City Information Management Committee 2021 Annual Report

This report is submitted pursuant to s. 320-1 of the Milwaukee Code of Ordinances.

<h2 style="text-align:center;">Purpose: (Per s. 320-31 of the Milwaukee Code of Ordinances)</h2>

The City Information Management Committee recommends policies and guidelines to the Mayor and Common Council for management of the City's information resource, promote interdepartmental and intergovernmental sharing of information resources, and promulgate guidelines for development and maintenance of City records.

<u>MEMBERS</u>

1. **Chairman Alderman Nik Kovac**, Common Council

2. **Vice-chair, David Henke**, Chief Information Officer

3. **Jennifer Meyer-Stearns**, Assistant Director-Library Operations, Mayoral Designee

4. **David Klein**, Systems Support Manager, City Comptroller Designee

5. **James Klajbor**, Deputy City Treasurer, City Treasurer Designee

6. **Jim Owczarski**, City Clerk

7. **Richard Watt**, Policy & Administration Manager, Dept. of Admin. Designee

8. **Robert Jaeger,** Library Services Manager, City Librarian Designee

    Judy Pinger, previous designee

9. **Timothy Richter**, IT Manager, Municipal Court Designee

10. **Jeffrey Madison,** IT Manager, Fire Chief Designee

11. **Jeff Larson,** Police Information Systems Director, Police Chief Designee

12. **James Zimmer,** Water IT Manager, Dept. of Public Works - Water Works Designee
    David Kaminski, previous designee

<u>STAFF</u>

1. **Bradley Houston**, City Records Officer, Staff Support

2. **Peter Block**, Assistant City Attorney, Legal Advisor

3. *. **Chris Lee**, Staff Assistant, City Clerk, Clerical Support

MEETINGS HELD

March 18, 2021
June 10, 2021
September 16, 2021
December 9, 2021

Complete agendas and minutes of these meetings can be found at
https://milwaukee.legistar.com/Calendar.aspx.

MEMBERSHIP CHANGES

James Zimmer and Robert Jaeger were designated as new members during 2021 replacing previous members David Kaminski and Judy Pinger, respectively.

ITEMS DISCUSSED OR REVIEWED

2020 Annual Report

The report of activities of the City Information Management Committee for 2020, as prepared by clerk staff, was approved by the committee at its March 18, 2021 meeting.

2022 Meeting Schedule

Barring any issues the committee approved, at its December 9, 2021 meeting, the committee meeting schedule for the 2022 year to be at 10 a.m. for the following dates: March 17, June 16, September 15, and December 8.

City Records Center

DocuSign Records Maintenance and Retention Best Practices

At the March 18, 2021 meeting, the committee was informed of the process to develop guidelines and procedures to govern and manage electronic records created through Microsoft Teams. Initial recommendations included having a guide document for storing and purging records, documenting owners and official record custodians, and addressing data-only and whole-form retention. Aspects that needed further addressing included feedback from power users, Certificates of Completion, formal onboarding template, and policies on confidential data.

At the June 10, 2021 meeting, the committee was given an overview of a guidance document regarding General Principles, Responsibilities of User Departments, record composition, envelope components, sensitive forms data concerns, improper envelopes, outside maintenance of records, other secure storage platform options, record custodians, and onboarding templates. The policy was still being worked on, user departmental input was still being acquired, and issues would be further addressed.

At the September 16, 2021 meeting, the committee discussed that the guidance policy was not yet ready, required review by the City Attorney's Office and other department users, needed meet-and-confer meetings with DER, that Mr. Houston was working to secure File Director and E-Vault, and the policy would not be put on the City Records Center webpage.

At the December 9, 2021 meeting, the committee moved tentative approval of the policy in principal and held final approval for further input from departments. The policy was updated to eliminate ambiguity and questionable legal language and further clarified a records custodian.

