

# **City Information Management Committee 2016 Annual Report**

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

***Purpose: (Per s. 320-31 of the Milwaukee Code of Ordinances)***

*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.*

**Members**

1. ***Chairman Alderman Nik Kovac, Common Council***
2. ***Jennifer Meyer, Assistant Director-Library Operations, Mayoral Designee***
3. ***Aycha Sirvanci, Special Deputy Comptroller, City Comptroller Designee***
4. ***James Klajbor, Deputy City Treasurer, City Treasurer Designee***
5. ***Jim Owczarski, City Clerk***
6. ***Richard Watt, Policy and Administration Manager, Department of Administration  
Director Designee***
7. ***Judy Pinger, Central Library Manager, City Librarian Designee***
8. ***Jane E. T. Islo, Municipal Court Assistant Court Administrator, Chief Municipal Court  
Administrator Designee***
9. ***Deborah Wilichowski, Fire Technical Services Manager, Fire Chief Designee***
10. ***Chuck Burki, Information Systems Director, Police Chief Designee***

**Staff**

1. ***Nancy Olson, Chief Information Officer, Executive Secretary***
2. ***Jacquelyn Block, Maggie Turner, Jack Gaboury, City Clerk - Document Services, Staff  
Support***
3. ***Peter Block, Assistant City Attorney, Legal Advisor***
4. ***Chris Lee, Staff Assistant, City Clerk, Clerical Support***

**Committee meetings held:**

*March 10, 2016*

*June 9, 2016*

*September 8, 2016*

*December 8, 2016*

Complete meeting minutes are attached as Exhibit A.

**Items, Reports, and Issues Considered or Discussed:**

**2015 Annual Report**

The report was approved by the committee at its March 10, 2016 meeting.

**2017 Meeting Schedule**

The committee approved at its December 8, 2016 meeting the meeting schedule for the 2017 year to be at 10 a.m. in Room 303, City Hall for the following Thursday dates: March 9, June 8, September 14, and December 14, 2017.

**ADA DOJ Compliance**

The City entered into a three year settlement agreement with the Department of Justice (DOJ) effective July 6, 2016 requiring the City to maintain websites in accordance with the American Disabilities Act (ADA). The agreement requires only the external facing city web pages and applications to abide by WCAG 2.0 ADA standards. The City has nine months to enter into a contract with an independent consultant to review the City's webpages and service applications that the City houses or has contracts with. Currently the websites to contract for are [milwaukee.gov](http://milwaukee.gov), [mpl.org](http://mpl.org), and [milwaukeekeepolicenews.com](http://milwaukeekeepolicenews.com). There is possibility for significant work on the City's part to address its websites and vendor applications. Costs to address ADA compliance remain to be seen.

An RFP has gone out to hire a consultant for the next three years, and submittals received are being evaluated. The independent audit from the consultant will identify all of the errors and noncompliance on the websites. The consultant will produce annual reports.

Anticipated by the first quarter in 2017 is a contract with the chosen consultant and completion of a preliminary report on the status of ADA web compliance for the city. Requested of departments is consideration of ADA web compliance for any new applications and agreements with software vendors. The City Attorney's office will be consulted to create appropriate contract language for new purchases and bids.

### **Citywide Study of IT Positions from DER**

The Department of Employee Relations had come to inform the committee in early 2015 about its study in attempting to bring consistent pay across the board, attract and retain well-qualified employees, bring the rates of pay into better alignment with relevant labor markets, and create consistent, sensible job titles regarding IT. DER had wanted to return to the committee to provide updates at a subsequent meeting in 2016 but has not made any progress yet to do so.

### **E-mail Account Termination Policy**

The policy was adopted via resolution CCFN 151344 late January 2016 and is available with other policies approved by the committee on the MINT under “Technology” and “Policy & Guidelines”. The policy relates to the authority of ITMD to maintain and deactivate email accounts of those employees separating from city service. The policy is attached as Exhibit B.

### **E-mail Use Policy**

The policy was reviewed and approved by the committee at its March 10, 2016 meeting with an amendment that encrypted emails should only be used by the city when required by federal, state, or local law. In addition to addressing encrypted emails, other changes include substantial text changes, mention of the email account termination policy, update of terminology, removal of outdated concepts and terms, strengthening of language to discourage requests for outside city email accounts. Policy format and acceptable use did not change. The policy is attached as Exhibit C.

### **HIPPA Compliance on Outlook 365 Email Use**

This matter was held over at the committee’s June 9, 2016 meeting and has yet to be considered by the committee.

### **Land Management System (LMS) Citizen Access ([www.milwaukee.gov/lms](http://www.milwaukee.gov/lms))**

The committee was given a demo of the LMS at its December 8, 2016 meeting. LMS offers the public e-government services and access to significant data. Services include pulling permits and licenses. Data includes current and historical records. Examples include City of Milwaukee property ownership information, permitting, registration, and violations. LMS went live in January 2016 for the records of BOZA and DPW. It was expanded to include DNS records in October 2016. A future addition will be records from the Licenses Division. The LMS site offers much advance searchable fields. The NSS system remains open and unchanged. Some migration issues are anticipated to be corrected by the end of the year.

## **Records Retention**

### **Proposed Department Record Schedules for Approval**

There were no departmental schedule recommendations for review and approval at the March 10, 2016 meeting.

All 26 items pertaining to departmental schedule recommendations were approved at the June 9, 2016 meeting. Included in the recommendations were: removal of schedules after 10 years in the Intergovernmental Relations Division; update of schedules to reflect business operations and current practices in the Office of Small Business Development; removal of schedules regarding the Milwaukee Commission on Community Relations and addition of a new schedule for the records and minutes of the Business Resource Committee in the Department of City Development; schedules from the Comptroller's Office regarding police audits, police trust fund activity, and mobile home parks billing /collection records; and standard schedules in the City Treasurer's Office. Approved schedules attached as Exhibit D.

All 33 items pertaining to departmental schedule recommendations were approved at the September 8, 2016 meeting. Included in the recommendations of note was a good faith effort to seek a shorter schedule of 12 years from last indemnity as part of the contract agreement with the administrator relative to workers compensation retention schedule. Approved schedules attached as Exhibit E.

All 33 items pertaining to departmental schedule recommendations were approved at the December 8, 2016 meeting. Included in the recommendations of note were: removal of the majority of schedules from the Licenses Division due to those licenses not being issued from the division anymore; two schedules resulting in two new e-vault applications for scanning documents; mention for proposed future schedule for photos within DCD record schedules; and a new schedule for a virtual fax machine system. Approved schedules attached as Exhibit F.

### **State Record Board Approval of Previous Schedules**

The State Records Board meeting held in November 2015 - 39 schedules from the committee's September 2015 meeting were approved with a change to use the word "destroy" rather than "purge" relating to the final disposition of electronic records.

There were no schedules from the committee's March 10, 2016 meeting for the State Records Board to review in its second meeting cycle.

The State Records Board meeting held in August 2016 - 26 schedules from the committee's June 9, 2016 meeting were approved as presented.

The State Records Board meeting held in November 2016 - 33 schedules from the committee's September 8, 2016 meeting. No response from the board has been received yet.

### **Review of Forms and Format for Retention Schedules for 2017 and beyond**

At the December 8, 2016 the committee reviewed and approved use of the "Records Retention - Disposition Authorization (PRB-001)" and "Change Request (DOA-3806)" forms for completion of record retention schedules going forward as required by the State Records Board. Additionally, the committee moved that no supplementary information would be required in addition to the new forms. Approved forms are attached as Exhibit G.

### **Virtual Fax Machine System**

Under consideration and development as part of the retention schedule approved by the committee at its December 8, 2016 meeting is a system to process faxes in a paperless manner. The proposal is for an accessible electronic webapplication, via secure login and pin number similar to the voicemail system for city employees, to upload for sending and download for receiving fax documents through a traditional fax number. The system is an additional tool and may not be appropriate as a replacement for all traditional physical fax machines. Primary reasons for the new system are to reduce costs, eliminate paper, produce electronic documents seamlessly, reduce hardware, and serve as alternative for cases of phone line installation difficulties. Fax documents uploaded internally to or received externally from the application will be retained for 120 days before being purged from the system. Recipients or users will be notified by email about received and outgoing fax documents through the system. Once the retention schedule is approved, the application will be developed for testing early next year. HIPPA compliance will have to be addressed in consultation with the City Attorney.

### **What Works Cities Open Data Initiative**

The Bloomberg Foundation "What Works Cities" technical assistance grant for the City of Milwaukee's open data and performance reporting tools was accepted via resolution CCFN 151337 in late January 2016. A memorandum of understanding was signed. What Works Cities partners are Results for America, Johns Hopkins University's Center for Government Excellence and The Sunlight Foundation. The purpose of the grant is for What Works Cities partners to provide technical assistance, resources and tools to help the City to achieve its goal of strengthening open data and performance reporting tools. The first part of the initiative is the establishment of an open data policy and to provide data via the web to citizens. The second part of the initiative is to establish performance measures, which are forthcoming.

## **Open Data Inventory**

Departments were requested to help ITMD to create an inventory of datasets, both private and public, stored and retained by the respective departments. Departments were to share their top three to five datasets by the end of the year. The datasets will be prioritized, considered for publication, and brought before the committee for review and approval. 108 datasets have been received, which accounts for about 60 percent of departments who have responded. 68 are available and 40 are under consideration. Datasets have been categorized into 7 areas. Anticipated for the first quarter in 2017 is the completion of the inventory, participation of all departments, and review of priorities. An update of the open data inventory, as of December 8, 2016, is attached as Exhibit H.

## **Open Data Policy**

At its June 9, 2016 meeting the committee reviewed and approved the policy with the amendment to include “and affirm” after “overseen” under “General Policy, Section 1, Open Data Program, b”. Through this policy the City establishes a process whereby City departments will publish, distribute, and archive data that increases transparency in City government and enables community development. The policy establishes what open data is, the governance of open data through the committee, and the publication of data inventory.

The policy was adopted via resolution CCFN 160337 in July 2016. ITMD is tasked with developing the mechanism and capacity to implement this policy. The policy shall be overseen by the committee. The committee shall provide annual updates to the Common Council on the implementation of the policy and use of open data by City departments and others. The policy is attached as Exhibit I.

## **Open Data Portal ([www.milwaukee.gov/.opendata](http://www.milwaukee.gov/.opendata))**

The open data portal is intended for public use and contains an inventory link to a list of current datasets in the inventory from departments. There is in the 2017 city budget authority to receive funds for a data portal through the capital program. An RFP will be prepared for open data portal software making it more navigable.

## **Sunlight Foundation Presentation**

Noel Isama and Alyssa Doom from the Sunlight Foundation gave a presentation at the committee’s June 9, 2016 meeting on open data governance relative to the *What Works Cities* project, defining open data, open data benefits, Milwaukee’s involvement, committee responsibilities, and next steps. The presentation is attached as Exhibit J.

# Exhibit A

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## *MEETING MINUTES*

*March 10, 2016*

*June 9, 2016*

*September 8, 2016*

*December 8, 2016*





# City of Milwaukee

200 E. Wells Street  
Milwaukee, Wisconsin  
53202

## Meeting Minutes

### CITY INFORMATION MANAGEMENT COMMITTEE

**ALD. NIK KOVAC, CHAIR**

**Chuck Burki, Jane Islo, James Klajbor, Jennifer Meyer,  
James Owczarski, Judy Pinger, Aycha Sirvanci, Richard Watt,  
and Deborah Wilichowski**

**Executive Secretary, Nancy Olson**

**Staff Assistant, Chris Lee, 286-2232, Fax: 286-3456,  
clee@milwaukee.gov**

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Thursday, March 10, 2016

10:00 AM

Room 303, Third Floor, City Hall

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#### 1. Call to Order.

