates to access to information. The reduction in resources presents a number of challenges across the City.

## Key Initiatives

### Enterprise Initiatives - Enterprise Information Management (EIM)

**Background:** City business that was once conducted manually is now being conducted electronically. The information required to support and document City business processes and transactions has changed. Paper-based records systems are now computerized. These systems manage information in more complex and diverse electronic data structures. New and ever increasing regulations and accountability requirements being issued by federal and state government compound the problems caused by trying to effectively manage the City's electronic business transactions. All of these changes create new complexities in how the City creates and manages its information.

**Program:** The EIM program is designed to create a standardized governance framework of policies, procedures and application tools for the life cycle management of electronic information resources across the enterprise. This program is jointly shared between the City Clerk Department and Business Information Services (BIS) and governed by a Policy Board that includes the City Coordinator, City Attorney, Chief Information Officer and the City Clerk.

## Key Business Line Strategies

The City Clerk Department has identified the following **strategies or initiatives to respond to challenges** and realize opportunities over the next five years:

1. Information Management: Reorganize to support EIM initiative
2. Citizen Access to Information: External strategies to increase citizen
3. Document Imaging and Metadata Services: Centralized Imaging Services
4. Council Administration and Support: Coordinate move toward independent ward administration
5. Printing and Mailing Services: Create additional efficiencies
6. Elections, Voter Registration and Passports: Respond to legislative changes and create efficiencies

# Minneapolis City Clerk Department Business Plan May, 2004

---

## Table of Contents

<b>Executive Summary</b>	p.i
<b>1. Department Overview</b>	
A. Mission, Vision and Values	p.1
B. Primary Business Lines	p.2
C. Alignment with City Goals	p.3
D. Trends and Challenges	p.4
E. Organization Chart	p.5
<b>2. Primary Business Line Overview</b>	
A. Information Management	p.6
B. Council Administration and Support	p.8
C. Printing and Mailing	p.9
D. Elections and Voter Registration	p.10
<b>3. Strategies and Initiatives</b>	
A. Business Line Strategies	p.11
B. Enterprise Initiatives - EIM	p.13
Governance	p.15
Retention	p.16
Data Practices	p.17
Classification	p.19
Metadata	p.21
Skills Capacity	p.23
Resources and Timeline	p.24
<b>4. Resource Plans</b>	
A. Finance	p.25
B. Workforce	p.29
C. Technology	p.31
D. Equipment	p.31
E. Space	p.32
<b>Summary</b>	p.33

## 1. Department Overview

### 1-A. Mission, Vision, Values

**Our mission** is to provide high quality, cost-effective information for Council Members, City staff and the public, so that effective and responsible decisions can be made to govern the city. We strive to ensure that all procedures of the Council and Clerk's offices conform to Federal, State and City regulations and policies, so that information management, actions and documentation lead to sound and legally based decisions. We conduct elections that facilitate the maximum participation of all eligible voters in the City of Minneapolis.

**Our vision** is to be a technologically advanced department, known for fast, accurate, professional and courteous service. The department is a place where employees enjoy coming to work, are dedicated to their profession and reflect that attitude in their customer service. We are known as a valuable resource for all departments and the public, as a problem solver and a team player working on citywide solutions.

#### **Our values**

*We take pride in our work and have high professional standards.*

- We have strong ethical standards, high integrity and honesty,
- expect change and believe in continuous improvement,
- support professional development, and
- work for the city as a whole, not just our own department.

*We treat customers with courtesy and respect.*

- We are flexible problem solvers for our customers,
- charge fairly for our products, and
- invite feedback.

*We treat others as we want to be treated.*

- We deal respectfully and directly with others,
- give honest feedback in all directions,
- listen carefully, and
- work cooperatively and recognize good works in each other.

## 1-B. Primary Business Lines

### Information Management

- Coordinate Council Committee activities
- Guide the City's management of electronic, and paper records
- Maintain access to current and past Council actions
- Provide historical and reference information for the public and City departments
- Provide public access to City services through referrals and by answering questions about City policies and procedure
- Coordinate and provide customer services for open appointments to boards and commissions, permits, domestic partnerships and the Board of Equalization

### Council Administration and Support Services

Provide administrative and support services to the Clerk and Council offices including:

- Budget and purchasing management
- Technology support
- Human resource assistance
- Facilities management

### Printing and mailing services for City departments

- Provide mail service and high quality, low cost copying and duplicating services to all departments in nine buildings.

### Elections, Voter Registration and Passports

- Conduct well-organized and accurate elections, which facilitate the maximum participation of all Minneapolis residents eligible to vote.
- Ensure that all elections are in compliance with Federal, State, and City election laws and requirements.
- Offer customer services as a Passport Acceptance Agency.

<b>Legally Mandated Functions</b>	<b>Federal</b>	<b>State</b>	<b>Local</b>
Information Management	X	X	X
Council Administration and Support			
Printing and Mailing Services			X
Elections and Voter Registration	X	X	X

## 1-C. Alignment with City Goals

The City Clerk Department aligns with the following City goals:

### **Goal #3**

**Deliver consistently high quality City services at a good value to our taxpayers.**

#### ***Improve Service Delivery:***

*Minneapolis will develop a culture of customer service within City government. We will make City services more accessible and user-friendly and will make our processes clear and understandable. City government will deliver all services in an effective and cost-efficient manner. We will ensure equitable City service delivery for all communities and will advocate with our partners for community-based service delivery.*

#### ***Service Delivery Opportunities:***

*Minneapolis will continue to find ways of improving upon the way we do business. City departments will work together to seek out and address opportunities for improving service delivery. We will engage the community in these efforts where appropriate.*

#### ***Evaluate Service Delivery:***

*Minneapolis will explore strategies and technologies that measure service delivery. These tools will be used to determine where resources are most needed and what services the City should deliver.*

**City Clerk Department Response:** The City Clerk Department's mission, vision and values have a strong customer focus. The City Clerk Department places a high priority on making information available and accessible to every citizen and organization. E-government continues to be a high priority for the City Clerk Department. During this past year the department posted additional Council committee information including agendas and staff reports on the Web. Forms available on-line include absentee ballot applications, election judge applications, block event permits and domestic partner applications.

### **Goal #8**

**Strengthen City government management and enhance community engagement.**

#### ***Community Engagement:***

*The voices of individuals and the community are valued and will be heard and involved at appropriate points in the City's decision-making processes. The City will be more effective and efficient in how we communicate with and engage communities, and will work to include those who are typically under-represented in public dialogue. We will focus our engagement efforts in a manner that supports the long-term strength of a community.*

#### ***Government Management:***

*The City will focus on enhancing productivity and creating a customer service-oriented culture. We will create a work environment where employees can excel, by building employee skills and improving employee diversity. Better information and analysis will be used to allow for more informed decision-making at both the elected and staff levels. We will develop and maintain a long-term, sustainable financial plan for the City. Special focus will be given to engaging our employees and the community in how we address and communicate these financial challenges. Elected officials and departments will hold themselves accountable to City goals, policies and plans.*

**City Clerk Department Response:** Community engagement in government increases when there is easy access. The City Clerk Department continues to promote an informed community by accurately recording, transcribing and distributing City information via a variety of means (Internet, cable, print, etc). By ensuring the Council has clear and accurate information for decision making, Council Members are free to focus on the community and policy and not on administrative details. Finally, civic participation measured by voter turnout reached a high of 68% in past elections proving that communication and public education work in Minneapolis.

## 1-D. Trends and Challenges Impacting the City Clerk Department

### 1. **Enterprise Information Management (EIM): Internal policies and procedures**

The evolution of new systems to support City business processes has changed the way information is created and managed. The information sources that support business processes and document business transactions have changed from simple paper records to more complex electronic data structures. This change has created new complexities in the processes required to manage information. The city needs to develop and implement policies, procedures and tools to provide the necessary foundation and framework by which electronic systems and records will be created, accessed and managed. These include citywide document management standards, Web site governance and information system purchase and implementation policies. Integration of these systems into an enterprise information system will require coordination of policy makers in the City Clerk, Attorney, Coordinator, and Business Information Services departments.

### 2. **Citizen Access to Information: External strategies to increase citizen participation**

The City Clerk Department will continue efforts to provide fast, accurate and easily accessible, quality information to the public concerning Council issues and actions. The Department provides complete electronic information of staff inputs and committee actions. The automation of the Council Chamber includes speaker management and Web presentation of all Council activities. With enterprise enhancements to e-government, the Department will continue to develop additional automated tools and develop a process to migrate and/or modify electronic documentation linked to agendas, and supporting committee actions, to the imaging system that retains the final signed and/or amended documentation submitted to City Council.

### 3. **New Election Requirements due to the 2002 Federal Help America Vote Act (HAVA)**

The City Clerk Department Elections Office has been actively involved in interpreting the impact of this new federal law that was passed in response to voting problems during the 2000 presidential elections in many states, but fortunately not Minnesota. The full impact of this legislation remains to be seen, however, the law requires that at least one piece of voting equipment equipped to meet the needs of voters with disabilities, including voters with visual disabilities, must be at every polling place by 2006. Federal dollars have been allocated to meet this requirement, however, those dollars may not adequately cover the costs of the new equipment. Cities may be impacted financially by this mandate, and the additional equipment will require training, public education, maintenance and testing of the equipment.

