



Request for City Council Committee Action
From the
City Clerk and Business Information Services

Date August 18, 2003
To Ways and Means/Budget Committee

Subject: Enterprise Information Management (EIM) Policy and Board

Recommendation

Approve the Enterprise Information Management Policy and establish the Policy Board as described in the attached Resolution.

Previous Directives: Policies and coordinating boards have existed over the history of the Information Services Department. Examples include MISAC and SISP. The proposed policy has been reviewed and approved by the Department Head group. The policy is consistent with best practices from other jurisdictions and is created to comply with State and Federal requirements that govern the management of information.

Prepared and Submitted by Bill Beck x2572 and Merry Keefe x3765
Presenters in Committee CIO Karl Kaiser and City Clerk Merry Keefe

Financial Impact

There is no request for additional appropriations in 2003.
Implementation of the policy will be integrated into specific projects.

Background and Supporting Information

By adopting the Enterprise Information Management Policy and establishing the Policy Board, the City formally acknowledges the enterprise integration of information systems, whether paper or electronic, and the need for city-wide governance to ensure effective and efficient use of city information resources. The policy moves the City from a silo approach to an enterprise approach for information management. The policy will guide departmental work plans in the development of information systems to ensure that planning, purchasing, implementation and operation of information systems is done with an enterprise perspective. Specifically, this has direct application to the City Attorney's case management project, CPED integration of information from various departments and the planning and development of projects such as City Stat.

Several years ago, the City embarked on a strategic path designed to improve its information systems and information management practices. The focus of ITS (now BIS), was on the planning, prioritizing and implementation of new enterprise systems and the creation of new tools and methodologies to more effectively manage development activities. The focus of the City Clerk's Office was on the creation of a records management program including policy, procedure, general retention schedule development and creation of a citywide training program. The results of these efforts, while successful, only begins to address the existing and growing information and data management problems and issues facing the City.

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 from using paper based records systems to systems that are computerized and manage information in more complex and diverse electronic data structures. Compounding the problems caused by trying to effectively manage the City's electronic business transactions, are the new and ever increasing regulations and accountability requirements being issued by federal and state government. These changes have created 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. The Enterprise Information Management Policy 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.

Other Jurisdictions: Creation of a information management policy board is consistent with similar efforts and best practices that are currently underway in departments and agencies throughout the federal government. The Office of Management and Budget (OMB) and the National Archives and Records Administration (NARA) are establishing policy councils to direct and coordinate similar efforts for the federal government. The State of Minnesota has created an Information Policy Council (IPC) and they along with the Office of Information Technology (OIT) are in the process of directing enterprise-wide information management governance initiatives for State government.

Business Needs: The Enterprise Information Policy and Board will address the following business needs of the City:

1. *Legal Admissibility:* Development of requirements for systems to manage and control electronic information and records according to the standards for legal admissibility.
2. *Legal Compliance:* Identification of legal requirements for use in the development of City Information and Data Management Policies, procedures and best practices.
3. *Records Creation:* Identification of requirements and creation of standards to identify and define City records throughout their life cycle.
4. *Data Privacy:* Identification of data practices requirements to insure rightful access to City data.
5. *Audits and Audit Trails:* Identification of requirements and development of standards for system audits and audit trails needed to verify system integrity.
6. *Security and Control:* Identification of requirements and development of standards to ensure business records are properly controlled and secured.
7. *Metadata:* Identification of requirements and creation of standards for record keeping metadata to document the creation, management and use of records through time and across domains.
8. *Retention and Disposition:* Identification of requirements and development of Citywide retention schedules to ensure appropriate destruction approvals and legal “holds” for litigation, government investigation and audit.
9. *Records Preservation:* Development of strategies to preserve records with long-term retention requirements.
10. *Access and Use:* Identification of requirements and development of standards to ensure records are easily accessible for their required life.
11. *Documentation:* Identification of requirements and development of standards to ensure system documentation is maintained to provide continuing access to information and records and to help validate records authenticity.
12. *Trustworthy Records:* Development of requirements to ensure that systems create records that are trustworthy and are legal and acceptable.
13. *Data Quality:* Development of data quality requirements to ensure that information of appropriate quality is produced and used in making effective decisions.
14. *Systems Back-up and Recovery:* Development of appropriate backup and recovery strategies and methods to address the business requirements of the data regarding availability, accuracy, timeliness and retention of the data.
15. *Data Integrity:* Development of data integrity requirements and data definitions to help manage data resources by, providing clarity of meaning, and making data accessible to those who need it through precise identification of the required data.