*Meeting convened at 10:15 a.m.*

*Mr. Klajbor was nominated Chair Pro Tem by Mr. Owczarski, seconded by Ms. Wilichowski. There was no objection.*

#### 2. Roll Call.

**Present** 7 - Islo, Owczarski, Klajbor, Watt, Wilichowski, Sirvanci and Pinger

**Excused** 3 - Meyer, Coggs and Burki

#### Individuals also present:

*Nancy Olson, DOA - Information & Technology Management Division  
Jacquelyn Block, City Clerk's Office - City Records  
Aaron Szopinski, Mayor's Office  
Greg Lotzke, Comptroller Office - Audit Division  
Peter Block, City Attorney's Office  
Casey Lapworth, Milwaukee Public Library*

#### 3. Review and Approval of the Previous Meeting Minutes from December 10, 2015.

*The meeting minutes from December 10, 2015 were approved with the amendment to correct the spelling of Ms. Wilichowski's name throughout the minutes. There was no objection.*

#### 4. Records Retention

*-State Record Board Approval of Previous Schedules*

*Ms. Block said that the state board approved the committee's previous schedules from September 2015 at its November 2015 meeting with a change to use the word "destroy" rather than "purge" relating to the final disposition of electronic records.*

5. Old Business

*-Report on Email Account Termination Policy Status*

*Ms. Olson gave an update. The policy was approved on February 1, 2016 and is available with other policies approved by the committee on the MINT under "Technology" and "Policy & Guidelines". The policy relates to the authority of ITMD to maintain and deactivate email accounts of those employees separating from city service. Email accounts are automatically and generally terminated and deactivated at the end of a month when an employee's account drops from the HR system within the same month. The HR report is generated at the end of each month. ITMD needs to be notified from departments of any email accounts that should be deactivated immediately, become reactivated, remain active for a period of time, or have a bounce back message. There is no bounce back message for deactivated accounts. Accounts that remain open with a bounce back message remain active typically for six weeks. The policy helps to reduce costs for email licenses and eliminate email accounts that are no longer being used.*

*-Citywide Study of IT Positions from the Department of Employee Relations (DER)*

*Ms. Olson said that DER was not prepared to provide an update, she wanted the matter to remain on the committee's radar, and that the matter should be held over to the next meeting.*

*-What Works Cities Open Data Initiative Update*

*Ms. Olson provided an update. There is a signed memorandum of understanding for the technical assistance grant for people of expertise from several organizations. There are no dollars associated with the grant. There will be two projects that will overlap. The first project is the open data initiative that will continue to be in front of the committee. Open data means online data that is free, nonproprietary, unrestricted, and machine processed. The purpose of the initiative is to increase citizen engagement, transparency, and perhaps economic development. A presentation from the Sunlight Foundation, draft policy, and draft data inventory with priorities will likely be before the committee at its next meeting. The CIMC committee should be the body to have governance of the open data, which follows after the establishment of the policy. She is the point person on the initiative.*

*Members questioned the proposed governing group, access to proprietary databases from vendors, and verification of data.*

*Mr. Owczarski said that departments really have the keys and control to their datasets.*

*Ms. Olson replied. CIMC should be the group to review and approve datasets being made available online. She can help facilitate access to information, start the draft policy, and start the draft data inventory. Departments will be part of the discussion as they are the custodians of their datasets. Her office will serve as a physical custodian of datasets similar to email accounts and the City Treasurer's Office tax system. For vendor data, future conversations need to have with the offices of City Purchasing and City Attorney to install language into contracts to make data open and available. Departments should be forthcoming on providing clean, verified datasets. Certain attributes of datasets will need to be kept private.*

6. New Business

*-Email Use Policy*

*Ms. Olson gave an overview on the updated email use policy. The policy was last approved on October 19, 2009. There are substantial text changes since the original adoption of the policy due to changes with the email system. The policy format is the same. Changes include mention of the email account termination policy; update of terminology to reflect current definition of terms; removal of some concepts and terms; clean up to make the policy short and concise; and strengthening language to encourage city departments to not request city email accounts for outside consultants, contractors, and agents for the City. Acceptable use did not change.*

*Atty. Block inquired about an exception regarding enabling city email accounts for outside contracted personnel for the City due to security reasons. Some city departments, such as the City Attorney's Office and police department, have contractors working for them for many years. Contracts can be structured with language stipulating that they are subject to the open records law and are obligated to assist the City to retain records. A concern would be if the contracted person uses City email to conduct business with third parties.*

*Mr. Klajbor said that the policy does not prohibit the contracted individuals from having and utilizing city email accounts, but they must truly only utilize city emails for City business. They should identify themselves as non city employees or being under city contract in their emails and comply with open records rules.*

*Ms. Olson said that the policy can be changed to make exceptions but for only substantial reasons.*

*Ms. Olson said that another policy change is the addition of a section on encryption email due to recent discussion and RITS (Request IT Support system) requests regarding sending and receiving encrypted emails. There are encrypted emails coming into the city email system from different vendors, who are primarily deal with health institutions. Other cities and counties are sending encrypted emails to the City. ZixCorp is one of the vendors, and they have sent about 1200 encrypted emails to the City. Those emails are not discoverable or searchable by our tools, which is a major concern especially concerning open records requests for litigation purposes. The policy states that encrypted emails sent to the City from outside sources are not searchable for the purposes of records. Also, city users are responsible to save documents from encrypted emails, if they accept them, into a file directory system so that they are available and searchable for the purposes of open records and litigation. Encrypted emails usually require recipients to unlock the email with a passcode and click a link to get the message or information. Encryption basically means the message or information cannot be seen in a regular email. Recipients have to go back to the encrypted email to retrieve the encrypted information each time they want to read the email. The City's system has the ability to encrypt and send emails out regarding confidential information such as social security numbers and bank account numbers.*

*Ms. Wilichowski said that the fire department sends encrypted emails due to having protected information on patient contacts under the Health Insurance Portability and Accountability Act (HIPAA). The information is sent to the County's EMS center to communicate with health institutions.*

*Ms. Olson said that the City's Office 365 email system is fully HIPAA compliant. There is security set on the email system for transport layer security between servers where message is encrypted across the internet through TLS protocol. TLS supersedes SSL protocol. SSL encryption is used on the internet for website transactions through eBay, PayPal, and Amazon.*

*Ms. Olson added that the City may turn on encryption to send from its email system. Encrypted, sent emails would be searchable since they would be in everyone's sent items. Turning on encryption will be problematic and complicate open records searches.*

*Ms. Olson said that purchased products for city email encryption have some advantages. The products can do email encryption at the policy level with rules relating to HIPAA. Individual users would not be responsible. The ZixCorp product has searchable emails only between ZixCorp customers where the emails would unencrypt itself in the mailbox; however, the ability to search would not be 100%. ZixCorp is the biggest vendor in the cloud space. The annual cost for purchasing such a product will be significant at \$36 per user, over \$10,000 for 300 users, and \$80,000 for all city users.*

*Atty. Block made comments. Issues from engaging in email encryption will include inaccurate discovery for public records and the lack of recognition of encryption from every user. There is no control over emails coming in. Retaining and responding to open records request can be a logistical problem. Other municipalities should be facing this issue. His office has tried to contact other municipalities with no response yet on the issue. There is a preliminary look for program systems to deal with email encryption. Buying licenses for these programs may not be feasible as new licenses are required every year.*

*Mr. Owczarski said the City will have significant liability if it engages in encrypted emails. It should be verified if the City's email system is HIPAA compliant before the City engages in email encryption. If Office 365 is HIPAA complaint then it would be a satisfactory, existing tool to use rather than utilizing outside products. The concern should be about retaining encrypted emails, and users will resort to printing them.*

*Ms. Wilichowski said that there should be one file directory to be used by all city departments to save encrypted emails and that her office has used fax machines as a secure communication method for their HIPAA sensitive information.*

*Atty. Block said that his office contacts asks departments to provide information, if necessary, in response to open records request and also does its own internal search. The same process can be done for requesting for encrypted email records if they are maintained in separate, departmental directories. Regarding HIPAA compliance, his office will try to get a response by working with ITMD. The HIPAA requirement is a best practice that is followed although not being required.*

*In response to Mr. Klajbor's suggestion to reduce costs by having a select number of employees authorized to encrypt, Ms. Olson said that her office does not want to be engaged with maintaining a list of authorized employees.*

*Mr. Klajbor recommended that encrypted emails should only be used by the City when required by federal, state, or local law.*

*Mr. Klajbor added departments are responsible to save encrypted emails, determine if encryption is necessary, and contact the source of the encryption email if encryption is not necessary. The City can only control sending emails. The issue is*

*an educational one. A decision should be made by the committee today regarding the City utilizing email encryption and can be revisited if necessary.*

*Mr. Owczarski said that he has no objection to Mr. Klajbor's recommendation so as long as it is verified that the City's email system is HIPAA compliant. The system is encrypted. The false premise is that the City is not HIPAA complaint.*

*Mr. Owczarski moved to amend the "Email Use Policy", as recommended by Mr. Klajbor, in that encrypted emails should only be used by the City when required by federal, state, or local law. Seconded by Ms. Wilichowski. There was no objection.*

*-2015 CIMC Annual Report*

*Mr. Lee said that the report summarizes matters deliberated by the committee in 2015.*

*Mr. Owczarski said that all plural bodies are required to submit an annual body per the city code.*

*Mr. Owczarski moved approval, seconded by Ms. Wilichowski, of the 2015 CIMC Annual Report. There was no objection.*

**7. The following files may be placed on file as no longer necessary:**

- a. [141706](#) Communication relating to the matters to be considered by the City Information Management Committee at its March 12, 2015 meeting.
- Sponsors:** THE CHAIR
- A motion was made by Deborah Wilichowski, seconded by James Owczarski, that this Communication be PLACED ON FILE. This motion PREVAILED by the following vote:**
- Aye** 7 - Islo, Owczarski, Klajbor, Watt, Wilichowski, Sirvanciand Pinger
- No** 0
- Excused** 3 - Meyer, Coggsand Burki
- b. [150212](#) Communication relating to the matters to be considered by the City Information Management Committee at its June 1, 2015 meeting.
- Sponsors:** THE CHAIR
- A motion was made by Deborah Wilichowski, seconded by James Owczarski, that this Communication be PLACED ON FILE. This motion PREVAILED by the following vote:**
- Aye** 7 - Islo, Owczarski, Klajbor, Watt, Wilichowski, Sirvanciand Pinger
- No** 0
- Excused** 3 - Meyer, Coggsand Burki
- c. [150510](#) Communication relating to the matters to be considered by the City

Information Management Committee at its September 3, 2015 meeting.

**Sponsors:** THE CHAIR

**A motion was made by Deborah Wilichowski that this Communication be PLACED ON FILE. This motion PREVAILED by the following vote:**

**Aye** 7 - Islo, Owczarski, Klajbor, Watt, Wilichowski, Sirvanciand Pinger

**No** 0

**Excused** 3 - Meyer, Coggsand Burki

d. [151093](#)

Communication relating to the matters to be considered by the City Information Management Committee at its December 10, 2015 meeting.

**Sponsors:** THE CHAIR

**A motion was made by Deborah Wilichowski, seconded by James Owczarski, that this Communication be PLACED ON FILE. This motion PREVAILED by the following vote:**

**Aye** 7 - Islo, Owczarski, Klajbor, Watt, Wilichowski, Sirvanciand Pinger

**No** 0

**Excused** 3 - Meyer, Coggsand Burki

**Meeting adjourned at 11:18 a.m.**

**Linda Elmer, Staff Assistant**

**Chris Lee, Staff Assistant**

**Materials for this meeting can be found within the following file:**

[151552](#)

Communication relating to the matters to be considered by the City Information Management Committee at its March 10, 2016 meeting.

**Sponsors:** THE CHAIR



# City of Milwaukee

200 E. Wells Street  
Milwaukee, Wisconsin  
53202

## Meeting Minutes

### CITY INFORMATION MANAGEMENT COMMITTEE

**ALD. NIK KOVAC, CHAIR**

**Chuck Burki, Jane Islo, James Klajbor, Jennifer Meyer,  
James Owczarski, Judy Pinger, Aycha Sirvanci, Richard Watt,  
and Deborah Wilichowski**

**Executive Secretary, Nancy Olson**

**Staff Assistant, Chris Lee, 286-2232, Fax: 286-3456,  
clee@milwaukee.gov**

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Thursday, June 9, 2016

10:00 AM

Room 303, Third Floor, City Hall

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**1. Call to Order.**

*Meeting called to order at 10:10 a.m.*

**2. Roll Call.**

**Present** 8 - Islo, Owczarski, Klajbor, Kovac, Watt, Wilichowski, Sirvanci and Pinger

**Absent** 2 - Meyer and Burki

**Individuals also present:**

*Nancy Olson, DOA - Information & Technology Management Division*

*Jacquelyn Block, City Clerk's Office - City Records*

*Atty. Peter Block, City Attorney's Office*

**3. Review and Approval of the Previous Meeting Minutes from March 10, 2016.**

*Mr. Klajbor moved approval, seconded by Ms. Wilichowski, of the meeting minutes from March 10, 2016. There was no objection.*

**4. Records Retention**

*-Proposed Department Record Schedules for Approval*

*Ms. Block gave a summary. There are 26 record schedules for approval from Intergovernmental Relations Division (IRD), Office of Small Business Development (OSBD), Department of City Development (DCD), Office of the Comptroller - Financial Advisory Division, and City Treasurer. IRD is doing a comprehensive redo of its schedules and removing schedules after 10 years. OSBD is updating its schedules to reflect business operations and current practices. DCD is also redoing its schedules comprehensively, requesting to remove schedules regarding the Milwaukee Commission on Community Relations, and creating a new schedule retention for the records and minutes of the Business Resource Committee despite the committee not being one created by the Common Council. The schedules from the Financial Advisory Division from the Comptroller's Office relate to police audits,*