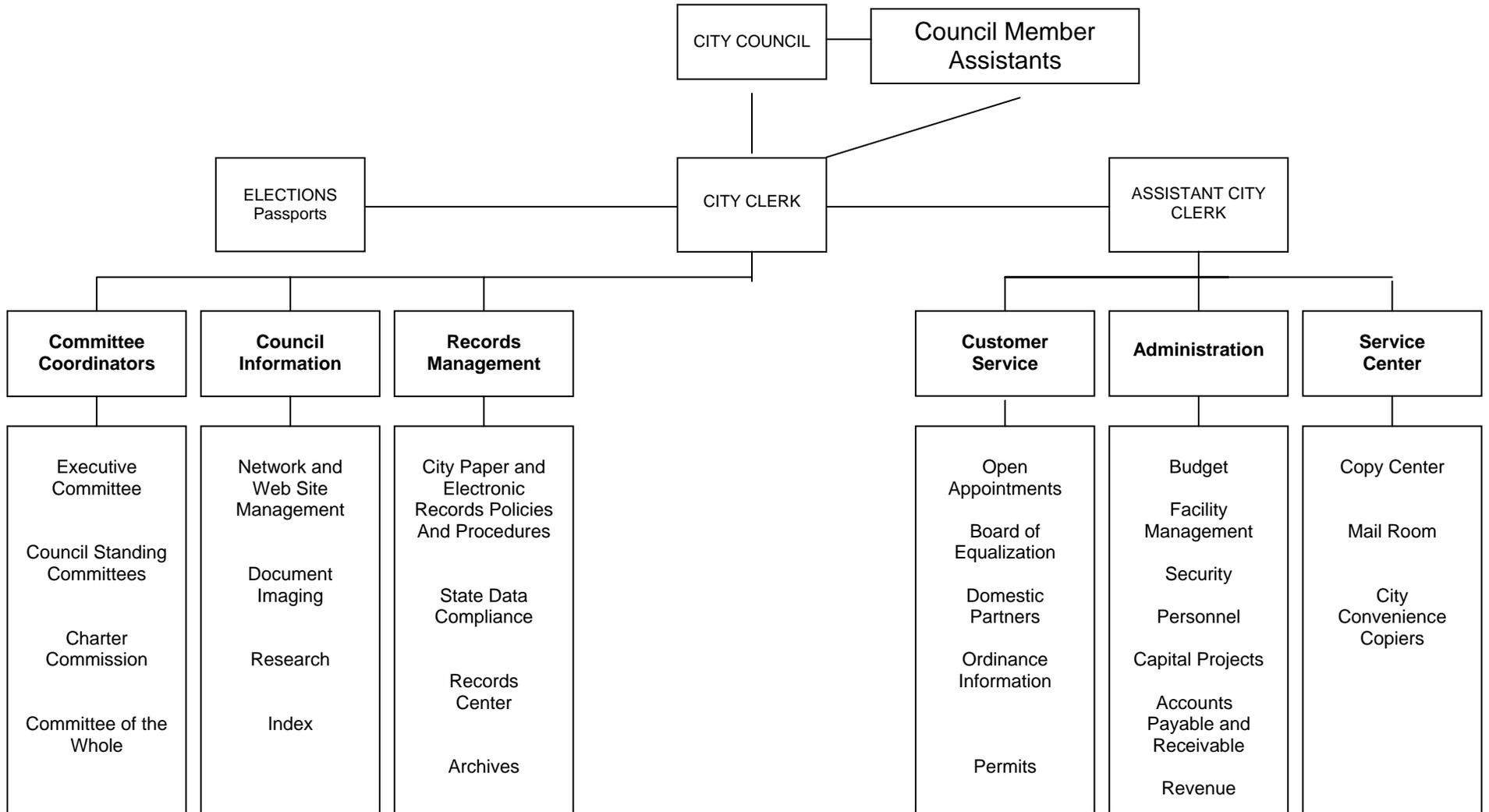
### 4. **Technology support**

**Database custom applications:** The City Clerks Department has multiple custom applications using Microsoft Access advance features and calculations. The department relies on these applications to do everything from managing a complex elections database, and generating reports of City Council actions to billing departments for copying charges. There is limited support within the department to maintain these important applications.

**Document imaging upgrade and/or conversion:** The department uses a document imaging system software known as Trimco. The vendor has not kept up with business needs. The challenge is to identify a more appropriate software for the City that has the capability to convert data between electronic/storage mediums.

### 5. **Staff Reductions:** The City Clerk Department has seen a significant reduction in staff over the past several years, yet the department has made a strong commitment to support the City Council and the citizens, particularly as it relates to access to information. Maintaining the high quality level of service to the public and Council process is a challenge that requires the department to continually review its processes, eliminate low demand services and implement efficiencies.

# Minneapolis City Clerk 2004 Organization Chart



## 2. Primary Business Line Overview

### 2-A. Information Management

#### Service Activities:

#### 1. Coordinate Council committee activities

- Provide administrative services to City Council standing committees and special committees, Executive committee, Charter Commission, Committee of the Whole and City Council meetings to insure that all proceedings follow legal requirements and are accurately recorded
- Schedule Council committee meetings
- Collect information from all city departments for committee action
- Prepare and distribute paper and electronic agendas and packets
- Record and transcribe minutes of committee meetings, write referrals and committee reports
- Review all committee actions to ensure accuracy
- Petition correspondence for the permanent record
- Prepare Council actions for publication in Finance and Commerce and on the City Web site
- Respond to requests for information from city staff and the public
- Update department procedures relating to Council process
- Train city staff about council policies and procedures
- Provide verbatim transcriptions services for administrative law judges

#### 2. Guide the City's management of electronic and paper records

- Provide uniform and consistent guidance for the management of all City records including existing paper, and electronic records and records created from evolving technologies such as e-mail, Web postings, GIS and electronic commerce
- Maintain and manage inactive records held in the City Records Center and the collection of historical records held in the City Archives
- Research and communicate the statutory, legal and regulatory requirements governing electronic record keeping
- Oversee data practices mandates that govern public access and privacy protection
- Provide retention guidance to departments in the scheduling of electronic and paper records
- Manage Enterprise Information Management (EIM) standards and practices for all city departments, consistent with other local, state and national jurisdictions

#### 3. Provide public access to Council information

- Manage the codification process for the Code and Charter
- Maintain City Council Official Proceedings as the permanent record for the City
- Publish Council actions in Finance and Commerce and on the Web, and maintain official publication records
- Provide certified copies of Council actions.
- Provide information on past and current Council actions and Council activities and ordinances
- Proofread all Council actions to ensure accuracy
- Catalog Council proceedings and associated documents. Index official proceedings and compile, bind and distribute to departments and libraries
- Provide individual technology support to Clerk and Council staff, including Web services and manage the department's technology systems
- Provide document imaging services

**4. Provide public access to information about City services and coordinate citizen participation through City boards and commissions**

- Coordinate Domestic Partner registration, Encroachments, Street and Alley Vacations, Board of Equalization and Council Permits
- Administer Oaths of Office and provide Notary services
- Coordinate the Open Appointment process for city boards and commissions

**Information Management - Markets, Customers and Expectations**

The City Charter mandates that the City Clerk serve as the official scribe for the City Council and act as the official record keeper for City documents. On that basis, the ultimate customer of the information collected by the City Clerk Department is the public. However, other customers include City staff and departments, businesses, law firms and corporations, neighborhood organizations, other units of government such as the State and even other cities. Citizen surveys in the past have demonstrated a high level of satisfaction with the City Clerk Department.

**Relationship to other Departments**

Information and data is integral to the business of the City. All City Departments are creators, users, and keepers of information and data, and consequently must interact with the Clerk's office about their records. From the inception of a City record, when a department submits a request for a Council action, to the discussion during a committee or Council meetings to the final retention and destruction of that record, all City departments must work in partnership with the City Clerk Department to treat that record appropriately and within the bounds set by state statutes, ordinances and City policies.

**Key Performance Measures**

**Outcome Measures:**

**Number of:**

- Council Proceedings proofread, indexed and published to the Web
- Ordinances passed
- Data practices requests
- Departments conforming to the Records Retention Schedule
- Subscribers to receive Council meeting notices
- Board of Equalization applications processed
- Domestic partner applications processed
- Certified copies of council action processed
- Citizens accessing the City Clerk Department pages on the City's Web site

**Performance Measures**

- Percent of Official Proceedings created, proofed and published on the Web within five working days
- Percent response to current and historical inquiries researched with three working days and provided within stated goals
- Cost of City Council official publications
- Percent response to current and historical inquiries processed within three working days
- Percent of Council committee agendas and with supporting documentation published to the Web

## 2-B. Council Administration and Support

### Service Activities

#### Provide administrative support services for the City Clerk and Council Offices

- Manage budgets for the Council and City Clerk Department through preparation and oversight, interdepartmental transfer of funds, expense reimbursement, purchasing, invoice paying, contract management and inventory control
- Coordinate human resources through hiring, orientation, training, performance review, coordinating temporary help and payroll
- Manage facilities for the Council and City Clerk Department
- Serve as a liaison between the Council and BIS to provide technological services to Council Members and staff
- Develop policies and procedures

#### Council Administration - Markets and Customers

Primary customers of the support services role of the City Clerk Department are the City Council Members and their staff. This division also serves the staff of the City Clerk Department and assists the Elections office with some duties. Individual ward offices now manage administration of budgets. The City Clerk Department provides oversight and maintains a liaison role with the budget office, purchasing, facilities office and human resources.