Microsoft 365 Data Retention Policy

At the March 18, 2021 meeting, the committee was informed of the process to develop guidelines and procedures to govern and manage electronic records created through Microsoft Teams. Initial recommendations included a 2-year data retention policy on most content with exceptions, having record custodians for each office, and discouraging meeting recordings. Aspects that needed further addressing included feedback from power users, Certificates of Completion, training guidance, and formal standards.

At the June 10, 2021 meeting, the committee was given an overview of the draft policy regarding general policy, definition, official custodian, exceptions, default retention and disposition, exceptions to default retention, authority for ITMD to destroy unnecessary records, departmental management of retention, and retaining of records. Members and participants discussed revising the policy further on some legality aspects, clarification on departmental permissions to destroy records, and incorporating the policy into the Data Governance Plan. The policy was held for further review.

At the September 16, 2021 meeting, the committee discussed that the policy was not yet ready, required review by the City Attorney's Office and other department users, needed meet-and-confer meetings with DER, that Mr. Houston was working to secure File Director and E-Vault, and the policy would not be put on the City Records Center webpage yet.

At the December 9, 2021 meeting, the committee moved tentative approval of the policy in principal and held final approval for there to be buy-in from departments. The policy was updated to address legal citations, clarify terminology, and distinguished between an official custodian and site administrator.

Record Retention Schedules for Approval

All schedules were approved at the March 18, 2021 meeting. Included in the schedule recommendations were Comptroller disposition of IT schedules, MPD hospital reports, and DNS enforcement orders for paper input and LMS records.

All schedules were approved at the June 10, 2021 meeting. The majority were obsolete or consolidated schedules. Included in the schedule recommendations were DER JobApps records being moved into E-Vault and the retention to match the State's for Home Environmental Health radiography records.

All schedules were approved at the September 16, 2021 meeting. The majority were closed or revised schedules. Included in the schedule recommendations were new schedules for MPD (Training Bureau, Internal Affairs, Community Services) and Health Department clinic-patient medical records and medical records response matter. A listing of additional departments would be added to the first deleted schedule.

All schedules were approved at the December 9, 2021 meeting. Included in the schedule recommendations were amended or recreated schedules for video and audio recordings of meeting bodies. Major committee video recordings would be kept while audio and video recordings of minor committees would be kept long enough for those bodies to retain them themselves. Schedule #11-E058 was corrected to show 6 months as the retention period.

State Record Board Approval of Previous Schedules

All schedules from the December 10, 2020 were approved except for schedules #0700079 on police officer pension contribution forms and #730083 on legislative referral files. Changes were made to both schedules, as recommended by the board, and resubmitted.

All schedules from the March 18, 2021 were approved except for the Comptroller's Office IT schedule #210004. A change was made and resubmitted to extend the retention period beyond one year to match the State's retention period.

All schedules from the June 10, 2021 were approved except for the schedules for IT projects file and DER COVID-19 result reports with the former having its retention period reduced to 5 years to conform with the State's and the latter being withdrawn after being denied by the board.

All schedules from the September 16, 2021 meeting were approved except for schedules #88-0074 and #93-0041. Both schedules would be resubmitted with the retention period of seven years after the close of litigation for use of force reports and eight years after final disposition of internal investigation criminal case files.

Comptroller's Office Audit Division

IT Risk Assessment

At the September 16, 2021 meeting, the committee was given an update on the 2020 annual assessment by BakerTilly assessing IT procedures and practices that could affect financial reporting. The report found one minor finding, for the Treasurer's Office to do an access control review on user accounts. Recommendations had decreased dramatically over recent years.

NIST Audit Review

At the September 16, 2022 meeting, the committee was given an update that the NIST review audit would commence in Spring 2021 with Bulletproof being contracted and the Comptroller's Audit Division validating the remediation results of departmental findings.