*police trust fund activity, and billing and collection records for mobile home parks. The City Treasurer's office has standard schedules.*

*Mr. Klajbor moved approval, seconded by Ms. Wilichowski, of the proposed department record schedules. There was no objection.*

*-State Record Board Approval of Previous Schedules*

*Ms. Block said there were no submissions to the State Record Board's last record cycle.*

## **5. Old Business.**

*-Citywide Study of IT Positions from the Department of Employee Relations (DER)*

*Ms. Olson said that the Department of Employee Relations has not made any progress on its citywide study of IT positions to share with the committee.*

*Ms. Sirvanci moved to hold this item. There was no objection.*

*-HIPPA Compliance on Outlook 365 Email Use*

*Ms. Pinger moved to hold this item. There was no objection.*

*-What Works Cities Presentation*

*Individuals appearing:*

*Noel Isama, Sunlight Foundation*

*Alyssa Doom, Sunlight Foundation*

*Katherine Klosek, Johns Hopkins Center for Government Excellence*

*Ms. Klosek was present via conference telephone.*

*Mr. Isama, Ms. Doom, Ms. Klosek, committee members, and individuals in the audience gave brief introductions.*

*Mr. Isama and Ms. Doom said that they help research best practices and assist cities to implement open data policies and programs through the What Works Cities project.*

*Mr. Isama and Ms. Doom gave a presentation on open data governance relative to the What Works Cities project, defining open data, open data benefits, Milwaukee's work with the What Works Cities project, committee responsibilities, and next steps.*

*The What Works Cities project is a Bloomberg Philanthropies two fold initiative to help 100 mid sized cities over the course of three months to use data and evidence to improve the lives of residents and operations within cities. The first part of the project is to provide technical support implementing open data. The second project component is to, assist in improving performance management, and assist in help establish a peer network linking cities together to learn best practices from one another. Sunlight Foundation is helping cities to draft and adopt open data policies.*

*Open data is the concept that government data be made public, machine readable, up-to-date, accessible, and automated. Published datasets should live in the public domain and be easily accessible as directly as possible to the community within*



*some sort of central portal. Datasets should be available in formats, such as excel format, which computers can understand and users can manipulate. Datasets should routinely contain current, accurate information to encourage maximum use. Datasets should be accessible to the broadest range of users to use for varying purposes without barriers, such as special request processes or licensing. Datasets should be automatically uploaded to relevant systems whenever created or updated.*

*Benefits of open data include saving time, creating opportunities for collaboration, smarter decisions, and adding capacity. Public record requests can be lessened resulting in more time available for both city departments and citizens. There may be cases of further inquiries as a result of open data sets. Oftentimes, the additional desired datasets are already available, and people can be redirected to access those datasets. Capacity may be gained from citizens and groups who may become involved to solve problems. Open data produces more available information for city departments to use to make better informed and smarter decisions. Due to more time saved with open data, city departments can add capacity to or reuse capacity for other important functions.*

*Ms. Wilichowski inquired about the misinterpretation of data and increased inquiries from the public due to available open data information.*

*Mr. Isama replied. These instances allow a city to tell their story, clarify data, or confirm data in how the city is doing its job. Most of the time citizens draw conclusions that are incorrect, perhaps due to mishandling datasets. Increase inquiries by citizens for clarification of data are a possibility; however, opportunities are created for collaboration and clarification. Usually cities will have tools on the portal sites to assist users to interpret data and be given context.*

*Mr. Isama and Ms. Doom proceeded with the presentation.*

*Interdepartmental collaboration can occur among city departments where departments can access each other's relevant information to assist their respective operations. Open data makes it easier for departments to use each other's data. An example is a social worker cross referencing data from different agencies to manage child welfare situations on their iPad or laptop as opposed to having to visit those agencies for the information.*

*Benefits for external users include easier access to current information, data to drive research, business opportunities, increased transparency, and increased accountability. Public record requests processes are lessened or removed, and users will not have to spend that time to obtain data. Open data adds to public engagement and helps city employees engage with the public. The City of Philadelphia engages and asks its external users for input on which datasets to release.*

*The City of Milwaukee is connected with the What Works Cities project network composed of Bloomberg Philanthropies, The Center for Government Excellence at Johns Hopkins University, and Sunlight Foundation. Sunlight Foundation has been evaluating the City's open data and performance management. There is a memorandum of understanding for a three month engagement. The MOU's goals are to strengthen open data practices and governance by codifying and standardizing processes and policies to inventory, prioritize, and release data for internal and public consumption. The MOU's outcomes include the establishment of a governance team (CIMC), the development of an open data policy, and making data available to the public.*

*Progress so far include an existing open data portal to build upon, drafting of an open data policy, and planned meet-ups with various outside stakeholders for feedback.*

*Mr. Klajbor questioned the list of stakeholders to be met.*

*Aaron Szopinski, Mayor's Office, responded that the stakeholders include Community Development Alliance, various media outlets, MSOE, UWM, Safe and Sound, Nonprofit Center, and Milwaukee Data Initiative. There will be ongoing engagement through September.*

*Mr. Isama and Ms. Doom continued the presentation. The overseeing and implementation of the open data program and policy will be taken on by Ms. Olson and the committee (CIMC). Ms. Olson will lead the responsibilities, and the committee will participate. Responsibilities include identifying open data coordinators for each department responsible to participate in the program, overseeing the creation of citywide data inventory, developing a process for determining and handling security and privacy risks, developing a process for prioritizing the release of datasets based on various input, establishing a process and method for publishing datasets onto a central online portal location, ensuring datasets meet quality and current standards, overseeing dataset publication, and participating in producing an annual report to the committee (CIMC). The report is to show how well the open data program is meeting the policy.*

*Next steps for the City is to review an open data policy, complete data inventory process, clarify roles and responsibilities, and establish a process for prioritizing datasets for release.*

*Ald. Kovac inquired about live data and cities at the forefront of open data.*

*Ms. Doom replied. Mesa, Arizona provides visuals and interaction with data for users to understand. Visuals were supported internally and through a vendor.*

*Mr. Isama added that the City of Victorville, California has an internal IT person assigned to develop and manage the open data portal there. Technologies to support a portal are expensive. Some cities may or may not be able to do it in-house. The City of New York has multiple live transportation apps built based on its open datasets. Similarly, the City of London has increased a better quality of living for its citizens with its live transportation apps and available data. Cities have different ways to provide live data. For example, some cities put GPS sensors on its snow plows. The City has the opportunity to manage and explain its information as a part of open data.*

*Ald. Kovac said the City may just put up machine readable formatted information. Investments from the outside may come in to decipher the data and produce apps, which vendors may want to profit from. Perhaps live data on firetrucks may not present a problem, but the same cannot be said on police cars or units.*

*Ms. Olson said that the City portal may have both visual information as well as raw data in a machine readable format for the public. Police and fire dispatch information is already available from the City.*

*Ms. Doom said that City should link open data and performance management together. Moving forward the City may want to include the datasets, that measures performance measurement goals, to its portal to measure its progress towards those goals.*

*Ms. Sirvanci questioned the negatives of open data and backlash for providing inaccurate information.*

*Mr. Isama said inaccurate open datasets are a possibility, but cities have the opportunity to quickly fix its data when notified of any wrong data from the public.*

*Ms. Doom said that the open data policy can establish proper mechanisms to ensure quality open datasets.*

*Ms. Wilichowski commented. Proprietary and sensitive information available for internal use by city departments should be protected versus data that can be consumed by the public. There is the concern regarding department capacity and manpower, which may be limited, to participate in open data.*

*Mr. Isama said that there should be data that is protected by law due to sensitivity. Open data helps the security of data with better organizing and identification of data. Over time and through automation, participation in open data would be made easier and costs or manpower issues would be lessened.*

*Ms. Olson said that the open data initiative will be incremental. Several factors, such as security, will be considered to determine priorities. Open data will not happen instantaneously to include all datasets. Departments would be asked initially to provide two to three datasets that are most sought after by external stakeholders and through public records.*

*Christopher Lee, American Civil Liberties Union (ACLU), questioned the manner of automation of datasets being transferred to the open data portal. Will data be grabbed and transferred to the portal automatically after it's entered or will departments be able to authorize the transfer of data to the portal?*

*Mr. Isama replied that the City should determine the manner and level of automation of its datasets to the open data portal. Perhaps automation would occur after datasets go through departments first.*

*Ms. Olson said that several aspects of datasets need to be addressed prior to automation: original system and technology, proprietary information, type, frequency, and fluidity.*

*Mr. Owczarski said that the records of the Common Council through the Granicus system are in an open data platform and may already be in compliance.*

*Mr. Isama said that the portal may simply provide access to the Common Council records. The City already has much of the building blocks to produce a successful portal.*

*Ald. Kovac said the real interest in records will be those in the fire, police, and public works departments.*

*Ms. Pinger asked if cities with successful open data portals have their portals built and maintained internally or through outside vendors.*

*Ms. Doom replied that it varies.*

## **6. New Business.**

*-Open Data Policy Review*

*Ms. Olson gave an overview on the open data policy draft and resolution draft. The policy is in standard format indicating purpose, scope, and definitions. Definitions include those that will be part of data inventory such as format, open format, metadata, and protected data. Atty. Block has reviewed the policy and has made some contributions, especially in the protected and sensitive definitions. The general policies consist of five different sections: open data program, governance, central online location for published data, open data report and review, and open data legal policy.*

*In the open data program the committee (CIMC) would be the governing body of the policy. Her office will present inventory, identify department stakeholders to review inventory details, and present the inventory to the committee to govern.*

*The governance section concerns how the committee's governance would work and the mechanism to solicit feedback from the public. Details need to be defined yet, and the committee would be briefed as such.*

*The central online location for published data would be the City's current open data website at [www.milwaukee.gov/opendata](http://www.milwaukee.gov/opendata), which currently contains a list of available data existing on current departmental websites that she has found. Her office is looking at products at a cost.*

*She will report to the committee annually on the progress of the open data policy and goals. The report perhaps can be integrated into the committee's annual report.*

*Mr. Klajbor questioned departmental record custodians making final decisions on their departments' open datasets.*

*Mr. Owczarski inquired about procurement for products purchased in the policy.*

*Ms. Olson replied. She would not oppose department record custodians making final decisions on their respective open datasets. Procurement is mentioned under "Section 1, General Policy, e". The Chief Information Officer shall work with the City Attorney and the Purchasing Director to develop contract language to promote the Open Data policy in technology-related procurements. These provisions may include, where appropriate, requirements to post data on the City's open data portal or to make data available through other means.*

*Mr. Owczarski said that procuring software and a vendor is expensive, especially with charges for retrieving databases that are formatted through a vendor.*

*Mr. Isama said the policy allows for the development of contract language to prevent chargebacks. Language can be included in contracts to state that the City should be able to access its data free of charge.*

*Ms. Olson said that current IT contracts have language stating that vendors cannot keep data hostage and have to respond to open records requests. She will work with the City Purchasing Director and the City Attorney's office to include such language contractually.*

*Atty. Block said that the public records law requires City contractors to provide the City's records to a requestor. However, there are struggles to include such language in contracts.*

*Mr. Owczarski questioned who oversees the redaction of records and redaction costs? He added that it may be cost prohibitive to make records publishable if part of it requires redaction, and he would not be comfortable with record custodians being responsible in determining what resources to make publishable. There has been and may be possible cases of public records noncompliance leading to court judgements. Oversight of records should be someone other than the respective record custodians, which the policy does not grant.*

*Atty. Block said that the record custodians of each department would be responsible over its records and redaction. There is an exception in the policy under "Definitions, f, 2", for instances of undue financial or administrative burden.*

*Mr. Klajbor said that trust should be placed on custodian heads to be responsible for determining publishable and unpublishable records.*

*Mr. Isama said that the policy does allow the committee (CIMC) to have the role of evaluating and reviewing datasets on appropriateness.*

*Atty. Block said that he was concerned with inconsistent procedural language in the policy pertaining to the terms "overseen" and "affirm" for the committee, especially regarding the absence of "affirm" in the policy under "General Policy, Section 1: Open Data Program, b."*

*Ms. Olson said that the procedure could be the same one done for record schedules. She can work with department custodians to present inventory and recommendations to the committee at every meeting where the committee can vote on the datasets to make available next based on a scoring mechanism.*

*Mr. Szopinski said that the committee should be the body to affirm record fields to publish and to redact. The Mayor may exercise the power to direct compliance for any dataset.*

*Ald. Kovac said that the committee should be informed of and should affirm a custodian's decision.*

*Mr. Klajbor moved approval of the Open Data Policy with the amendment to include "and affirm" after "overseen" under "General Policy, Section 1; Open Data Program, b". There was no objection.*

*Mr. Klajbor moved to recommend approval of the resolution on the open data policy, as amended, to the Common Council. There was no objection.*

*Ald. Kovac said that he will sponsor the resolution.*

## **7. Adjournment.**

*Meeting adjourned at 11:37 a.m.  
Chris Lee, Staff Assistant*

**Materials for this meeting can be found within the following file:**

[160157](#)

Communication relating to the matters to be considered by the City Information Management Committee at its June 9, 2016 meeting.