#### Relationship to other Departments

Providing administrative supporting the Council requires the City Clerk Department to partner with Human Resources, Finance, BIS, Facility Management and City Attorney's office.

#### Key Performance Measures

##### Outcome Measures

##### Number of:

- Employees hired
- Requests for larger purchases processed
- Professional services contracts processed
- BIS transactions facilitated
- Employees participating in training opportunities
- Union grievances resolved
- Work related injuries

##### Performance Measures

- Percent achievement of affirmative actions goals
- Percent of down time for speaker management system

## 2-C. Printing and Mailing Services for City Departments

### Service Activity

#### Copy Center and Mail Center

- Provide mail service and high quality, low cost copying and duplicating services to all departments located in City Hall and other City offices in the downtown area.

#### Printing and Mailing - Markets, Customers and Expectations

The Copy Center and Mail Center provide services to all City departments within and outside of City Hall. A new customer to the Copy Center and Mail Center is the former MCDA, now CPED. Plans are underway to save the City thousands of dollars in convenience copying costs by providing City service to this department rather than use the leased copy machines that MCDA used.

#### Relationship to Other Departments

The Copy Center and Mail Center have relationships with all City departments and have also developed relationships with Hennepin County and external businesses such as Xerox. A study is currently being conducted by a work team consisting of City Clerk staff and Hennepin County Copy Center and Mailroom staff to identify efficiencies between the two entities.

#### Key Performance Measures

##### Outcome Measures

##### Number of:

- High speed impressions
- Convenience copier impressions
- Pieces of interoffice mail processed
- Pieces of United States Postal Service (USPS) mail processed

##### Performance Measures

- Percent of orders completed within customer time frame and meeting quality expectations

## 2-D. Elections, Voter Registration and Passports

### Service Activity

#### Administer election process for up to 250,000 registered voters at 130 voting precincts

- Conduct well-organized and accurate elections that facilitate the maximum participation of all Minneapolis residents eligible to vote
- Ensure that all elections are in compliance with Federal, State and City election laws
- Supply voter registration cards and election information to the public
- Coordinate and conduct election activities by preparing equipment, ballots, obtaining and staffing polling places, and organizing support staff and materials
- Administer the absentee voting process
- Administer candidate filing process
- Recruit, test, hire, assign, train, evaluate and pay election judges
- Conduct required testing of ballots and equipment
- Publish required election notices and results
- Provide election results and precinct detail of elections
- Administer the filing requirements of the City's Ethics Ordinance and State Statutes for local government officials

#### Serve as a Passport Acceptance Agency for the federal government

- Process applications for federal passports
- Take passport photos

#### Elections - Markets, Customers and Expectations

The ultimate customers of Elections and Voter Registration are the citizens and residents of the City of Minneapolis. The Minneapolis School Board is a customer as the City provides election services under contract for the Board. Downtown workers are a potential customer for passport services.

#### Relationship to Other Departments

The Elections Office exists to serve the voting public. Other City departments are critical in achieving that goal by offering opportunities for the public to register to vote. There are a number of City departments or other Boards, who serve as partners in this area such as the Fire Department, Public Works (Utility Billing), Police Department, Mayor and Council offices, Parks and Libraries. Citizens can obtain voter registration applications at all these locations.

#### Key Performance Measures

##### Outcome Measures

##### Number of:

- Elections conducted
- Election judges recruited, trained and staffed per election
- Regular and Absentee Ballots cast
- Economic Interest records maintained (local officials)
- Passport applications processed

##### Performance Measures

- Satisfaction with the voting experience: percent of sustained complaints per ballots cast
- Cost per ballot cast per type of election
- Percent of precincts reporting results within 60 minutes of polls closing
- Quality and quantity of informative information available to the public via the Elections Web site
- Accessibility of polling places
- Accuracy of election results

## 3. Strategies and Initiatives

### 3-A. Business Line Strategies

#### 1. Information Management: Reorganize to support EIM Initiative

- Expansion of Responsibilities: The responsibilities of the Records Management Division are expected to increase between 2005 and 2009 to accommodate increased demand for services from departments needing to comply with State and Federal regulations for managing electronic and paper records. The Enterprise Initiatives section outlines this issue in depth.
- Staff Reassignments: All individual staff responsibilities are under continuous review to enable the Administration and Council Information Divisions to shift time to support the Committee Coordinators who lost one position due to budget cuts and to Records Management to accommodate increased work load.
- Shifting Responsibilities to Other Departments: Functions not central to the City Clerk Department mission, or that could be done more efficiently in other jurisdictions, are currently under evaluation for relocation.
- Elimination of Functions: All functions are under continuous review for possible elimination of procedures or services that are not mandated by federal and state law or city ordinances, resolutions, policies or goals.

#### 2. Citizen Access to Information: External strategies to increase citizen participation

- Council Committee Work Flow: By the end of 2005 the Department will complete the electronic committee packet process. This will include the development of a process to migrate and/or modify electronic documentation links to agendas, supporting committee actions to imaging systems that retain the final signed and/or amended documentation of council actions.
- LEP: The Department, including the Elections Office, will institute a variety of initiatives to allow for better access to City information for our limited English proficient citizens.

#### 3. Document Imaging and Metadata Services: Centralized Imaging Services

- Within four years, the City Clerk's Department could be a central service department (especially for small and medium-size departments) for scanning, metadata tagging and entering documents into an enterprise document management system.
- Centralization would create efficiencies as departments can share larger and faster hardware and software and take advantage of City Clerk staff expertise.

#### 4. Council Administration and Support: Coordinate move toward independent ward administration

- Ward Budgets: At the request of the Council, in 2003 the City Clerk Department, with the assistance of the Finance office, created individual ward budgets and a 14<sup>th</sup> budget for common items. The goal is to give Council offices more flexibility and control over their own operations.
- Office Management: To support the ward budget model, other services now provided by the City Clerk are being moved to the City Council. These activities include additional budget responsibilities, personnel and facilities management.
- Options: The Council could consider other options for administering their offices. These options range from returning to the previous centralized model, modifying the current model or considering an Office Manager position specifically for the City Council.

#### **5. Printing and Mailing Services: Create additional efficiencies**

- In 2003 and 2004, a study is being undertaken by the City Clerk to determine the feasibility of merging all/some City functions into Hennepin County Central Services. The City divisions under consideration are Copy Center, Mail Room, Utility Billing and BIS Data Operations. For any mergers to occur, it must be shown that there will be significantly decreased costs and/or significantly greater efficiency and that the City's performance requirements are met.
- The City received a \$25,000 waste reduction grant in late 2003. A City team, working with a private sector consultant, will determine additional ways the City can save money by reducing paper consumption.

#### **6. Elections, Voter Registration and Passports: Respond to legislative changes and create efficiencies**

- The 2002 Help America Vote Act created many opportunities for improvements in the election process. The Minneapolis Elections Office, under the coordination of the Secretary of State's office and County Auditor's Office, must respond to the mandates set forth in this federal legislation.
- In 2003, the City Elections Office eliminated 2.5 FTE and transferred the voter registration data entry function to Hennepin County, which has legal responsibility to perform the function.
- As part of that process, a study was conducted by Minneapolis and Hennepin County to review all election related activities to determine whether there would be efficiencies having the county perform some or all election activities. The results of that study were that no efficiencies would be gained. Furthermore, the City would lose revenue generated from the Minneapolis School District elections.
- Adding Services: The Elections Office is now offering passport and passport photo services by becoming a Passport Acceptance Agency for the federal government.

## 3-B. Enterprise Initiatives

### Enterprise Information Management (EIM) Introduction

**Background:** City business that was once conducted manually is now being conducted electronically. The information required to support and document City business processes and transactions has changed. Paper-based records systems are now computerized. These systems manage information in more complex and diverse electronic data structures. New and ever increasing regulations and accountability requirements being issued by federal and state government compound the problems caused by trying to effectively manage the City's electronic business transactions. All of these changes create new complexities in how the City creates and manages its information.

As new systems are designed and implemented, they must be designed to capture and manage much more than simple information about City business. New systems must accommodate requirements that mandate: separation of public and private data; records creation and reporting requirements; retention requirements; creation of high quality data; implementation of security controls, production of trustworthy and authentic records, standardization of common data structures for intergovernmental sharing; as well as many additional requirements.

The City needs to address its information management obligations and in doing so, must change existing practices to reflect and support how information and data is managed. Enterprise Information Management provides the foundation to develop information systems that comply with new requirements and from which required information will be created and managed to support the business needs of departments and meet the financial, legal and administrative requirements of the City.

**Vision:** The Vision of Enterprise Information Management is to manage all City information in a disciplined and coordinated manner to optimize the value of our investments in information assets, support effective and efficient operations and improve the delivery of services to our citizens.

**Program:** The EIM program is designed to create a standardized governance framework of policies, procedures and application tools for the life cycle management of electronic information resources across the enterprise. This program is jointly shared between the City Clerk Department and Business Information Services (BIS) and governed by a Policy Board that includes the City Coordinator, City Attorney, Chief Information Officer and the City Clerk. The EIM Policy and Board was approved by the City Council on August, 22, 2003.

