

City of Minneapolis

Request for Committee Action

To: Committee of the Whole
Date: 3/30/2016
From: City Clerk's Office
Prepared by: Casey Joe Carl
Presented by: Casey Joe Carl, City Clerk – 612-673-2216
File type: Action
Subcategory: Staff Direction

Subject:

Management response to the 2015 Records Management Audit

Description:

1. Receiving and filing a report detailing management responses and proposed action plans from the Office of City Clerk related to findings of the 2015 Records Management Audit.
2. Directing staff to:
 1. Prepare an ordinance for an enterprise information governance policy, consistent with the recommendations in the management response and associated action plans;
 2. Refine business requirements and develop Request for Proposals for a centralized system for tracking, review, and processing for public data requests; and a centralized review and redaction system; and
 3. Submit additional resource requests as part of the 2017 budget process.

Previous Actions:

On Oct. 20, 2015, the Audit Committee received the 2015 Records Management Audit, which examined how data are collected, created, received, used, maintained, and disposed of across the enterprise to assess the City's adherence to laws, policies, and procedures regulating government information assets. The audit also evaluated the management of information assets through identified lifecycle to identify and remediate associated risks. The audit revealed several gaps in the City's existing information governance framework. For details, see File No. [15-01398](#).

Ward/Address:

Not Applicable

Background/Analysis:

The City of Minneapolis generates millions of data each year. However, as demonstrated in the findings from the 2015 Records Management Audit, the City lacks an effective framework to ensure its information assets are managed, maintained, and disposed of in ways that enable the enterprise to operate effectively, assure compliance with all legal and regulatory requirements, and serve the interests of the public, both today and into the future.

The Internal Auditor examined the City's management of data, primarily within the framework established pursuant to the Minnesota Government Data Practices Act (Minn. Stat. Chapter 13 and Minn. R. Chapter 1205), the Minnesota Records Management Statute (Minn. Stat. §138.17), and the Minnesota Official Records Act (Minn. Stat. §15.17), as well as related City policies and regulations. The audit identified several risks, noncompliance with statutes and City policies, lack of effective controls and program oversight, and opportunities for improvement.

In its response, the Office of City Clerk – Records & Information Management Division addresses specific audit findings and proposes a pathway to ensure information assets are appropriately

managed going forward. This plan is centered on the establishment of an enterprise Information governance policy and associated program. The proposed IG policy and program is based on a three-tiered, interdependent model that addresses (1) policy and programmatic oversight, (2) enterprise operations, and (3) centralized support, and is aligned with sound information governance principles and standards advanced by ARMA International which aim to ensure information is authentic, retrievable, safeguarded, and accurate. A series of action plans in each of these components is detailed in the staff report.

Financial Review:

Additional appropriation required.

Staff needs to determine range of potential costs for acquisition of proposed systems out of budget cycle and return with refined cost estimates as part of formal Requests for Proposals.

Future budget impact anticipated.

Staff anticipates additional resources that are not quantified at this time, which will be submitted as part of the City's 2017 Budget process.

Approved by the Permanent Review Committee.

Meets Small and Underutilized Business Program goals.

Attachments:

1. Data Governance Report – Management Response to the 2015 Records Management Audit