*Sponsors:*

THE CHAIR



# City of Milwaukee

200 E. Wells Street  
Milwaukee, Wisconsin  
53202

## Meeting Minutes

### CITY INFORMATION MANAGEMENT COMMITTEE

**ALD. NIK KOVAC, CHAIR**

**Chuck Burki, Jane Islo, James Klajbor, Jennifer Meyer,  
James Owczarski, Judy Pinger, Aycha Sirvanci, Richard Watt,  
and Deborah Wilichowski**

**Executive Secretary, Nancy Olson**

**Staff Assistant, Chris Lee, 286-2232, Fax: 286-3456,  
clee@milwaukee.gov**

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Thursday, September 8, 2016

10:00 AM

Room 303, Third Floor, City Hall

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**1. Call to Order.**

*Meeting called to order at 10:10 a.m.*

**2. Roll Call.**

**Present** 8 - Islo, Owczarski, Klajbor, Meyer, Kovac, Watt, Wilichowski and Sirvanci

**Excused** 2 - Pinger and Burki

**Individuals also present:**

*Nancy Olson, DOA - Information & Technology Management Division  
Atty. Peter Block, City Attorney's Office*

**3. Review and Approval of the Previous Meeting Minutes from June 9, 2016.**

*Mr. Owczarski moved approval, seconded by Ms. Wilichowski, of the meeting minutes from June 9, 2016. There were no objections.*

**4. Records Retention.**

*-Proposed Department Record Schedules for Approval*

*Mr. Owczarski gave a brief overview. Schedules were reviewed by CART. One item of note pertains to the workers compensation retention schedule. State wide retention is 30 years for workers compensation. The City may seek a separate schedule as an exception. The City is engaged with a third party administrator to manage these records. There is a good faith effort to seek a shorter schedule of 12 years from last indemnity as part of the contract agreement with the administrator. It is unknown what the state board will decide upon review of the schedule. There is language in the contract requiring the administrator to abide by the City's record retention schedules.*

*Atty. Block concurred and said that the shorter period being sought is not in the contract language but rather an effort by the City to seek approval for.*

*Mr. Klajbor moved approval, seconded by Mr. Watt, of the proposed department record schedules as reviewed by CART. There were no objections.*

*-State Records Board Approval of Previous Schedules*

*Mr. Owczarski said that 26 schedules were previously submitted to the State Records Board awaiting a response from the board, which has not occurred yet.*

**5. Open Data Inventory and Update.**

*Ms. Olson gave an update. The open data policy was part of the Bloomberg Philanthropy grant called What Works Cities. The policy via resolution was signed by Mayor Barrett on July 13, 2015. The policy establishes what open data is, the governance of open data through this committee, and the publication of data inventory. There are other cities with an open data policy, such as St. Paul, Minnesota, Mesa, Arizona, and Baltimore, Maryland. Open data is the first part of the project. The second part is performance measures that will be forthcoming soon. The purpose of the policy is to produce transparency, accountability, and reduced workload in government; empower communities and businesses; support collaboration; and facilitate research and program evaluation. Open data are public datasets for the public domain that are machine readable, current, and accessible. The release of data should be automated in the long term.*

*The request is for all departments help ITMD create an inventory of datasets, private and public, stored and retained by the respective departments. Departments should share their top three to five datasets as a start by December this year. The datasets will be prioritized, considered for publication, and brought before this committee for review and approval. Milwaukee.gov/opendata is the new City website for open data with an inventory link to a list of datasets in the inventory so far from departments. The website describes a proposed plan to prioritize datasets. ITMD will work with departments to refine the inventory list. Goal is to create an initial inventory by December. Anticipated for the next committee meeting is a presentation of an inventory, with priorities, for consideration.*

*Ms. Wilichowski inquired about a depository of datasets for internal and interdepartmental use and access only. A central depository for internal use, as opposed to separate interfaces, would be beneficial.*

*Ms. Meyer said that a central depository for internal and interdepartmental users may happen naturally over time.*

*Atty. Block said that there are statutes that preclude the sharing of information, even interdepartmentally.*

*Ms. Olson added comments. The open data policy and portal is intended for the public. Departments are to review their datasets, redact information or fields accordingly, and forward public data only. Interdepartmental sharing of information among certain departments is occurring. The inventory will capture private datasets, but the committee will decide on what datasets to make public. Requests for datasets to be made public will be considered, such as those from the American Civil Liberties Union (ACLU).*

*Chris Ahmuty, ACLU of Wisconsin, said that the ACLU would probably request similar public safety data made available in other cities under the White House*



*initiative.*

*Mr. Ahmuty inquired about an appeal procedure for departments not releasing information under the open data policy.*

*Atty. Block replied that open records requests can be made for information. There is the ability to file a petition through circuit court for denied record requests.*

*Mr. Owczarski commented. A concern would be those dataset systems that are not open data compliant technologically. Hopefully the legislative and law aspects would govern and bring compliance. The power of this committee would rise to making a recommendation to the Common Council for instances of dispute over making departmental datasets public.*

*Ms. Olson added that open data is not the same as open records requests. Open data helps reduce open record requests, but will not eliminate them. Some open datasets can be made automated to be current.*

*Ms. Meyer said that the portal should contain some context, in a few sentences from departments, about the open datasets on there.*

## **6. ADA DOJ Compliance.**

*Ms. Olson gave an update. The City has entered into a three year settlement agreement with the Department of Justice (DOJ) effective July 6, 2016 requiring the City to maintain websites in accordance with the American Disabilities Act (ADA). The City has nine months to enter into a contract with an independent consultant to review the City's webpages and service applications that the City houses or has contracts with. Currently the websites to contract for are milwaukee.gov, mpl.org, and milwaukeepolicenews.com. Links to websites outside of the City websites are not under the requirement to comply. The consultant will produce annual reports. The independent audit from the consultant will identify all of the errors and noncompliance on the websites. The challenge would be addressing applications that are not in compliance, which guidance would be needed from the City Attorney's Office. There is possibility for significant work on the City's part to address its websites and vendor applications. Costs to address ADA compliance remain to be seen.*

*Requested of departments are to forward lists of applications the City has through other vendors. The agreement requires all online websites and services to abide WCAG 2.0 ADA standards. Examples of required features include screen readers and photo captions. The Police Department and the Library are requested to cooperate with the RFP process.*

*Ms. Meyer says that the Library would have to make its catalog ADA compliant and not its materials.*

## **7. Adjournment.**

*Meeting adjourned at 10:49 a.m.  
Chris Lee, Staff Assistant*

**Materials for this meeting can be found within the following file:**

[160578](#)

Communication relating to the matters to be considered by the City Information Management Committee at its September 8, 2016 meeting.

Sponsors: THE CHAIR



# City of Milwaukee

200 E. Wells Street  
Milwaukee, Wisconsin  
53202

## Meeting Minutes

### CITY INFORMATION MANAGEMENT COMMITTEE

**ALD. NIK KOVAC, CHAIR**

**Chuck Burki, Jane Islo, James Klajbor, Jennifer Meyer,  
James Owczarski, Judy Pinger, Aycha Sirvanci, Richard Watt,  
and Deborah Wilichowski**

**Executive Secretary, Nancy Olson**

**Staff Assistant, Chris Lee, 286-2232, Fax: 286-3456,  
clee@milwaukee.gov**

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Thursday, December 8, 2016

10:00 AM

Room 303, Third Floor, City Hall

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#### 1. Call to Order.

*Meeting called to order at 10:01 a.m.*

#### 2. Roll Call.

*Ms. Wilichowski joined the committee at 10:04 a.m. during discussion of agenda item 4.*

**Present** 7 - Islo, Owczarski, Klajbor, Watt, Wilichowski, Pinger and Burki

**Absent** 2 - Meyer and Sirvanci

**Excused** 1 - Kovac

#### Individuals also present in participation:

*Nancy Olson, DOA - Information and Technology Management Division (ITMD)  
Maggie Turner, City Records Center  
Jack Gaboury, City Records Center  
Atty. Peter Block, City Attorney's Office  
Rhonda Kelsey, DOA - Purchasing Division  
David Henke, DOA - ITMD*

#### Selection of a Chair Pro Tem.

*Mr. Klajbor was nominated and elected as chair pro tem. There were no objections from those members present.*

#### 3. Review and Approval of the Previous Meeting Minutes from September 8, 2016.

*Minutes from the September 8, 2016 meeting were approved as presented. There were no objections from those members present.*

#### 4. Records Retention

*-Proposed Department Record Schedules for Approval*

*Ms. Turner gave a brief overview. There are 33 record schedules for the committee's review originating from the Licenses Division, Purchasing Division, ITMD, Department of Public Works, City Records Center, Comptroller's Office, and Department of City Development (DCD). There is the removal of the majority of Licenses Division record schedules, with the exception of the new municipal identification, due to licenses no longer being issued by this office. Two schedules will result in two new e-vault applications for scanning documents. There is mention for proposed future schedule for photos within the DCD record schedules. Local schedules for all departments will be explored.*

*Ms. Wilichowski joined the committee at 10:04 a.m.*

*Mr. Owczarski added remarks. Many licenses have been eliminated over the last several years, as reflected in the record schedules. There is ongoing discussion with various stakeholders regarding the municipal identification ordinance and records.*

*Mr. Watt moved approval, seconded by Ms. Pinger, of the record schedules as presented. There were no objections from those members present.*

*-State Records Board Approval of Previous Schedules*

*Ms. Turner gave an update. No response has been received yet regarding the approved schedules submitted to the November 14, 2016 State Records Board meeting. The State Records Board approved the record schedules submitted to its August 22, 2016 meeting.*

*-Review of Forms and Format for Retention Schedules*

*Ms. Turner said that the State Records Board will now require the completion of its forms for schedules submitted to the board going forward. The board will no longer accept the schedules in spreadsheet form as practiced. There are three forms and two different filling options for the committee to review and choose to complete going forward. All forms require every record to state personal identifiable information contained in the record. The committee's choice will affect the format of presenting the schedules to the committee going forward from staff.*

*The recommendation from staff is for the first option, the Records Retention / Disposition Authorization (PRB-001) form, which would be the most similar one to the current record retention schedule request form. The form is fillable and can be completed by departments via the MINT intranet. Certain fields are missing but can be added to the record description. Requests for changing custodians and deleting schedules would require completion of a separate Change Request (DOA-3806) form.*

*The second option is the Records Retention / Disposition Authorization Functional (PRB-003) form. This option would require each department to fill out a packet of forms as opposed to one sheet for a retention schedule. The form has fewer fields for the state board to review.*

*Mr. Klajbor said that the first option would be most similar to what is occurring now.*

*Mr. Owczarski moved that the Records Retention / Disposition Authorization (PRB-001) and Change Request (DOA-3806) forms be used to complete record retention schedules going forward. Seconded by Ms. Islo. There were no objections from those members present.*

*Mr. Owczarski further moved that the new forms would suffice for committee review requiring no supplementary information. Seconded by Mr. Watt. There were no objections.*

**5. Status of Open Data Initiative.**

*Ms. Olson gave an update on a report on open data initiative for the City. Since the last committee meeting every department was asked to supply three to five datasets, either commonly requested ones or ones desired to be on the open data portal. 108 datasets have been received for the inventory on the open data portal page. 68 of them are available. 40 are under consideration. Datasets have been categorized into 7 areas. Public safety is not the biggest category. There is a list of all datasets that are on the open data inventory that are under consideration.*

*There were two new datasets added to the open data portal since the last meeting. The first dataset is an address listing of every city property with a lead service line in Excel spreadsheet format. The second dataset is from ITMD regarding service request only data from the 286-CITY call center phone line. 70 percent of calls are informational inquiries and do not result in a service response.*

*There was success in requesting in the 2017 City budget to receive funds for a data portal through the capital program. An RFP document will be prepared for open data portal software, which will change the portal page making it more navigable.*

*Anticipated for the next quarter is completion of the inventory, with participation for those departments that have yet to respond, and review of priorities. About 60 percent of departments have responded thus far.*

**6. Status of ADA DOJ Web Compliance.**

*Ms. Olson gave an update. The City had signed an agreement with the Department of Justice (DOJ) to comply with the American Disability Act (ADA), include ADA web compliance. City web pages and applications must be made to be Web Content Accessibility Guidelines(WCAG) 2.0 AA compliant. One requirement is to hire a consultant, and an RFP has gone out. RFP responses have been received and are being evaluated. Anticipated by the next meeting is a contract with the chosen consultant and completion of a preliminary report on the status of ADA web compliance for the City. Requested from departments is consideration of ADA web compliance for any new applications and agreements with software vendors. The consultant will survey the City's sites for the next three years as part of the agreement.*