**Principles:** The EIM Management Principles include the following:

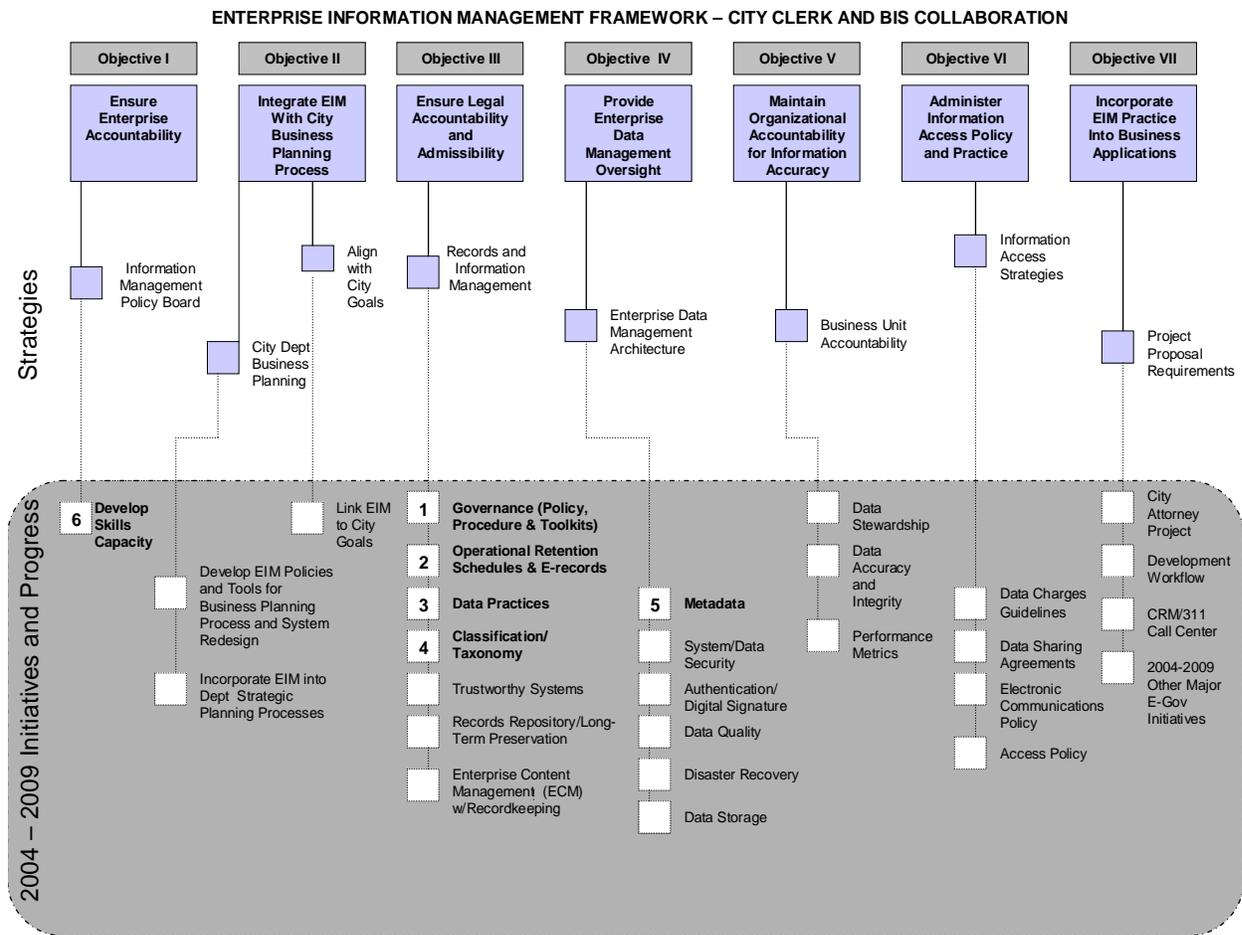
1. **Accessibility:** Information is easily accessible to those who need to use it and are authorized to access it
2. **Usability:** Information meets the needs of employees, clients, partners and stakeholders and is timely, relevant, accurate and easy to use
3. **Accountability:** accountability for the management of information in the custody or under the control of each department is clearly defined
4. **Integrated Approach:** Information assets are managed throughout their entire life-cycle regardless of the medium in which they are held
5. **Planned and Coordinated Approach:** Coordinated planning for the management of information is linked to departments business plans and the City budget process
6. **Optimize the Value of Information Assets:** Information assets will be managed to optimize the investment of the City

**Objectives:** EIM is founded on information management and technology strategic objectives that are intended to be enduring and provide a foundation for the development and implementation of enterprise systems. The strategic objectives address:

- I. Enterprise accountability
- II. Integration of EIM into City business planning process
- III. Legal accountability and admissibility
- IV. Enterprise data management oversight
- V. Organizational accountability for information accuracy
- VI. Information access policy and practice
- VII. Incorporation of EIM practice into business applications

The development of EIM within these overarching strategic objectives is based on City goals, Information Technology objectives and Records Management objectives from the Office of the City Clerk. The strategic objectives represent a statement of the fundamental beliefs that underpin Enterprise Information Management and the rules by which City departments are expected to comply. The objectives provide high level guidance for information management and technology investments across the City and should not require frequent change or amendment.

Included below is a graphic that represents these high level strategic objectives and a number of the tactical initiatives that will be required to implement the long-range vision throughout the organization.



**Initiatives:** While all initiatives identified in the graphic will be points of focus for both the Clerk's Office and BIS, six initiatives have been highlighted as crucial components in the Clerk's 5 year plan and are individually detailed following this introduction. They include:

1. Governance: Policy, Procedure and Toolkit Development
2. Retention: Operation Retention Schedules and Electronic Records
3. Data Practices Program
4. Classification/Taxonomy
5. Metadata
6. EIM Skills Capacity

## **1. EIM - Governance**

*Develop and implement enterprise policies, procedures and toolkits for managing electronic records*

### **Description and Benefits:**

The principle purpose of the EIM program is the development of a standardized governance framework of policies, procedures and application tools for the management of electronic information across the City. This development, in addition to related efforts detailed in other sections of this work plan, will include:

- Identification and research of legal and policy requirements.
- Establishment of information management policies and procedures.
- Development of specific toolkits such as the Information Risk Analysis Toolkit, Definition for a Repository for the Long-Term Storage of Records and the development of an RFP for Enterprise Document Management Software with Recordkeeping Capability.

The principal benefit of this initiative will be to ensure that appropriate information will be created to support the financial, legal and administrative requirements of the City. New information management policies and procedures will help to provide staff with more accurate information in order to make informed and effective business decisions. They are also necessary because they will help to provide more accountable, accurate and timely information to the public.

### **Status:**

- EIM framework products are being developed to address the information management requirements of the enterprise. The City of Minneapolis Recordkeeping Standard was developed to provide the operational guidelines for the introduction and maintenance of practices that will ensure that records documenting business, legal and fiscal requirements are managed in an efficient and accountable manner.
- EIM framework products are being developed within the context of system development projects. The EIM Policy requires that information management requirements be integrated into the development on new systems. The project to develop a case management system (CMS) for the City Attorney's Office is the first to include EIM components. Through this project the Information Management Assessment Toolkit has been developed to identify the Attorney-specific recordkeeping requirements that must be addressed for the CMS project. In addition, reusable recordkeeping requirements are being developed for inclusion in the RFP for the new system.

### **Strategy, timing and resources:**

- The EIM Policy Board will be brought together to assess the current status of the EIM Initiative with respect to the framework products that have been developed both independent of and within system developments. At the board's direction, the primary EIM framework products including the development of the specific toolkits described above will continue for the next five years. These toolkits are in addition to other related products detailed in other sections of this work plan including the metadata standard and classification/taxonomy development.

- EIM integration in system development projects will also continue from the initial effort with the City Attorney's CMS Project. The integration into systems will expand beyond new systems to include modified and existing systems within the next two years.

**Cost of doing nothing:**

Failure to address information management issues will lead to an exacerbation of the problems with information resources as the City increases its reliance on electronic systems. Problems with integrity and trustworthiness, access and security, storage and retention, etc. will be regular experiences with City information unless addressed now.

**Issues:**

The inclination may be to only fund EIM through system development projects. The success of this initiative depends on funding for efforts that are independent of any individual system development project as well as those that occur within the context of a system project. It will not be possible to create all of the framework policies, procedures and application tools during these projects. In addition, those that are created within any particular project are likely to be tailored to the specific business needs of the project. This creates the need to standardize these framework products outside of the project so that they are usable across the entire enterprise.

## **2. EIM - Retention**

### *Operational Retention Schedules for Departments and Electronic Records*

**Definition:** Governs the life cycle of a record. Defines records and dictates what must be kept and for how long. All retention schedules must be approved by the State and no records can be destroyed without State approval.

**Description and Benefits:**

City departments create and maintain a significant number of records that are currently not covered under the City General Retention Schedule. The General Retention covers all common records and there are many records specific to departments (departmental operational records) that have not been identified or scheduled. Department retention schedules will be created using the same method that was used to create the general schedule. Records will be scheduled based on their function and broad functional record series will be created to capture department records. This approach will prevent the need for constant schedule updating as overall department functions are less likely to change whereas individual documents or forms associated with a function are regularly altered, renamed or replaced.

The primary benefit of scheduling department operational records is the ability to destroy records based on approved retention time periods. This will allow departments to dispose of outdated paper records that are now taking up physical office or storage space. It will also allow departments to dispose of outdated electronic records that are now occupying computer space, some to the point of affecting the performance of the programs that are generating the records.