Copying Costs

At the September 16, 2021 meeting, in response to inquiry made by the City Clerk's Office to the City Attorney's Office, the committee discussed reducing the fee of a physical paper copy to $.25 per side of a page to possibly $.05. The Attorney General's office and other municipalities have reduced their paper copying fees. Such a change would require a recommendation from the committee and a change in ordinance. Additional fees for locating and copying via other mediums other than paper were permitted by the records law; however, would be a separate matter. Departments have digitally responding to open record requests. The matter was held for further research.

At the December 9, 2021 meeting, the committee moved approval to amend Ch. 81-385 of the Milwaukee Code of Ordinances to change the cost of a regular sized 8 inch by 11.5 inch copy of paper in black and white ink to $.05 for single sided and $.10 for double sided. Atty. Peter Block would work with departments to address additional costs associated with locating records or requests that were burdensome to produce. Departments had the ability to deny burdensome records requests.

Information and Technology Management Division

Acceptable Use Policy

At the March 18, 2021 meeting, the committee was given an update that the policy had passed the Common Council, new employees would be required to sign the policy, electronic training and validation would commence via InfoSec for everyone to complete.

Cyber-Security Training

At the September 16, 2021 meeting, the committee was updated on the implementation of monthly security training from ITMD. Participation had fallen, and there was thought of ways to increase participation. Ideas would include making participation mandatory, having training fairs, creating a security SharePoint site, and promotions during Cyber-security Awareness Month in October. Phishing campaigns would continue. Required annual security training was a recommendation from a Comptroller's audit.

Data Governance Plan

At the September 16, 2021 meeting, the committee was given an overview and introduced to the plan. The plan was high level defining overall data policy, separate from other specific topic policies, and covered data, structure, roles, responsibilities, owners, sharing, safeguards, and archive data. A Data Governance Committee was recommended to help define data source, ownership, and sharing. The plan was held for further review and input.

At the December 9, 2021 meeting, the committee moved approval of the Data Governance Plan. The plan established responsibility for datasets and a Data Governance Committee that ITMD would help initiate followed by further expertise on structure from necessary departments. The plan addressed data ownership, custodians, and sources. No feedback was received on the plan since the last meeting.

Hardware Failure on January 22, 2021

At the March 18, 2021 meeting, the committee was given an update that the server failure stemmed from corrupted data during a hard drive replacement on the server by ITMD staff. The drive was not set up to standard and was replaced with the assumption that it was proper. Some departments, primarily the Health Department, were impacted and lost data. Impacted drives were reconstituted and restored in a week. Underlying causes were related to servers not being part of the replication process and being improperly configured for rate backup. ITMD was taking proper measures going forward and to move forward to newer technology, which was an ongoing challenge. There would be an IT and disaster recovery audit done from the Comptroller's Office.

Multi-factor Authentication Implementation

At the September 16, 2021 meeting, the committee was updated that the Microsoft platform multi-factor authentication had occurred with ITMD, Water Works, Port Milwaukee, and would extend out to other departments by the end of the year. The authentication was a recommendation from the Comptroller's audit on City security and cybersecurity.

Security Polices

At the June 10, 2021, the question of whether to keep or pull out individual policies from the master security policy was posed to members due to concerns with accessibility, location, and awareness on the individual policies. Members discussed to better organize the MINT to display the policies, the responsibility of departments to know the policies, and having no preference on pulling out the policies from the master policy.

Documents and materials relating to record retention schedules, policies, presentations, audits, or other information for all meetings of the committee for 2021 can be found within the following files at https://milwaukee.legistar.com/Legislation.aspx:

201491 - Communication relating to the matters to be considered by the City Information Management Committee at its March 18, 2021 meeting.

210196 - Communication relating to the matters to be considered by the City Information Management Committee at its June 10, 2021 meeting.

210762 - Communication relating to the matters to be considered by the City Information Management Committee at its September 16, 2021 meeting.

211174 - Communication relating to the matters to be considered by the City Information Management Committee at its December 9, 2021 meeting.