*Ms. Kelsey asked about language being added to contracts for new purchases and bids.*

*Ms. Olson replied yes for any applications that are open to the public but not for applications that are only used internally. The agreement applies only to the external facing web pages and applications. She will contact city attorney Kathy Block about creating the contract language accordingly.*

**7. Demo of Land Management System (LMS) Citizen Access**

*Ms. Olson gave a demonstration and overview of the City's LMS access site at*

*milwaukee.gov/lms.*

*LMS went live early back in January for the records of the Board of Zoning Appeals and the Department of Public Works. It expanded to include the Department of Neighborhood Services records in October. There is much functionality and searchable fields for records on the LMS access site open to the public. Significant data can be obtained on the access site by anyone without requiring registration. Examples include permitting, licensing, inspection, and property registration data. Citizens can pull permits and request services on the access site, but that requires them to create their own accounts and logins.*

*When searching on LMS, "show all content" must be selected to search all records. There are helpful guides and a helpful instructional video on the site. The NSS system remains unchanged and will remain open. Some migration issues are anticipated to be corrected by the end of the year. 2.5 million records were converted to the LMS. LMS will show every record, including historical records. A future addition to LMS will be the City Clerk Licenses Division records. There is much advanced searchable fields such as by address, address range, parcel number, tax key, data type, data range, and date range. "H" records are historical records and contain limited amounts of data details. Otherwise, LMS records will contain much live workflow data going forward, such as the various steps of permitting by field personnel. 35 iPad devices deployed in the field for inspectors to enter data by the end of the year. Document attachments can be accessed under record information.*

## **8. Proposal of Virtual Fax Machine System.**

*Mr. Henke gave an overview. The system is part of the new retention schedule under consideration today to process faxes in a paperless matter. ITMD has been investigating on sending and receiving documents electronically through a fax number. The proposal is through a web portal that can be logged into to upload or download fax documents through a traditional fax number. Primary reasons for the system are difficulties in installing phone lines for fax machines, reducing cost, eliminating paper, producing electronic documents seamlessly, and reduce fax machine hardware. The web portal interface is in development and will be similar to the voicemail system for general city employees with a fax portal number, secure login, and pin number. The police and fire departments have different voicemail systems, and there can be discussion to include those departments to the proposed virtual fax machine system.*

*The system will save fax documents electronically to the portal. Recipients will be notified by email about fax documents that are received and transmitted through the system. Fax documents uploaded internally to or received externally through the portal will be retained for 120 days before being purged from the archive. Of importance are departments downloading fax documents from the portal prior to the documents getting purged and retaining documents, under other retention schedules, appropriately from the fax system. The system is an additional tool and may not be an appropriate replacement for all traditional fax machine solution.*

*Members inquired about notification from the portal system to recipients regarding documents that will be purged from the portal, testers for the portal, a desktop component, and HIPPA compliance.*

*Mr. Henke replied. A purge notification can be considered in developing the portal system. Testers are welcomed. Once the retention schedule is approved, the application will be developed and be in testing phase early next year. There will only*

*be a website and no desktop component. He is unsure about developing the system to be HIPPA compliant, but the system will have secure login. The intent is not for everyone to have their own fax phone line.*

*Mr. Burki said that the police department is interested in being a tester for the system.*

*Atty. Block said that Ellen Tangen of his office would need to address the HIPPA compliance.*

*Mr. Owczarski commented. A virtual fax machine portal, as proposed, would significantly be more secure than physical fax machines where anyone can access a physical fax machine. His office asked for this to eliminate the use of physical fax machines and to seamlessly receive and send documents electronically, which will likely be the practice in the foreseeable future.*

*Ms. Olson added comments. An eventual City Attorney opinion will be needed to address HIPPA compliance. Physical fax machines are not that active, especially in her office. There is flexibility in developing the system. The uniqueness of each department will have to be considered. There may be departments that still want to retain a standard fax machine. The development of the virtual system will not take significant time as currently envisioned.*

## **9. Review of 2017 CIMC Meeting Schedule.**

*Proposed meetings for 2017 from clerk staff are:*

*Thursday, March 9, 2017 at 10 a.m. in Room 303, City Hall*

*Thursday, June 8, 2017 at 10 a.m. in Room 303, City Hall*

*Thursday, September 14, 2017 at 10 a.m. in Room 303, City Hall*

*Thursday, December 14, 2017 at 10 a.m. in Room 303, City Hall*

*Ms. Wilichowski moved approval, seconded by Ms. Pinger, of the 2017 CIMC meeting schedule as presented. There were no objections from those members present.*

## **10. Adjournment.**

*Meeting adjourned at 11:00 a.m.*

*Chris Lee, Staff Assistant*

**Materials for this meeting can be found within the following file:**

[161089](#)

Communication relating to the matters to be considered by the City Information Management Committee at its December 8, 2016 meeting.

**Sponsors:** THE CHAIR

# Exhibit B

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## *EMAIL ACCOUNT TERMINATION POLICY*



# Email Account Termination Policy

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## Purpose

In order to maintain security procedures for departing employees and reduce cost of email licensing, it is necessary to define the processes and responsibilities for promptly removing access to employee email accounts.

## Scope

This policy applies to all City-issued email accounts

## General Policy

1. Email accounts of terminated employees will be disabled immediately upon notification to ITMD. For security purposes it is imperative that this happen as soon as practical, preferably during or prior to a termination. If a department desires confidentiality prior to a termination, they can contact the CIO or the ITMD Policy and Admin Manager.
2. Email accounts of voluntarily separated employees will be automatically disabled within one pay period of the month following the separation.
  - Email, including archiving, is retained
  - No out of office message is provided
  - Senders to the account will receive a bounce back that the email was undeliverable
3. Email accounts of employees transferring between City departments will by default transfer with the individual. In some cases, the departments may choose to disable the account and provide the employee with a new email address. In the event that departments/individuals do not agree on an approach the CIO will determine the best solution for the City.
4. If a department has a business need to maintain the email account of a separated employee, a request should be made in writing to the CIO, including a reason and the length of time the account should stay active. Email accounts requested to remain active will do so no longer than 6 months. In the event of a vacancy of an elected official, the duration that the account shall remain open will be handled on a case by case basis.
  - Reasons for requesting an email account remain active can include desire to have an out of office message sent for notification to senders
  - Departments will be responsible for monitoring the account while it remains active
  - ITMD will automatically disable the account at the time agreed to upon request
5. Email Accounts that do not belong to a specific employee, such as [webmaster@milwaukee.gov](mailto:webmaster@milwaukee.gov) or [enotify@milwaukee.gov](mailto:enotify@milwaukee.gov) and other resource accounts should be monitored regularly.
  - General email accounts that use an email license will be disabled if they have not been either directly accessed in six months or if the account that messages are being forwarded to becomes inactive

# Exhibit C

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*EMAIL USE POLICY*

# Email Use Policy

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## Purpose

The City of Milwaukee encourages its employees to use email for work-related communications, to assist in providing services to citizens, and for any other activity that supports the city's mission. The use of email, while convenient, does not come without expectations and risk to the City. In order to demonstrate these expectations and risks the following policy should be followed by all City employees.

## Scope

This policy applies to all City-issued email accounts.

## General Policy

### Access

City departments will request email accounts from the Information and Technology Management Division (ITMD) when a new employee is hired. The appropriate email access will be granted by ITMD in consultation with the requesting manager.

ITMD will disable Email use as defined by the Email Account Termination policy.

City departments are encouraged not to request email accounts for contractors, vendors, or agents of the City. If contractors use a City email account they must identify themselves in the signature block as non-city employees and they must comply with all policies, rules, and requirements regarding use of the City's email system; including being subject to open records searches and no expectation of privacy. Any reference in this document to "employee" or "City employee" shall be considered to include any contractor, vendor, or agent working for or representing the City with a City email account.

### Acceptable Use

City employees must use only the City's email to send and receive messages for work-related communication or for official communication with constituents. Employees may not use personal email accounts to conduct any type of official City business. Under no circumstances will employees be permitted to use city equipment and email systems for illegal activities, profit-making ventures or political endeavors.

Employees must also abide by all applicable laws, policies, and guidelines regarding the appropriate use of email. They may not send messages that can be construed as scandalous, defamatory, libelous, obscene, immoral or in violation of any intellectual property rights. Email users may not knowingly misrepresent themselves or their employment by the city; in messages sent they must always identify themselves honestly, accurately, and completely.

The City acknowledges that incidental use of the city's email system for personal purposes may be appropriate. However, departments must ensure that such use does not impair the employee's ability to fulfill his or her job responsibilities.

#### Privacy and Security

All email sent from or received are considered City property. City and departmental management reserve the right to examine, at any time and without prior notice, all email. Users should not assume any privacy or confidentiality for messages they transmit or receive via the City's email system. Users should never send confidential or sensitive information via unencrypted email.

#### Encrypted Email

Sending confidential or personal identifiable information via email should be encrypted. Contact ITMD for instructions on how to send an encrypted email.

Encrypted emails sent to the City from outside sources are not searchable for the purposes of open records. Encrypted emails should only be received by the City when required by federal, state, or local law, and it is the responsibility of the City user to save these documents to a file system. The email body message and any attachments should be saved in an appropriate storage medium to ensure it is retained and searchable for the length of the record retention. Questions should be directed to ITMD, the City Attorney's office, or the City Records Manager in the Office of the City Clerk.

#### Archiving and Record Retention

The City's email archival system will automatically store all email messages sent or received through the City's email system. All emails contained in the archival system will be subject to public disclosure under open records laws.

#### Employee Responsibilities

Email remains a common method of coming into contact with computer viruses or malware, particularly via links embedded in emails or through the use of attachments. Users should exercise extreme caution before opening links or attachments contained within an email message, if the message looks suspicious. If in doubt, users should attempt to verify the validity of an email message with the sender.

The City of Milwaukee trusts that its employees will act responsibly, and always in the best interests of the taxpayers who support them and the customers who depend upon them. Each individual is responsible for complying with all applicable state and federal laws, and all City policies and standards when using the City's email system. City departments will be held accountable for the actions of individual employees to ensure that conduct meets guidelines established for appropriate use of email.

Any employee who is found to have violated this policy may be subject to disciplinary action, up to and including termination of employment.

# Exhibit D

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## *RECORD RETENTION SCHEDULES*

*June 9, 2016*

**City of Milwaukee Schedule Recommendations for CIMC Review, June 9, 2016**

#	Org	Department	Schedule #	Record Title	Request Type	Record Content & Purpose	Retention/ Location Details	Final Disposition	City of Milwaukee Department Request	Municipal Records Officer Recommendation	Status
1	153	Department of Administration-Intergovernmental Relations Division (DOA-IRD)	D74-0140	<u>Equipment Requests</u>	Delete	This record series includes requests for equipment for division use, submitted to the Board of Estimates.	Current + 3 Yrs. IRD Office	Scrap	The request is to delete this record as it is no longer used by the IRD division of the Department of Administrations	Approve	CART Approved -- Pending CIMC
2	153	Department of Administration-Intergovernmental Relations Division (DOA-IRD)	D74-0195	<u>IRI Interdepartmental Requisitions and Invoices</u>	Change/Renewal	These records are <u>Interdepartmental Requisitions and Invoices</u> received from departments and issued to other departments	Current + 2 Yrs. IRD Office	Scrap	The request is to: consolidate records previously scheduled under D82-0059, which listed copies of IRIs used for billing departments along with IRIs received from other departments; change the title to <u>IRD Interdepartmental Requisitions and Invoices</u> and reduce the retention from C+9, to 2 years.	Approve	CART Approved -- Pending CIMC
3	153	Department of Administration-Intergovernmental Relations Division (DOA-IRD)	D82-0059	<u>Accounts Receivable C-79, CBP-175</u>	Delete	This record series includes <u>Accounts Receivable Invoices Form C-79</u> , which was used to bill outside agencies for services rendered by the division when charges are billed to the division, an IRI CBP-175C is completed debiting and crediting the appropriate department accounts.	Current + 9 Yrs.- IRD Office	Scrap	The request is to delete this schedule and consolidate the related records under D74-0195 (which is proposed for renewal and update). Some records under D82-0059 are obsolete. Current records will be scheduled under D74-0195.	Approve	CART Approved -- Pending CIMC
4	159	Department of Administration-Office of Small Business Development (DOA-OSBD)	D09-0029	<u>EBE Development Project Files</u>	Change/Renewal	This record series includes contracts, correspondence and reports specifically related to development projects that are originating in the Department of City Development. Reports are completed by contractors and submitted to the OSBD office. Correspondence between contractors and the OSBD office reflects any documented communication regarding City contract issues. The purpose of this series is to monitor compliance with SBE (Small Business Enterprise) or RPP (Residential Preference Program).	Current +1 Yr.- OSBD Office / 6 Yrs. City Records Center	Destroy Under Supervision	The request is to renew and update this schedule to reflect current business practices and a change to the title of the program. The request is to change the title of this schedule to <u>OSBD Development Project Files</u> to remove the old reference to EBE.	Approve	CART Approved -- Pending CIMC