The completion of the department schedules will also contribute to the success of the Enterprise Information Management (EIM) initiative. Prior to the implementation of any new system, the retention schedule for the records associated with that system must be completed. If the department schedules are completed, that required part of the EIM system development can be skipped saving development time and money. Using the functional retention schedule approach will also allow for similar functions across departments to emerge and contribute to EIM efforts involving data sharing, multiple systems and multiple departments.

**Status:**

The General Retention Schedule for all common records was completed in 2000 and is updated on a regular basis. Department specific scheduling has proceeded in areas that have funded the scheduling work. These have been small efforts that are specific to one project or program within a department.

**Strategy, timing and resources:**

The plan for the scheduling of department operational records will be based on the ranking of departments from needs assessment criteria. The departments likely to rank near the top will be those with large volumes of operational records such as the Police and Public Works departments. The time required for the completed scheduling of all department records is five years. This will require the time of the records manager, records consultant and staff from each department.

**Cost of doing nothing:**

We are not legally able to destroy records that we could otherwise destroy until they are scheduled and approved by the State of Minnesota Records Disposition panel. Unscheduled records must continue to be maintained in City offices and the Records Center until a retention schedule can be produced that covers these records.

- This has led to records center at capacity, offices holding records that could have been disposed.
- Lack of a retention schedule for records may be misinterpreted as no need to retain the records – unauthorized destruction may be taking place.
- This also leads to additional costs associated with data requests because information that would otherwise no longer be available may have to be produced.
- There is increased liability associated with information that could otherwise be destroyed being used against the city during litigation.
- Because the retention schedule is the basis from which all other records management initiatives are derived, we cannot assist departments with other file plans.

**Issues:**

The greatest obstacle to the successful completion of this project will be the resources, time and money, invested by the departments. The investment of money for the records consultant will be required before any scheduling work may begin. Moreover, creating a retention schedule that will be used by the department requires the time of staff members that are knowledgeable about the overall operations of the department as well as the specific records created from these operations. It is vital that the participation of these staff members be made a priority of the project.

### **3. EIM - Data Practices**

#### *Development of the City Data Practices Program*

**Description and Benefits:**

Minnesota Statutes, Chapter 13, also known as the Minnesota Government Data Practices Act (MGDPA) regulates how the City of Minneapolis collects, creates, stores, maintains, disseminates and provides access to government data. The development of a data practices program will ensure that the City is in compliance with the MGDPA. The program will include:

- Development of data practices policies and procedures
- Training
- Development of a data practices toolkit to identify data and records that require protection based on the MGDPA. This toolkit, which will be implemented through the Enterprise Information Management (EIM) initiative, will identify a standardized list of questions that will be asked and documented for each new system/application.
- Tracking system and database of responses to data requests
- Repository for data practices rules and decisions

The primary benefit of the program will be to ensure that the City is protecting data that is non-public data while providing timely access to public data. Formal data practices policies and procedures as well as training will allow City employees to properly manage data and respond to data practices requests. The development of the toolkit, tracking system and repository for rules and decisions will increase the efficiency in responding to data requests. It will also decrease the involvement now required of the Clerk's Office and the City Attorney's Office in providing guidance to responses to individual requests.

**Status:**

- The City Council has recently approved the Public Access Procedure, a State required procedure that explains the process for the public to gain access to public data. This is the only current formal document that addresses data practices.
- The Clerk's Office and the City Attorney's Office provide basic data practices training to all new managers and supervisors.
- Responding to requests is handled on a case-by-case basis with no mechanism for tracking responses across the enterprise.

**Strategy, timing and resources:**

The plan for developing the data practices program will proceed along two tracks. First, the policies and procedures will be developed with assistance from the City Attorney's Office in coordination with the workgroup that is addressing the City's compliance with HIPAA (Health Insurance Portability and Accountability Act.) Data practices training will include coverage of these requirements and will be expanded to include Department Records and EIM Managers. Policy and procedure development along with the creation of training program will be completed in two years. Training will be conducted on a regular basis throughout each following year. This will require the time of the Responsible Authority and staff from the City Attorney's Office.

The second track of the program will be the development of technology tools to address the need to identify protected information, track responses to requests and capture data practices rules and decisions. This will also involve the identification of users and methods for making this information available including a potential link to the 311 Call Center Project. These tools will be developed within the next two to three years. This will involve the time of the Responsible Authority, a core group of anticipated users and BIS Project Development staff.

**Cost of doing nothing:**

Without the development of policies and procedures to guide staff, the risk of violating provisions of the MGDPA will remain. In addition, staff at the lowest level of the organization will continue to rely on higher level employees to respond to requests to avoid violating the Act. This leads to inefficient use of staff resources and typically increases the costs, in both time and money, to citizens who are requesting data. Choosing to not develop the toolkit to identify protected data maintained electronically on the front end and the tracking system and repository for rules and decisions on the back end will also lead to continued wasted time spent responding to requests. While this problem exists with data maintained in paper form, it will reveal itself increasingly with electronic data and this problem will continue to grow as more data maintained by the City is in electronic form.

**Issues:**

The greatest obstacle to the successful completion of this project will be the resources, time and money, needed to develop the above described technology tools. Additional time will be required to ensure that the tracking system and repository for rules and decisions are constantly updated so that the most current information is always available.

## 4. EIM - Classification/Taxonomy

### *Creation of a City-wide Classification/Taxonomy to Manage Electronic Information*

#### **Definition:**

A Citywide taxonomy is a shared vocabulary that City staff will use to classify (name) and organize its documents and records. Taxonomy consists of a hierarchically organized set of topics. City staff will use the taxonomy to assist them in the sharing of information and as a means to easily locate pertinent documents. Development and use of a citywide taxonomy will help to ensure consistency in the naming of information content across multiple sources (word processing, e-mail, Web pages, etc.). Categorization software uses taxonomies to consistently classify new documents into appropriate topics that users can browse or query.

#### **Description:**

The City has computerized most of the processes that were once manual and, using the Internet is working to move more information to an online format. The move to new electronic environments is causing the City to rethink how it identifies, organizes, and retrieves its information assets. Documents are no longer stored as hard copies in filing cabinets or physical archives. Instead, City business is now being conducted in a world where information that documents City business is now being described in "content chunks" that are held in a variety of electronic systems.

The City has not yet adopted common standards for describing (naming and classifying) its electronic information assets. Departments are using varying solutions for identifying and storing electronic documents that are departmentally based. The uneven way that these systems have evolved hampers the ability of users to find relevant information, especially when searching a topic that spans work in multiple departments. The resulting situation is that the City does not know what knowledge it possesses or where it resides. Even though staff may need unified access to information across the City, they only want the specific information that actually solves their problem at hand. Finding exactly and only the documents and records that they need is a problem that has not yet been solved by the City.

The goal behind building and adopting a citywide classification framework (taxonomy) is to develop a consistent methodology for handling City electronic documents. All documents created in the course of City business will be described (named) using a standard classification scheme that follows a predefined hierarchy.

#### **Status - City Challenges**

- The City of Minneapolis is composed of numerous departments that engage in a variety of activities and provide specialized services. They use vocabularies that have evolved to reflect the nature of their activities and disciplines. Often times these vocabularies cannot be easily translated by other City staff. The inability to understand various department vocabularies fragments the information produced and limits accessibility by others.
- Departments publish, produce or share a wide variety of information that documents department business transactions for different uses and users. Some examples include: engineering documents, police reports, permits, development project information, administrative data, financial information, etc. The City is required to provide access to its public information for a wide public audience. The wide variety of constituencies and the breadth of content types compound the difficulty of knowing what information is available, how the information is described (named) and who the information (content) owner is. The inability to provide effective access to information inhibits the ability to leverage information found in unstructured data and the ability to gain valuable business insights. A new approach to describing (naming and classifying) information for the effective management and access of information for its staff and diverse constituencies is now required.

- A similar situation exists in the City's Internet and intranet. Departmental web sites have been established to provide information about department processes and services without the benefit of understanding the larger venue where users may want to access information from multiple departments. Comprehensive and accurate searching is difficult if not impossible to achieve because a standardized taxonomy has not been developed.
- City staff use a variety of desktop applications including Word, Access, Excel, PowerPoint and Outlook. Information and records that document City business transactions is being maintained in personal drives (H Drive) and shared department drives. Desktop computer systems and standardized desktop applications were first deployed over ten years ago. In that time, staff and/or departments have not established a classification structure or common naming scheme for managing folders and documents within the folders. Without a standardized taxonomy it is difficult to find documents, share documents or develop an effective records transition plan when employees leave City service or transfer.

**Strategy, Timing and Resources:**

The aforementioned challenges make it necessary to develop a citywide taxonomy to classify the City's electronic information. The logical time to develop the citywide taxonomy is now. The creation of the taxonomy will take one to two years to develop and implement in order to fully maximize the benefit of the City's electronic information by specifying a common classification framework within which information can be consistently identified. The result will allow staff to effectively organize, query, use and re-use citywide and department specific information. The costs and time will increase the longer the City waits to develop the taxonomy.

It is anticipated that the design of the taxonomy will take place in three phases. Phase 1 will include the development of an initial taxonomy as a citywide collaborative effort with the assistance of a consultant. The initial taxonomy will be developed as a top-level outline two to three levels deep (because the top levels of the taxonomy are usually the most stable). The lower levels of the taxonomy will be developed and formalized by departments. Phase 1 will also include the review and purchase of taxonomy classification tools to create and maintain the taxonomy. Phase 2 will include pilot testing, critique and revision of the taxonomy until key staff representing City departments reach consensus. Phase 3 will include the publication, training, implementation and on-going maintenance of the taxonomy structure.