**City of Milwaukee Schedule Recommendations for CIMC Review, June 9, 2016**

#	Org	Department	Schedule #	Record Title	Request Type	Record Content & Purpose	Retention/ Location Details	Final Disposition	City of Milwaukee Department Request	Municipal Records Officer Recommendation	Status
5	159	Department of Administration-Office of Small Business Development (DOA-OSBD)	D11-0052	<u>EBE Certification Denial Files</u>	Change/Renewal	This record series includes documentation regarding denials to small businesses who have sought certification from OSBD as a Small Business Enterprise, including those businesses that have exhausted appeals. EBE sunset in 2011. MBE and WBE were repealed in 2013. These previous program records are included under this schedule. Supporting documents include: birth certificate of business owner, high school transcript, business and personal tax statement (3 years), bank signature card, resume, sample company invoices and other confidential information.	3 Yrs.- OSBD Office / Current + 7 Yrs.- City Records Center	Destroy Under Supervision	The request is to renew and update this schedule to reflect current business practices. The request is to change the title of this schedule to remove the references to EBE as several other programs are relevant to the existing collection. The new title would be <u>OSBD Certification Denial Files</u> .	Approve	CART Approved -- Pending CIMC
6	159	Department of Administration-Office of Small Business Development (DOA-OSBD)	D15-0034	<u>OSBD Correspondence Files</u>	New	Correspondence including requests between the office and certified firms regarding certification contract monitoring. This series includes compliance check documentation between primary contractors and subcontractors. Records are in paper and digital format (Word, PDF).	Creation + 3 Yrs.- OSBD Office / 4 Yrs.- City Records Center	Destroy Under Supervision	The request is to create a new schedule as these records have never been scheduled before.	Approve	CART Approved -- Pending CIMC
7	159	Department of Administration-Office of Small Business Development (DOA-OSBD)	D95-0132	<u>EOEP/ Defaulted Revolving Loan File</u>	Change/Renewal	This record series includes tax returns, bank account information, pension plans, financial statements and loan guarantee documents. Correspondence relating to the default of the loan is also included.	Current + 2 Yrs.- OSBD Office / 8 Yrs.- City Records Center	Destroy Under Supervision	The request is to renew and revise this schedule to reflect current business practices and to change the record title to exclude reference to the program file. The new title would be <u>Defaulted Revolving Loan File</u> .	Approve	CART Approved -- Pending CIMC
8	159	Department of Administration-Office of Small Business Development (DOA-OSBD)	D95-0133	<u>EOEP/ Bond File</u>	Delete	This record series includes <u>Bond Application</u> , request letters to North Milwaukee State Bank seeking irrevocable letter of credit for applicant, letters of credit, payment certification, and other documentation.	Creation + 1 Yr.-OSBD Office / 14 Yrs. City Records Center	Destroy Under Supervision	The request is to delete this schedule as this program has been obsolete many years ago.	Approve	CART Approved -- Pending CIMC

**City of Milwaukee Schedule Recommendations for CIMC Review, June 9, 2016**

#	Org	Department	Schedule #	Record Title	Request Type	Record Content & Purpose	Retention/ Location Details	Final Disposition	City of Milwaukee Department Request	Municipal Records Officer Recommendations	Status
9	159	Department of Administration-Office of Small Business Development (DOA-OSBD)	D95-0135	<u>EOEP Defaulted Bond File</u>	Delete	This record series includes all bond file material and payment drawn from CBGA (Community Block Grant Administration) to Comptroller.	Creation + 1 Yr.-OSBD Office/ 14 Yrs. City Records Center	Destroy Under Supervision	The request is to delete this schedule as this bond program has been obsolete for at least 15 years.	Approve	CART Approved -- Pending CIMC
10	159	Department of Administration-Office of Small Business Development (DOA-OSBD)	D95-0137	<u>DBE Correspondence Files</u>	Delete	This record series contains correspondence between EOEP, other businesses and DBE's relating to the nature of the DBE's services or commodities offered, complaints, commendations, etc.	Creation + 2 Yrs.- OSBD Office/ 4 Yrs.- City Records Center	Destroy Under Supervision	The request to delete this schedule and change the final disposition from MPLSCREEN to Destroy Under Supervision. Records in this collection do not appear to have historic value and can be found in other sources such as resolutions. Any remaining records will be disposed of upon final approval of this request.	Approve	CART Approved -- Pending CIMC
11	159	Department of Administration-Office of Small Business Development (DOA-OSBD)	D95-0152	<u>Daily Field Monitoring Report</u>	Delete	This record series includes the form prepared by Building Inspection to monitor/confirm DBE subcontractors performance on city contracts. Includes project dates, number, bid number, prime contractor and department.	Current + 1 Yr.- OSBD Office / 4 Yrs.- City Records Center	Destroy Under Supervision	The request is to delete this schedule as these records are no longer generated. Any remaining records will be disposed of upon final approval of this request.	Approve	CART Approved -- Pending CIMC
12	191	Department of City Development (DCD)- Commercial Corridor Team	D16-0007	<u>Business Resource Committee Records and Minutes</u>	New	This record series includes the Business Resource Committee's records and minutes of actions taken at monthly meetings for the award or denial of City-funded grants administered by DCD's Commercial Corridor Team. Grants may include, but are not limited to, grants under the Commercial Investment Program for Signage, Facade, White-Box, Retail Investment Fund "RIF" and Art and Community Resource Building Loans. This Committee is an internal committee formed by DCD. It was not created by the Common Council of the City of Milwaukee.	Creation + 5 Yrs./ DCD Office	LRB	The request is to create a new schedule for <u>Business Resource Committee Records and Minutes.</u>	Approve -- with a final disposition of "LRB", in accordance with City Ordinance 305-32, 2.a. -- Official Depository of City Documents.	CART Approved -- Pending CIMC



**City of Milwaukee Schedule Recommendations for CIMC Review, June 9, 2016**

#	Org	Department	Schedule #	Record Title	Request Type	Record Content & Purpose	Retention/ Location Details	Final Disposition	City of Milwaukee Department Request	Municipal Records Officer Recommendations	Status
13	191	Department of City Development (DCD)- Commercial Corridor Team	D16-0027	<u>BID/NID Files- Petitioned, But Not Created</u>	New	This record series includes Business Improvement District ("BID") and Neighborhood Improvement District ("NID") records for proposed BIDs or NIDs that were petitioned by the property owners of a geographic area, but were not created. BIDs and NIDs are created according to Wisconsin Statutes, Sections 66.1109 and 66.1110, respectively. Files include, but are not limited to, BID and NID initial operating plans (contains petition), assessment data and correspondence. BIDs and NIDs are geographic areas within the City of Milwaukee that are created by petition of property owners within a geographic area for the purpose of creating a funding source to provide for district improvements. Once created, BIDs and NIDs exist until dissolved by the Common Council of the City of Milwaukee.	Event = (for proposed BIDs/NIDs that were petitioned, but were not created by the Common Council, the 2 year retention period begins with either the date of the last action of the Common Council/ Standing Committee or the date that an opposing petition is deemed valid in the majority, whichever date applies and is later) + 2 Yrs./ DCD Office	Destroy Under Supervision	The request is to create a new schedule for <u>BID/NID Files- Petitioned, But Not Created</u> .	Approve	CART Approved -- Pending CIMC
14	191	Department of City Development (DCD)	D66-0041	<u>MCCR Pamphlets and Reports</u>	Delete	This record series includes official publications of human relations agencies throughout the United States to be transferred to the Municipal Library, known as the Legislative Reference Bureau (LRB), prior to destruction. MCCR= Milwaukee Commission on Community Relations.	Current + 3 Yrs.- DCD Office	Transfer to City of Milwaukee LRB	The request is to delete this schedule as this is a series of publications that does not officially require a retention schedule.	Approve	CART Approved -- Pending CIMC
15	191	Department of City Development (DCD)	D70-0068	<u>MCCR Complaints</u>	Delete	This record series contains complaints submitted to the MCCR (Milwaukee Commission on Community Relations) for investigation, including, but not limited to, discrimination and housing.	Creation + 3 Yrs.- DCD Office	Destroy Under Supervision	The request is to delete this schedule as these records no longer exist.	Approve	CART Approved -- Pending CIMC
16	191	Department of City Development (DCD)	D70-0069	<u>MCCR Birth Certificate Cases File</u>	Delete	This record series includes data pertaining to the tracing of birth certificates for prospective City employees. The MCCR (Milwaukee Commission on Community Relations), which began in the late 1940's, was dissolved in the late 1980's.	Creation + 1 Yr./ City Records Center	Destroy Under Supervision	The request is to delete this schedule as these records no longer exist.	Approve	CART Approved -- Pending CIMC

**City of Milwaukee Schedule Recommendations for CIMC Review, June 9, 2016**

#	Org	Department	Schedule #	Record Title	Request Type	Record Content & Purpose	Retention/ Location Details	Final Disposition	City of Milwaukee Department Request	Municipal Records Officer Recommendations	Status
17	191	Department of City Development (DCD)	D70-0070	<u>MCCR Correspondence</u>	Delete	This records series contains copies of letters, complaint reviews and memoranda from the MCCR (Milwaukee Commission on Community Relations) office.	Current + 2 Yrs. DCD Office + 5 Yrs.- City Records Center	Destroy Under Supervision	The request is to delete this schedule as these records no longer exist.	Approve	CART Approved -- Pending CIMC
18	191	Department of City Development (DCD)	D77-0084	<u>Contracts- Other Construction and Personal Service</u>	Delete	This record series contains contract forms, addenda, specifications and change orders, guarantee bonds, special warranties and correspondence pertaining to a variety of construction-related maintenance and various personal services furnished to DCD and HACM (Housing Authority of the City of Milwaukee) and RACM (Redevelopment Authority of the City of Milwaukee) by outside vendors.	Current + 10 Yrs./ DCD Office	Destroy Under Supervision	The request is to delete this schedule, as related DCD and RACM records, were replaced by Schedules D13-0042 and D13-0049, respectively. HACM records are not under the jurisdiction of the City Information Management Committee, as determined by former City Attorney Tom Hayes, in a legal opinion issued in the late 1990's. HACM, financed with federal funding, was determined to be a "non-city entity". The HACM Board has jurisdiction over its record schedules. NIDC and RACM -- also classified by Mr. Hayes at that time to be non-city entities are now, in fact, "city components" whose budgets are subject to approval by the Common Council, in accordance with Government Accounting Standards Board rules and are therefore, according to Vincent Moschella, under the jurisdiction of the CIMC with regard to approval of record retention schedules. Chris Wanty, of the Office of the City Comptroller, concurs with Mr. Moschella.	Approve	CART Approved -- Pending CIMC

**City of Milwaukee Schedule Recommendations for CIMC Review, June 9, 2016**

#	Org	Department	Schedule #	Record Title	Request Type	Record Content & Purpose	Retention/ Location Details	Final Disposition	City of Milwaukee Department Request	Municipal Records Officer Recommendation	Status
19	191	Department of City Development (DCD)	D89-0027	<u>MCCR Subject Files (1964-1988)</u>	Delete	This record series contained a very broad categorization, covering files relating to a wide-ranging miscellany of topics from Circa 1945 - 1988. Included are MCCR (Milwaukee Commission on Community Relations) office files documenting agency activities and procedures, newsletters, reports, chronological files and project files reflecting involvement in various community relations/human rights areas such as affirmative action, comparable worth, police-community relations, hate/violence monitoring, relations training and Martin Luther King Day celebrations.	Transfer to MPL for screening	MPLSCREEN	The request is to delete this schedule as custodianship of these records were transferred to the City Archives at the Milwaukee Public Library in 1989, with the authority to weed.	Approve	CART Approved -- Pending CIMC
20	191	Department of City Development (DCD)	D89-0050	<u>MCCR Photographs and Slides</u>	Delete	This record series includes miscellaneous photographs and slides gathered by MCCR (Milwaukee Commission on Community Relations) staff from Circa 1945 - 1988.	Transfer to MPL for screening	MPLSCREEN	The request is to delete this schedule as custodianship of these records were transferred to the City Archives at the Milwaukee Public Library in 1989, with the authority to weed.	Approve	CART Approved -- Pending CIMC
21	191	Department of City Development (DCD)	D94-0022	<u>DCD Electronic Mapping of GIS Related Records</u>	Delete	This record series contains digital land use 1/4 sections, zoning, overlay files; census tract, neighborhood, special use, spot acquisition urban renewal, Tax Incremental District, Business Improvement District, development, CDBG (Community Development Block Grant) boundary, historic maps. January/July backup tapes.	Current +1 Yr.- DCD Office / Permanent	Permanent	The request is to delete this schedule as the GIS function within DCD transferred to the Department of Administration- Information Technology Management Division (DOA-ITMD) several years ago. Transfer custodianship of GIS Records to DOA/ITMD.	Approve	CART Approved -- Pending CIMC

**City of Milwaukee Schedule Recommendations for CIMC Review, June 9, 2016**

#	Org	Department	Schedule #	<u>Record Title</u>	Request Type	Record Content & Purpose	Retention/ Location Details	Final Disposition	City of Milwaukee Department Request	Municipal Records Officer Recommendations	Status
22	215	City Comptroller/ Financial Advisory Division	D16-0020	<u>Police Trust Fund Activity Records</u>	New	This record series includes Deposits from the Police Inventory/Property Division to the Police Trust Fund (FMIS FUND 0613) by the City Treasurer and Refunds submitted for payment processing by the Comptroller's Accounting Division. The detail of all Deposits and Refunds including Prisoner ID numbers are tracked in MS-Excel spreadsheets by Comptroller's Financial Advisory Division. This series includes monthly reconciliation reports showing the monthly ending balance of the Police Trust Fund in MS-Excel agrees with the ending balance of the Police Trust Fund (0613) in FMIS. The balance of the Unclaimed Funds in the Police Trust Fund of the oldest, active, two years is electronically transferred biennially to Milwaukee County Treasurer in July of the odd numbered year (2006-2007 in 2009, 2008-2009 in 2011, etc.) This series includes letters sent to Milwaukee County Treasurer, State Secretary of Department of Financial Institutions and Milwaukee Police Inventory/Property Division with copies of detailed reports of Police Trust Fund Unclaimed Balance that was transferred to the County Treasurer. Wisconsin State Statutes Chapter 59.66.	Current + 2 Yrs. Comptroller's Office/ 7 Yrs. - City Records Center	Destroy Under Supervision	The request is to create a new schedule for <u>Police Trust Fund Activity Records</u> .	Approve	CART Approved -- Pending CIMC
23	215	City Comptroller/ Financial Advisory Division	D16-0021	<u>Mobile Home Parks Billing &amp; Collection Records</u>	New	This record series includes a master list of Mobile Homes in the City of Milwaukee, monthly invoices, monthly statements of parking permit fees based on City Tax Assessments, distribution rate worksheet, payments, deposits forms and documentation of monthly changes in ownership, fee or occupancy provided by the City Assessor. Statutes and Ordinances covering mobile home park fees are as follows: City of Milwaukee Code of Ordinance, Volume 2, Chapter 246 Wisconsin Statutes, Chapter 66-Municipal Law. Non-park-owned mobile homes are required to pay a monthly parking permit fee which is considered a property tax replacement. The City Assessor provides the initial data and updated documentation of changes throughout the year, including any lottery credits added. Comptroller's Financial Advisory Division prepares the monthly billings, receives and processes payments for the City of Milwaukee, collected by the Mobile Home Park owners/operators.	Creation + 2 Yrs.- Comptroller's Office/ 5 Yrs. - City Records Center	Destroy Under Supervision	The request is to create a new schedule for <u>Mobile Home Parks Billing and Collection Records</u> .	Approve	CART Approved -- Pending CIMC

**City of Milwaukee Schedule Recommendations for CIMC Review, June 9, 2016**

#	Org	Department	Schedule #	Record Title	Request Type	Record Content & Purpose	Retention/ Location Details	Final Disposition	City of Milwaukee Department Request	Municipal Records Officer Recommendations	Status
24	215	City Comptroller/ Financial Advisory Division	D16-0022	<u>Care of Prisoners Cost Records</u>	New	This record series includes billings from the House of Correction in Franklin and Milwaukee County Sheriff for the City of Milwaukee's share of the costs for the Care of Prisoners in accordance with the Wisconsin Statutes 66.12 and 59.28 for prisoners convicted of City violations. This record series can include Audit Work Papers, County Financial Statements, correspondence with Municipal Court, analysis of calculations: "out of pocket expenses", "Carry over Fund" and new year budget estimating work papers, and Annual Review of Per Diem billing rates.	Creation + 2 Yrs.- Comptroller's Office/ 5 Yrs. - City Records Center	Destroy Under Supervision	The request is to create a new schedule for <u>Care of Prisoners Cost Records</u> .	Approve	CART Approved -- Pending CIMC
25	221	City Treasurer	D16-0023	<u>IT System Request Changes - Paper</u>	New	Record content includes requested and approved changes to User Access, changes to iNovah Cashiering System, and changes to Automated Tax Collection System.	1 Month- City Treasurer's Office	Destroy Under Supervision	The request is to create a new schedule for <u>IT System Request Changes - Paper</u> .	Approve	CART Approved -- Pending CIMC
26	221	City Treasurer	D16-E024	<u>IT System Request Changes - Electronic</u>	New	Record content includes requested and approved changes to User Access, changes to iNovah Cashiering System, and changes to Automated Tax Collection System.	Current + 3 Yrs. City Treasurer's Office	Destroy Under Supervision	The request is to create a new schedule for <u>IT System Request Changes - Electronic</u> .	Approve	CART Approved -- Pending CIMC

# Exhibit E

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## *RECORD RETENTION SCHEDULES*

*September 8, 2016*

## City of Milwaukee Schedules for CIMC Review- September 8, 2016

#	Org	Department	Schedule #	Record Title	Request Type	Record Content & Purpose	Retention/ Location Details	Final Disposition	City of Milwaukee Department Request	Municipal Records Officer Recommendations	Status
1	191	DCD (Department of City Development) - Commissioner's Office	D16-0002	<u>Central File Records</u>	New	This record series consists of the original version of paper-based and some printed electronic communications received by Department of City Development (DCD) officials, which may be addressed to DCD, RACM (Redevelopment Authority of the City of Milwaukee), CPC (City Plan Commission) or NIDC (Neighborhood Improvement Development Corporation), from governmental entities, the business community and the general public regarding DCD projects, programs and initiatives. Typically, this correspondence is referred internally by Commissioner's Office Staff to pertinent department staff for their action, review and/or information.	Current +4 Yrs.- DCD Commissioner's Office / 3 Yrs. City Records Center	MPLSCREEN	The request is to create a new schedule for <u>Central File Records</u> to consolidate records previously scheduled under D73-0301 <u>Correspondence with Private Industry</u> , D89-0136 <u>Correspondence-Redevelopment Authority (Copy)</u> and D89-0134 <u>Correspondence City Departments (Copy)</u> . This collection will be screened for records related to major program policy development. All confidential records will be destroyed under supervision prior to being sent to MPL (Milwaukee Public Library).	Approve	CART Approved
2	191	Department of City Development (DCD)- Commercial Corridor Team	D16-0003	<u>Commercial Corridor Team Grant Files- City Funded</u>	New	This record series contains City-funded grant files that include, but are not limited to, grants under the Commercial Investment Program (which include Signage, Façade, White-Box, Retail Investment Fund "RIF" and Art and Community Resource Building Loan grants) that support/augment the activities of the DCD-Commercial Corridor Team. Each file typically includes, but is not limited to, an application award/agreement, terms and conditions, vendor invoices, photos of projects, reimbursement requests/documentation, completion documentation and correspondence.	Event = Issuance of Final Expenditure to Grantee or Expiration of Award/retain 3 years, DCD Office/Transfer to City Records Center to be screened for historic value	PERMANENT , City Records Center	The request is to create a new schedule for <u>Commercial Corridor Team Grant Files- City Funded</u> . This request includes screening of records for potential historic value of project photographs. All confidential records will be destroyed under supervision at the City Records Center. Records with permanent historic value will be retained at the City Records Center in accordance with City Standards for the Location of Permanent Records.	Approve	CART Approved

## City of Milwaukee Schedules for CIMC Review- September 8, 2016

#	Org	Department	Schedule #	Record Title	Request Type	Record Content & Purpose	Retention/ Location Details	Final Disposition	City of Milwaukee Department Request	Municipal Records Officer Recommendations	Status
3	191	Department of City Development (DCD)- Commercial Corridor Team	D16-0004	<u>Commercial Foreclosed Property Fund Records</u>	New	This record series includes grant records for the Commercial Foreclosed Property Fund that support/augment the activities of the DCD-Commercial Corridor Team. Each file typically includes, but is not limited to, an application, award/agreement, terms and conditions, vendor invoices, photos of projects, reimbursement requests/documentation, completion documentation, loan agreement, note, mortgage, occupancy information that converts the forgivable loan to a grant and correspondence.	Event = Full Payment of Loan or Conversion of Loan to Grant, plus 3 years, DCD Office/Transfer to City Records Center to be screened for historic value	PERMANENT , City Records Center	The request is to create a new schedule for <u>Commercial Foreclosed Property Fund Records</u> . This request includes screening of records for potential historic value of project photographs. All confidential records will be destroyed under supervision at the City Records Center. Records with permanent historic value will be retained at the City Records Center in accordance with City Standards for the Location of Permanent Records.	Approve	CART Approved
4	191	Department of City Development (DCD)- Commercial Corridor Team	D16-0005	<u>BID/NID Files</u>	New	This record series includes Business Improvement District ("BID") and Neighborhood Improvement District ("NID") records, which districts were created according to Wisconsin Statutes, Sections 66.1109 and 66.1110, respectively. Files include, but are not limited to, BID and NID initial and subsequent annual operating plans, annual reports, financial audits, assessment data, district board nominations and correspondence. BIDs and NIDs are geographic areas within the City of Milwaukee that were created by petition of property owners within the geographic area for the purpose of creating a funding source to provide for district improvements. BIDs and NIDs exist until dissolved by the Common Council of the City of Milwaukee.	Creation + 5 Yrs./ DCD Office	City of Milwaukee Legislative Reference Bureau	The request is to create a new schedule for <u>BID/NID Files</u> . CART held this schedule in May 2016 and recommended the Final Disposition be changed from DUS to LRB. DCD submitted a revised request in August 2016, which was consistent with CART's recommendation. NOTE: This collection will be screened for documents as outlined in Milwaukee City Ordinance 305-32, such as operating plans, annual reports and financial audits.	Approve	CART Approved



## City of Milwaukee Schedules for CIMC Review- September 8, 2016

#	Org	Department	Schedule #	Record Title	Request Type	Record Content & Purpose	Retention/ Location Details	Final Disposition	City of Milwaukee Department Request	Municipal Records Officer Recommendations	Status
5	191	Department of City Development (DCD)- Commercial Corridor Team	D16-0006	<u>BID/NID Streetscape Projects and Special Projects or Programs</u>	New	This record series includes Business Improvement District ("BID") and Neighborhood Improvement District ("NID") streetscape project and special project or program records for commercial development, which districts were created according to Wisconsin Statutes, Sections 66.1109 and 66.1110, respectively. Files typically include streetscape proposals or special project or program proposals, cost estimates, drawings or renderings, site plans, photos of projects or programs, loan agreements and grant agreements. BIDs and NIDs are geographic areas within the City of Milwaukee that were created by petition of property owners within the geographic area for the purpose of creating a funding source to provide for district improvements. BIDs and NIDs exist until dissolved by the Common Council of the City of Milwaukee.	Event = Final Loan Payment, plus 3 years, DCD Office/Transfer to City Records Center to be screened for historic value.	City of Milwaukee Legislative Reference Bureau/City Records Center	The request is to create a new schedule for <u>BID/NID Streetscape Projects and Special Projects or Programs</u> . NOTE: Records will be screened for potential historic value. All confidential records will be destroyed under supervision at the City Records Center. Records with historic value will be stored at LRB or CRC in accordance with Milwaukee city Ordinance 305-32 and City Standards for the Location of Permanent Records.	Approve	CART Approved
6	191	DCD (Dept. of City Development)- Housing & Neighborhood Development	D16-0028	<u>HOME Owner-Occupied Loan Files</u>	New	This record series includes client loan files for the federally funded HOME Owner-Occupied Loan Program involving single-family and multi-family properties without tenants. Files include, but are not limited to, client confidential financial information, rehab project plans, contract and bid information, loan information, contractor payment information and project closeout information. This does not include client loan files for the federally funded HOME Rental Rehab Program and the HOME Owner-Occupied Loan Program that involve properties with tenants (See Schedule D16-0029 <u>HOME Rental Rehab Loan Files and Owner- Occupied Properties with Tenants.</u> )	Event = completion of project/ Current + 1 Yr. DCD Office / 5 Yrs. City Records Center	Destroy Under Supervision	The request is to create a new schedule for <u>HOME Owner- Occupied Loan Files</u> .	Approve	CART Approved