**Cost:**

The estimated cost for the development of the citywide taxonomy is approximately \$150,000 (estimate by e-Content Magazine - March 2002). The cost includes the acquisition of tools and consultant time. City project management time (1/4 time by City Records Manager, Project Sponsor time (City Clerk and BIS Program Manager) and department staff time are not included in the estimated costs.

**Cost of Doing Nothing:**

The longer the City waits to develop and implement the citywide taxonomy the greater the resultant costs will be. The City will continue to move their businesses to more efficient electronic environments and systems and the demand for efficient access to the information created and maintained on systems will continue to increase. More departments will want to utilize electronic document management systems to store electronic records created in desktop applications or to store records moved from databases. There will also be a growing need to deploy enterprise document management systems to effectively manage e-mail. Prior to implementing enterprise document management, a taxonomy structure must be developed. Retention cannot be applied to records that are managed in document management systems (EDMS or content management system) without first implementing a classification structure. Additionally, if retention is not applied to records in these systems, automated destruction of records that can and should be destroyed cannot be accomplished. The cost of servers and other off-line storage costs will continue to increase and become a major liability for the City.

## 5. EIM - Metadata

### *Creation of City of Minneapolis Metadata Standard*

#### **Definition:**

Metadata is usually defined as “data about data”. Metadata allows users to locate and evaluate data without each person having to discover it anew with every use. Its basic elements are a structured format and a controlled vocabulary, which together allow for a precise and comprehensive description of content, location and value.

#### **Description:**

Increasingly, information is being recognized as a critical strategic resource that must be managed as effectively as other key City resources such as employees and revenues/disbursements. New e-government initiatives calls for better use of official, shared (accessible) systems and policies, and services designed around the needs of citizens. In order to more effectively manage its information assets, the City must develop a metadata standard to describe its information assets. Metadata enables a resource (information) to be found indicating what the information is about and how it can be accessed.

The development of a City Metadata Standard will document the City's definition of what pieces of data should be applied to each document and how documents should be formatted. The application of metadata to documents will ensure that elements such as common date, title, creator and subject tag are attached to every document. The application of metadata will also provide for efficient access to information by providing a means to search the subjects and keyword terms of documents.

Aside from the accessibility benefits that will be derived from application of the Metadata Standard to electronic resources, the primary purpose for developing the Metadata Standard will be to meet the regulatory and business requirements and community expectations for recordkeeping. The City must be able to document responsibilities for actions taken on, and usage made of, records from creation to disposal. The City currently has recordkeeping requirements that relate to all records, but they cannot be effectively applied in the electronic environment. The development of a City Metadata Standard will provide the opportunity to apply recordkeeping requirements to electronic records to meet regulatory and business requirements and community expectations for recordkeeping.

The City metadata standard will be effective only if a structured format and a controlled City-wide taxonomy is developed and implemented (see Initiative 4 ). The City metadata standard will identify and define what elements need to be captured and the City-wide taxonomy will provide the standard for the content of the “subject” metadata element.

#### **Benefits of the implementation of a Metadata Standard include:**

- Metadata improves the management of official information that will make the City more efficient and ensure that they meet the obligations for handling public records.
- Metadata helps to ensure the meeting of legal obligations for handling records
- Metadata makes it easier to manage or find information, be it in the form of web pages, electronic documents, paper files, databases, or any information object.
- Metadata provides transparent access to information without having to know which City department is responsible.
- Recordkeeping metadata can identify, authenticate and contextualize records and the people, processes and systems that create, manage and use them.

#### **Status:**

- The City does not currently meet the legal and statutory obligations to satisfy records management laws that relate to the retention of electronic records.

- The City does not currently meet the legal and statutory obligations to satisfy data practices requirements as they relate to the identification of private information in electronic records.
- The City does not currently provide the means to ascertain whether records that are created and maintained to document City business in electronic form meet the rules of evidence relating to the legal acceptance of records.
- As new City business applications are developed, metadata requirements are being reviewed and identified. The City does not currently have the capability to leverage previous decisions for re-use based on an approved standard. In essence, the wheel is being reinvented for each new system.
- The City does not currently provide an efficient method to search (locate) and share information about City services or City business.

**Strategy, Timing and Resources:**

The rationale for developing a City metadata standard is outlined in both the City of Minneapolis Enterprise Information Management Policy and the City of Minneapolis Recordkeeping Standard. The State of Minnesota completed the Minnesota Recordkeeping Metadata Standard (IRM 20) in May of 2002. The standard will be used as the model from which the City standard will be developed. The state standard contains ten mandatory recordkeeping metadata elements and ten optional recordkeeping elements that must/can be captured for each record. Because all City records do not carry the same risk burden or may not require the same level of accessibility, the Minnesota Recordkeeping Metadata Standard cannot be adopted outright.

The purpose of developing a metadata standard that is unique to the City of Minneapolis is to determine when, where and how the mandatory and optional elements should be applied. Without clear guidance and direction as to when, how and to what degree metadata will be required to describe its information assets, additional costs for metadata creation will result. Because the entry of metadata may add additional costs and burden to staff, it is assumed that a smaller set of mandatory elements will be identified for application to all City documents and a larger mandatory element set will be required for those records that meet selected or more stringent recordkeeping criteria.

A similar effort is being implemented by the City of Minneapolis to review federal and state GIS metadata standards. GIS information has its own unique requirements for the tagging of information for sharing, access and to identify the reliability of the information used for mapping. Although the majority of metadata elements are different, the work on the Minneapolis GIS metadata standard will be referred to and common elements will be identified in the recordkeeping metadata standard for records.

**Phases:**

The development of the City of Minneapolis Recordkeeping Metadata Standard will be accomplished in phases with the assistance of a consultant and City staff acting in the capacity of a Metadata Expert Workgroup. The development of the standard will take place in two phases:

- Phase I - A conceptual metadata framework will be developed by defining different record types requiring different levels of documentation. The consultant and workgroup will compare the needs and requirements to the Minnesota Recordkeeping Metadata Standard and the GIS standards that have been adopted by the State and the City. A preliminary recordkeeping metadata standard will be completed. Phase I will also include a review of how metadata will be extracted for different record types and the development of guidelines for future deployment.
- Phase II - Remaining metadata standards (i.e. publications, presentation, discovery, web content, transactional, structural/technical and controlled vocabulary) will be completed.

**Cost:**

The estimated cost for the development of the Metadata Standard is approximately \$100,000. The cost includes the acquisition of tools and consultant time. City project management time and department staff time are not included in the estimated costs.

## 6. EIM - Skills Capacity

*Develop roles, responsibilities and expertise within all City departments*

**Description:**

The centralized RM/EIM department will leverage their learning and expertise across the City and build information management skills in all departments. For effective implementation of EIM, the City needs to build awareness and understanding, at all levels of the organization, of the value, cost and legal issues associated with information. Department heads need to understand and integrate EIM practices into their Business Plans.

**Departmental Records Management and EIM Managers need to:**

- Understand City RM/EIM policy and procedures
- Educate, advise and coordinate supervisors within the department regarding records issues and information systems
- Manage data practices requests
- Inventory and schedule department records
- Manage retention and destruction schedules for paper and electronic records
- Oversee departmental information classification systems and metadata applications
- Review departmental data applications and systems to ensure their trustworthiness

**Benefits:**

- Departments have qualified staff within their departments who understand the departments business needs as well as records management and information systems issues.
- With distributed skills, departments will be more responsive to data requests.
- There will be less need to expand the centralized Records Management department to meet legal mandates.

**Status:**

- The city has one Records Manager responsible for all city departments. He is currently unable to fill requests for consultation, retention schedule work and many other issues because of lack of time.
- Only one department has a Department Records Manager with in-depth knowledge.
- Most other departments have a records coordinator with minimal training.

**Strategy:**

- Define information management competencies
- Develop a comprehensive (department heads as well as staff), ongoing, information management training program
- Design and implement a communication plan
- Establish an information-management user group
- Assist department staff in auditing their departments records management systems, developing a gap analysis and work plan for conforming to City Records Management Standards
- Provide centralized support for resolving issues and legal interpretations

**Cost:** One half-time person for one year.

**Cost of doing nothing:**

- We will be forced to hire more records managers to meet legal mandates
- We risk lawsuits for not being able to produce information
- We could incur large expenses searching through records that should have been destroyed

## EIM Resources and Timeline

Full implementation of EIM is a highly ambitious and potentially costly endeavor. Doing nothing exposes the City to undesirable risks - from inefficient use of technology to legal costs resulting from mishandled records. Additionally, the City is required to meet existing and ever growing legal mandates set forth by the State of Minnesota and federal government. An effective EIM program will save the City money in the long run.

Our challenge is to find an acceptable middle ground that addresses City needs while remaining within the budget. Working with the Council and Mayor as well as the EIM Policy Board, we plan to develop staff and funding strategies within the limits of the city-wide 5 year budget plan.

The EIM Business Plan focuses on the six project areas described earlier as the highest priorities. Additional project areas will need to be addressed in the coming years.

Most funding challenges for these six projects are in the first three years. The speed with which EIM issues are addressed will depend to some degree on the willingness of the City to support this enterprise initiative and on departments' ability to fund efforts within their departments.

**Staffing:** Since Records Management has always been understaffed, our recommendation includes one additional full-time staff person. Other staffing includes a mix of current City staff, State of Minnesota experts and contractors.

**Funding:** All projects will rely heavily on best practices from around the world to leverage others' successful work and reduce costs to the City. Because this is an enterprise effort, funding will come from a number of sources. These include:

1. BIS Capitol Funds: Classification/Taxonomy and Metadata are partially funded with \$150,000 in 2004-2005.
2. Project Funds: EIM funding will be built into the project plans for all new technology projects. EIM tool kits are currently being built as part of the City Attorney's Case Management project. These tools will be available for use in future projects.
3. Charge-backs to departments: Departments will be billed for department-specific work such as Records Management Audits and Retention Schedules of records specific to their departments. The Records Management staff is currently working with Police, Public Works and Health on developing plans for 2004-2005.
4. City Clerk Operating Budget: Most staff support will come from reallocating existing staff. However, the Department plans to request one additional position - an Information Management Specialist - to supplement current Records Management staff. This request will be part of the 2005 budget request.

## 4. Resource Plans

### 4-A. Finance Plan

**Overview:**

The 2004 City Clerk budget which includes the City Clerk, Elections, Mail Room and Copy Center is 3.17 million dollars. Within the City Clerk division personnel is 65.4% of the General Fund Budget amount and in Elections personnel is 66.5%. The remainder in both organizations is for non personnel items such as publishing City Council proceedings, purchasing ballots, a building lease, telephones, printing and purchasing equipment.

The Mail Room and Copy Center are part of Intergovernmental Service Fund (6400), which is an internal service fund that bills back all costs to departments. Those organizations are much less personnel dependent and more dependent on non personnel items such as postage, copy paper and equipment. Nine percent of the Mail Room budget is personnel and the Copy Center, 35%.

**Revenue and Expenditures:**

The City Clerks Office has projected 2004 revenue of \$16,000. In 2002, revenues were \$36,300. The decline is due to a reduced price per page for copying documents for the public, increased use of email responding to public requests and the transfer of residential block events to Public Works and commercial block events to Regulatory Services beginning January 1, 2004.

Election Office related revenue projected for 2004 is \$80,000, largely from the School Board for conducting that agency's elections in conjunction with the Presidential Election in 2004, but also for the first time processing of passport applications. The City receives \$30 per passport, and the revenue from passports should increase annually during the period 2004-2009 as the public finds applying for passports at City Hall convenient.

In Elections, expenditures fluctuate by year, depending on what offices are being elected. The table that follows shows the 4 year Election cycle, which elections are held and the relative funding level for each year during the period 2004-2009:

Year	2004	2005	2006	2007	2008	2009
Election Type	Federal (Presidential) State School Dist.	City of Minneapolis	State (Gubernatorial) School Dist.	None Scheduled	Federal (Presidential) State School Dist.	City of Mpls.
Funding Level	Very High	Medium	High	Minimal	Very High	Medium

Based on current statutes and procedures, there are no elections scheduled every fourth year, however, minimal staffing levels must be maintained in the event of a special election and preparing subsequent elections. The Elections Office budget is unique in this way from all other City department budgets. Consequently, when financial strategies are determined, the election cycle must be taken into consideration. The Mayor-Council Adopted Five Year Financial Plan does not take into consideration this fluctuation in election type. Specifically, the 2005 budget includes a \$50,000 cut in a City election year. The adopted plan projects a straight line expenditure level with inflationary increases each year after 2005.

Mail Room and Copy Center revenue declined significantly in 2003 and the decline is expected to continue, but barring further budget cuts, should level off in 2004. Mailing has declined because of electronic email and the use of direct deposits of employee pay checks to their bank. Copy Center copying has also declined because of email and, in difficult times, copying becomes a discretionary item that many departments will forego until the economic climate improves. The year 2003 was especially difficult, as there was a very large citywide budget reduction due to a decrease in Local Government Aid to Minneapolis.

Following is a table depicting 2004-2009 revenues and expenditures for the Mail Room-Copy Center within the Intergovernmental Service Fund:

**City Clerk Intergovernmental Service Fund (6400)**

	<b>2004</b>	<b>2005</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>
	Budgeted	Projected	Projected	Projected	Projected	Projected
<b>Revenue</b>						
* Mail Room	462,865	476,751	491,054	505,786	520,963	536,592
* Copy Center	626,659	645,458	664,822	684,767	705,310	726,469
<b>Total Revenues</b>	1,089,524	1,122,209	1,155,876	1,190,553	1,226,273	1,263,061
<b>Expenditures</b>						
* Mail Room	462,865	476,751	491,054	505,786	520,963	536,592
* Copy Center	626,659	645,458	664,822	684,767	705,310	726,469
<b>Total Expenditures</b>	1,089,524	1,122,209	1,155,876	1,190,553	1,226,273	1,263,061
<b>Net Revenue over Expenditures</b>	0	0	0	0	0	0

\* Assumes a 3% Annual Growth in Revenue & Expenditures

### City Clerk's Department by Funding Source - FY 2004

In early 2003, there was a second round of budget reductions in City Clerk and Elections taken from the 2003 Mayor-Council Original Adopted Budget. City Clerk and Elections were reduced by \$512,000 and 10.5 FTEs. At the same time the reductions occurred, the City Council, which historically had been a part of the City Clerks budget, was split off and divided equally among the 13 Council Members with a small amount in a "14th ward" common fund. Because of the budget reduction and the split, the 2004 City Clerk and Elections budgets were reduced to \$2,075,980 from \$4,118,130.

The following table shows the 2004 City Clerk budget by funding source and division:

<b>City Clerk's Department by Funding Source - FY 2004</b>				
	<b>Division</b>	<b>FTE's</b>	<b>Budget</b>	<b>Percentage of Fund Total</b>
General Fund (0100)	City Clerk	14.0	1,144,810	55.2
	Elections	26.7	931,170	44.8
	Subtotal	40.7	2,075,980	100.0
Intergovernmental Service Fund (6400)	Mail Room	0.8	462,865	42.5
	Copy Center	4.7	626,659	57.5
	Subtotal	5.5	1,089,524	100.0
<b>Department (0100 + 6400)</b>	<b>Total</b>	<b>46.2</b>	<b>3,165,504</b>	
<b>Note:</b> The Elections FTE's include election judges.				

**The following table highlights the implications of the Mayor-Council adopted General Fund Five Year Plan**

City Clerk-Elections Operating Funds

Implications of the Five Year Financial Direction

	<b>2004</b>	<b>2005</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>
General Fund	Budgeted	Projected	Projected	Projected	Projected	Projected
<b>Revenues</b>						
Revenue Clerk	16,000	16,000	16,000	16,000	16,000	16,000
Revenue Elections	75,250	87,300	89,100	90,900	94,950	99,000
<b>Total Revenues</b>	<b>91,250</b>	<b>103,300</b>	<b>105,100</b>	<b>106,900</b>	<b>110,950</b>	<b>115,000</b>
<b>Expenses</b>						
City Clerk	1,144,810	1,178,020	1,214,020	1,253,020	1,296,020	1,343,020
Elections	931,170	958,182	937,182	966,182	999,182	1,036,182
Elections Reductions to Spending	0	-50,000	0	0	0	0
<b>Total Expenditures</b>	<b>2,075,980</b>	<b>2,086,202</b>	<b>2,151,202</b>	<b>2,219,202</b>	<b>2,295,202</b>	<b>2,379,202</b>
Property Tax Burden	1,984,730	1,982,902	2,046,102	2,112,302	2,184,252	2,264,202

## 4-B. Workforce Plan

There are two key workforce issues over the next three to five years; 1) changes in the workload (what we do) and, 2) changes in the workforce (who does the work). The workforce plan outlines these challenges, and while all of the solutions have not been identified, the department is clearly cognizant of and is in the process of developing solutions.

### Current Workforce:

The current 2004 authorized strength in the City Clerk's Office is 19.5 FTE and 6 FTE in Elections. While there is a very low historical turnover rate, the Clerk's Office has experienced a significant reduction in the workforce over the past several years due to budget cuts. As a result the department has had to continuously review processes and find ways to conduct business more efficiently or transfer activities such as Voter Registration and block events to other areas. Sadly, some functions were eliminated all together such as the Municipal Library.

The following chart shows the decrease in FTE's just in the Clerk's Office (not including Elections due to the fluctuation of FTE's because of the election cycles or the Copy Center/Mail Room):

	1987	1990	1995	2000	2003	2003 + cuts	2004	FTE Decrease 1987 to present
Numbers do not include Elections due to fluctuation in staffing based on election type	23.15	24.2	21.0	18.85	18.00	14.0	14.0	9.15 or 39.5%

### Key workforce Issues in the Next Three to Five Years

#### 1. Changes in Workload:

- Information Management: Workload increases for Records Management are driven by the need for an Electronic Information Management (EIM) program as well as increasing demands of Data Practices responsibilities.
- Council Administration and Support: Beginning in 2003 the City Council offices began managing their own budgets on a ward-by-ward basis. One would expect that this would decrease the need for support, however, that has yet to be the case. With recent changes to technology, an increase in technical support has been required. This support has historically come from the Clerk's office staff.
- Printing and Mail Services: There has been a decrease in printing and mail services due to citywide budget constraints. However, this may increase based on the outcome of study being conducted to consolidate printing services from other areas.
- Elections, Voter Registration and Passports: Since February 2004, the Elections office has been a Passport Acceptance Agency. This is expected to produce an increase in workload, but due to the nature of the workload flow in elections, this increase in workload should not impact staffing levels. Staffing levels for elections are dependent on the election type.
  - Elections are based on a four- year cycle for federal, state, and local offices. Federal and State elections, and now school district elections are held in even numbered years (both in federal and state election years as they have staggered terms), and city elections are held every other odd numbered year.
  - The election cycle impacts staffing and during years when there are no elections scheduled, some permanent staff could possibly be utilized within other divisions of the Clerk's office. However, we would continue to provide passport services and it would be imperative that permanent staff remain with the department, so that there is no gap in the level of service to voters. Elections are a very specialized and critical function within the

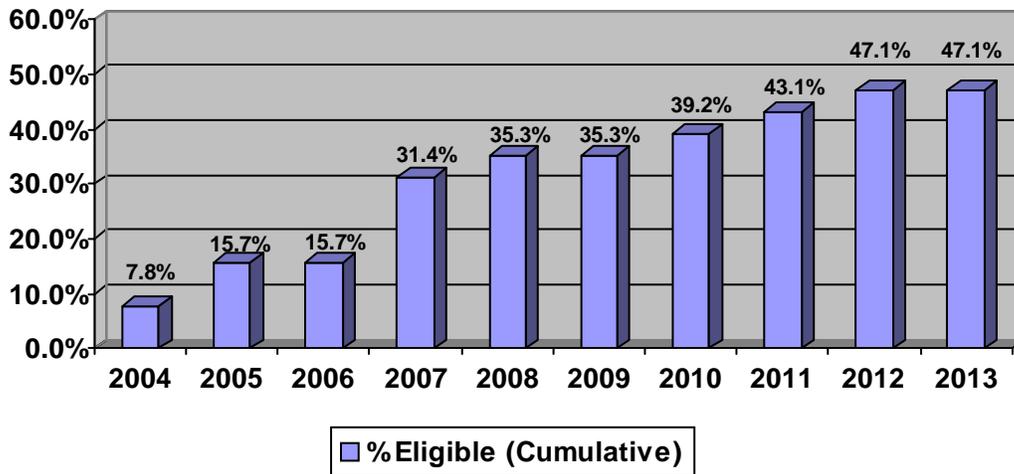
city and it is important that there be a level of continuity in staff. In addition, the City must be prepared to conduct any special elections.

## 2. Changes in Workforce and Succession Planning:

In 1999 the Clerk's office along with Human Resources created a workforce plan. The plan was updated in 2000 and served as the resource document for succession planning in the Clerk's office.

As depicted in the following chart, by 2008 over 35% of the workforce will be eligible for retirement. It is uncertain whether these employees will elect to retire, however, the need for succession planning is imperative. The department will look within the department and the City for eligible replacements, and the department will work to identify other creative ways to maintain the current service levels after employees retire, within the bounds of labor agreements and City policy.

**Retirement Projections (2004 to 2013)**



Demographics of Projected Retirees (2004 - 2013)		
Gender	#	%
Male	3	25.00%
Female	9	75.00%
<b>Total</b>	<b>12</b>	<b>100.00%</b>
Ethnicity:		
	#	%
White	11	91.67%
Black	0	0.00%
Hispanic	0	0.00%
Asian	0	0.00%
American Indian	1	8.33%
<b>Total</b>	<b>12</b>	<b>100.00%</b>
<b>Employees of Color</b>	<b>1</b>	<b>8.33%</b>

## 4-C. Technology Plan

All functions of the City Clerk's Department are automated to the fullest degree currently possible. Heavy reliance on data bases and electronic documents has facilitated process improvements and efficiencies leading to better customer service with fewer full-time staff.

Specific areas for change include: Web-based applications, Imaging and Metadata services, Enterprise Information Management (EIM) Policies and Procedures and the Council committee work flow.

**Web Services:** With enterprise enhancements to e-government, the Department will continue to develop additional automated tools.

- Electronic forms linked to data bases will be developed for Domestic Partners, Special Permits, Board of Equalization and applications for Boards and Commissions.
- The Clerk's Office will continue to develop and promote the Employee Policy Library on CityTalk.
- Records Management will continue to develop Web-based information and tools for all city departments.

**Document Imaging and Metadata Services:** Within four years, the Clerk's Department could be a central service department for small and some medium size departments for scanning and entering electronic documents. Centralizing services creates efficiencies because departments can share larger, faster equipment, and can take advantage of our department's special skills for scanning and identifying documents with metadata.

**Council Committee Work Flow:** Completion of electronic committee packets could be done by the end of 2005. This involves software development to take documents through the Council process, including electronic voting. It also involves pushing the technology and skills down into the other city departments, so city staff enters their Council requests directly into the system instead of processing them through the Committee Coordinators.

**EIM:** Over the next five years, the Clerk's Department will develop and implement policies, procedures and tools for managing electronic records. The Initiatives section of this business plan describes this initiative in depth.

**Elections:** The Elections office relies on a complex Access database to manage the coordination of election judges, polling places and the absentee voting system. The office needs to upgrade to the latest version of MS Access and is working with BIS to develop a new system.

## 4-D. Equipment Plan

### Copy Center/Mail Center

The Copy Center purchases high speed copiers (2), offset presses (2), convenience copiers (89), bindery equipment and a mail metering machine (1). All products have an annual maintenance agreement. Generally, the City keeps copiers, presses and mail metering equipment until the equipment company no longer stocks the parts to repair the equipment, or the equipment has so much down time that efficiency is lost. High speed printers and offset presses are replaced every 15-18 years; copier/printers every 7 years. No high speed printers or presses are expected to be purchased in the next 5 years. Beginning in early 2004, CPED copiers came into the City purchasing system. From 2004-2006, 12 new copier/printers are expected to be purchased for CPED in the Crown Roller Mill. By early 2006, there will be approximately 100 convenience copier in the City Clerk system. To maintain a 7 year turnaround with that number of machines, it may be necessary to appropriate additional dollars for capital purchases.

Depending on the course of the proposed merger of Utility Billing and BIS Data Services with the Copy Center/Mail Room, it is likely that some additional equipment will be purchased in 2005, such as a mail stuffing machine for utility bills. The one currently owned by Utility Billing is old and no longer working.

### **Elections equipment:**

Based on requirements of the 2002 Help America Vote Act, each polling place must contain a voting system that is accessible for individuals with disabilities, including for visually impaired voters, in a manner that provides the same opportunity for accessibility and participation (including privacy and independence) as for other voters. Federal funding has been allocated for the equipment purchase, however, this funding only allows for the initial purchase. Costs of maintenance and storage may be the responsibility of the City. The county will purchase the equipment, however, there will be training and public information implications for cities.

## **4-E. Space Plan**

The City Clerk has three space issues. The first is City Clerk -Elections having adequate space to be allocated in the proposed Public Works facility to be built at 35th and Hiawatha. Staff has met with Public Works staff and architects over the years pursuing adequate space with the most efficient design. Currently, Elections has a multi year lease in a Northeast Minneapolis warehouse which has lease costs of \$38,000 annually. The City Clerk believes that being a part of the Public Works facility will save money.

The second issue is constructing adequate space in the basement of City Hall in 2004 to merge the BIS Data Operations and Public Works, Water - Utility Billing functions with the Mail Room and Copy Center. The planning of the design for merged operations began in late February. Construction will follow later in 2004 or early 2005.

The third issue concerns the Municipal Information Library that closed March 30, 2003, and whose collection was dispersed by September 30, leaving the room empty. The space belongs to the City Clerk and it has been determined that because of the historical and unique character of that space, that the space continue to function in a similar fashion. Much of the Archives in the clock tower will be moved down to the third floor and Records Management staff (now occupying the non accessible mezzanine above the City Clerk's Office), will occupy the space in second or third quarter 2004. The goal is to have the Archives, including City Council Committee minutes, accessible to staff and the public. It would be desirable to duct heat and air conditioning into the room, add new lighting that fits the character of the room, and repair the cracks in the plaster ceiling.

The City Clerk lost a number of staff positions in mid 2003, leaving some cubicles empty. Most cubicles now have specialized functions such as scanning, and Board of Equalization, where staff can leave their own cubicles to perform other distinctly different operations.

In addition to the three issues mentioned here, the Clerk's Office will create a long-term plan to address the issues related to the City Records Center. The Records Center, located on five floors in the City Hall clock tower, is deficient in both fire prevention and climate control capabilities. In 2002, a structural study of the Records Center called for increased weight restrictions of three of the floors. Because the Records Center operates at near capacity, this lead to the construction of a small satellite records center in the Elections Warehouse to replace the lost storage. A long-term plan will consider the development of a permanent offsite records storage facility planned in conjunction with the Elections effort to acquire space in the Public Works facility.

## Summary

The City Clerk 5-year plan is designed to fulfill mandated functions for the City.

While by Charter, the City Clerk is the only department reporting directly to the Council, more than ever, the Department provides enterprise support to the entire City. This effort requires cooperation and strong partnerships with all City Departments.

Issues affecting City Clerk requires the Department to successfully manage significant changes. These changes include:

- Expanding and changing regulations
- New technology
- Increasing demands for service from other departments and the public
- Shrinking resources in the Clerk's Department as well as all other City departments

With the support, cooperation and understanding of other departments, we believe we can meet the challenge of managing during times of high stress and change and will be able to deliver high-quality, cost-effective services.

We know success is possible because of the highly-skilled, dedicated professional staff in the City Clerk Department.