## City of Milwaukee Schedules for CIMC Review- September 8, 2016

#	Org	Department	Schedule #	Record Title	Request Type	Record Content & Purpose	Retention/ Location Details	Final Disposition	City of Milwaukee Department Request	Municipal Records Officer Recommendations	Status
7	191	DCD (Dept. of City Development)- Housing & Neighborhood Development	D16-0029	<u>HOME Rental Rehab Loan Files and Owner-Occupied Properties with Tenants</u>	New	This record series includes client loan files for the federally funded HOME Rental Rehab Program and the HOME Owner-Occupied Loan Program involving properties with tenants. Files include, but are not limited to, client confidential financial information, tenant confidential information, rehab project plans, contract and bid information, loan information, contractor payment information and project closeout information. This does not include client loan files for the HOME Owner-Occupied Loan Program that involve single-family or multi-family properties without tenants (See Schedule. D 16-0028 HOME Owner-Occupied Loan Files.)	Event = completion of project/ Current + 1 Yr. DCD Office / 10 Yrs. City Records Center	Destroy Under Supervision	The request is to create a new schedule for <u>HOME Rental Rehab Loan Files and Owner- Occupied Properties with Tenants.</u>	Approve	CART Approved
8	191	DCD (Dept. of City Development)- Housing & Neighborhood Development	D16-0030	<u>Community Improvement Project Program Grant Files</u>	New	This record series includes grant recipient files for the City and Greater Milwaukee Foundation-funded Community Improvement Project Program. Files include, but are not limited to, grant applications, grant agreements and payment information.	Event = completion of project/ Current + 1 Yr. DCD Office / 5 Yrs. City Records Center	Destroy Under Supervision	The request is to create a new schedule for <u>Community Improvement Project Program Grant Files.</u>	Approve	CART Approved
9	191	DCD (Dept. of City Development)- Housing & Neighborhood Development	D16-0031	<u>Homeowners Emergency Loan Program (HELP) Loan Files</u>	New	This record series includes client loan files for the City-funded Homeowners Emergency Loan Program. Files include, but are not limited to, client confidential financial information, rehab project plans, contract and bid information, contractor payment information and project closeout information.	Event = completion of project/ Current + 1 Yr. DCD Office / 5 Yrs. City Records Center	Destroy Under Supervision	The request is to create a new schedule for <u>Homeowners Emergency Loan Program (HELP) Loan Files.</u>	Approve	CART Approved
10	191	DCD (Dept. of City Development)- Housing & Neighborhood Development	D16-0032	<u>Minor Home Improvement Project Grant Files</u>	New	This record series includes grant recipient files for the City, Greater Milwaukee Foundation and Wells Fargo-funded Minor Home Improvement Project Grant Program. Files include, but are not limited to, grant applications, applicant confidential financial information, work plans, bids and payment information. This is a pilot program and is subject to available funding; could continue in the future.	Event = completion of project/ Current + 1 Yr. DCD Office / 5 Yrs. City Records Center	Destroy Under Supervision	The request is to create a new schedule for <u>Minor Home Improvement Project Grant Files.</u>	Approve	CART Approved

## City of Milwaukee Schedules for CIMC Review- September 8, 2016

#	Org	Department	Schedule #	Record Title	Request Type	Record Content & Purpose	Retention/ Location Details	Final Disposition	City of Milwaukee Department Request	Municipal Records Officer Recommendations	Status
11	191	DCD (Dept. of City Development)- Housing & Neighborhood Development	D16-0033	<u>Strong Neighborhoods Plan- STRONG Homes Loan Program Loan Files</u>	New	This record series includes client loan files for the City-funded Strong Neighborhoods Plan- STRONG Homes Loan Program involving owner-occupied single-family and multi-family properties. Files include, but are not limited to, client confidential financial information, rehab project plans, contract and bid information, loan information, contractor payment information and project closeout information.	Event = completion of project/ Current + 1 Yr. DCD Office / 5 Yrs. City Records Center	Destroy Under Supervision	The request is to create a new schedule for <u>Strong Neighborhoods Plan- STRONG Homes Loan Program Loan Files</u> .	Approve	CART Approved
12	191	DCD (Dept. of City Development)- Housing & Neighborhood Development	D16-0034	<u>Strong Neighborhoods Plan- Homebuyer Assistance Program ("HBA") Loan Files</u>	New	This record series includes client loan files for the City-funded Strong Neighborhoods Plan- Homebuyer Assistance Program involving purchase and rehab of owner-occupied single-family and multi-family properties. Files include, but are not limited to, client confidential financial information, rehab project plans, property acquisition information, contract and bid information, loan information, contractor payment information and project closeout information.	Event = completion of project/ Current + 1 Yr. DCD Office / 5 Yrs. City Records Center	Destroy Under Supervision	The request is to create a new schedule for <u>Strong Neighborhoods Plan- Homebuyer Assistance Program ("HBA") Loan Files</u> .	Approve	CART Approved
13	191	DCD (Dept. of City Development)- Housing & Neighborhood Development	D16-0035	<u>Strong Neighborhoods Plan- Rental Rehab Program Expansion Loan Files</u>	New	This record series includes client loan files for the City-funded Strong Neighborhoods Plan-Rental Rehab Program Expansion involving properties with tenants. Files include, but are not limited to, client confidential financial information, tenant confidential information, rehab project plans, property acquisition information, contract and bid information, loan information, contractor payment information and project closeout information.	Event = completion of project/ Current + 1 Yr. DCD Office / 10 Yrs. City Records Center	Destroy Under Supervision	The request is to create a new schedule for <u>Strong Neighborhoods Plan- Rental Rehab Program Expansion Loan Files</u> .	Approve	CART Approved
14	191	DCD (Dept. of City Development)- Housing & Neighborhood Development	D16-0036	<u>Strong Neighborhoods Plan- Challenge Fund Program Files</u>	New	This record series includes project files for the City-funded Strong Neighborhoods Plan-Challenge Fund Program. Files include, but are not limited to, project proposals, purchase and sale/development agreements, property rehabilitation information, marketing materials, sale information, payment information and activity reports. Projects/Developers were selected for the Program through a competitive Request for Qualifications process. (See Schedule D13-0044 for Procurement Files for record retention information for the Request for Qualifications and awards.)	Event = completion of project/ Current + 1 Yr. DCD Office / 5 Yrs. City Records Center	Destroy Under Supervision	The request is to create a new schedule for <u>Strong Neighborhoods Plan- Challenge Fund Program Files</u> .	Approve	CART Approved

# City of Milwaukee Schedules for CIMC Review- September 8, 2016

#	Org	Department	Schedule #	Record Title	Request Type	Record Content & Purpose	Retention/ Location Details	Final Disposition	City of Milwaukee Department Request	Municipal Records Officer Recommendations	Status
15	191	DCD (Dept. of City Development)- Housing & Neighborhood Development	D16-0037	<u>Neighborhood Stabilization Program ("NSP")- Homebuyer Assistance Program ("HBA") Loan Files</u>	New	This record series includes client loan files for the federally funded Neighborhood Stabilization Program-Homebuyer Assistance Program involving purchase and rehab of owner-occupied single-family and multi-family properties. Files include, but are not limited to, client confidential financial information, rehab project plans, property acquisition information, contract and bid information, loan information, contractor payment information and project closeout information. (Funding for the Neighborhood Stabilization Program was fully expended in 2015. Program income may be received in the future, which will generate a minor amount of new program activity. Any records created as a result of this activity will be managed consistent with the record retention schedules, which have been developed for the program.)	Event = completion of project/ Current + 2 Yr. DCD Office / 9 Yrs. City Records Center	Destroy Under Supervision	The request is to create a new schedule for <u>Neighborhood Stabilization Program ("NSP")- Homebuyer Assistance Program ("HBA") Loan Files</u> .	Approve	CART Approved
16	191	DCD (Dept. of City Development)- Housing & Neighborhood Development	D16-0038	<u>Neighborhood Stabilization Program ("NSP")- Rental Rehab Program Loan Files</u>	New	This record series includes client loan files for the federally funded Neighborhood Stabilization Program- Rental Rehab Program involving properties with tenants. Files include, but are not limited to, client confidential financial information, tenant confidential information, rehab project plans, property acquisition information, contract and bid information, loan information, contractor payment information and project closeout information. (Funding for the Neighborhood Stabilization Program was fully expended in 2015. Program income may be received in the future, which will generate a minor amount of new program activity. Any records created as a result of this activity will be managed consistent with the record retention schedules, which have been developed for the program.)	Event = completion of project/ Current + 2 Yr. DCD Office / 9 Yrs. City Records Center	Destroy Under Supervision	The request is to create a new schedule for <u>Neighborhood Stabilization Program ("NSP")- Rental Rehab Program Loan Files</u> .	Approve	CART Approved

## City of Milwaukee Schedules for CIMC Review- September 8, 2016

#	Org	Department	Schedule #	Record Title	Request Type	Record Content & Purpose	Retention/ Location Details	Final Disposition	City of Milwaukee Department Request	Municipal Records Officer Recommendations	Status
17	191	DCD (Dept. of City Development)- Housing & Neighborhood Development	D16-0039	<u>Neighborhood Stabilization Program ("NSP") Large Rental Project- Rehabilitation Loan Files</u>	New	This record series includes loan recipient files for the federally funded Neighborhood Stabilization Program Large Rental Project-Rehabilitation Loan Program. Files include, but are not limited to, project financial and feasibility information, confidential developer financial information, project plans, copies of development agreements and loan documents, payment information, contracting information, leasing information, confidential tenant information and closeout documents. (Funding for the Neighborhood Stabilization Program was fully expended in 2015. Program income may be received in the future, which will generate a minor amount of new program activity. Any records created as a result of this activity will be managed consistent with the record retention schedules, which have been developed for the program.)	Event = completion of project/ Current + 2 Yr. DCD Office / 15 Yrs. City Records Center	Destroy Under Supervision	The request is to create a new schedule for <u>Neighborhood Stabilization Program ("NSP") Large Rental Project-Rehabilitation Loan Files</u> .	Approve	CART Approved
18	191	DCD (Dept. of City Development)- Housing & Neighborhood Development	D16-0040	<u>Neighborhood Stabilization Program ("NSP") Large Rental Project- New Construction Loan Files</u>	New	This record series includes loan recipient files for the federally funded Neighborhood Stabilization Program Large Rental Project- New Construction Loan Program. Files include, but are not limited to, project financial and feasibility information, confidential developer financial information, project plans, copies of development agreements and loan documents, payment information, contracting information, leasing information, confidential tenant information and closeout documents. (Funding for the Neighborhood Stabilization Program was fully expended in 2015. Program income may be received in the future, which will generate a minor amount of new program activity. Any records created as a result of this activity will be managed consistent with the record retention schedules, which have been developed for the program.)	Event = completion of project/ Current + 2 Yr. DCD Office / 20 Yrs. City Records Center	Destroy Under Supervision	The request is to create a new schedule for <u>Neighborhood Stabilization Program ("NSP") Large Rental Project- New Construction Loan Files</u> .	Approve	CART Approved

## City of Milwaukee Schedules for CIMC Review- September 8, 2016

#	Org	Department	Schedule #	Record Title	Request Type	Record Content & Purpose	Retention/ Location Details	Final Disposition	City of Milwaukee Department Request	Municipal Records Officer Recommendations	Status
19	191	DCD (Dept. of City Development)- Housing & Neighborhood Development	D16-0041	<u>Neighborhood Stabilization Program ("NSP") Acquisition/ Rehab Program Files</u>	New	This record series includes project files for the federally funded Neighborhood Stabilization Program Acquisition/Rehab Program. Files include, but are not limited to, acquisition information, rehabilitation plans, economic feasibility information, bidding documents, contract information, project payment information, offers to purchase, appraisals and confidential buyer financial information. Files include projects developed by both the City and third party developers. (Funding for the Neighborhood Stabilization Program was fully expended in 2015. Program income may be received in the future, which will generate a minor amount of new program activity. Any records created as a result of this activity will be managed consistent with the record retention schedules, which have been developed for the program.)	Event = completion of project, including sale to income eligible homeowner/ Current + 2 Yr. DCD Office / 5 Yrs. City Records Center	Destroy Under Supervision	The request is to create a new schedule for <u>Neighborhood Stabilization Program ("NSP") Acquisition/ Rehab Program Files.</u>	Approve	CART Approved
20	191	DCD (Dept. of City Development)- Housing & Neighborhood Development	D16-0042	<u>Neighborhood Stabilization Program ("NSP") Land Bank Program Files</u>	New	This record series includes project files for the federally funded Neighborhood Stabilization Program Land Bank Program. Files include, but are not limited to, acquisition information, offers to purchase, appraisal and disposition information. (Funding for the Neighborhood Stabilization Program was fully expended in 2015. Program income may be received in the future, which will generate a minor amount of new program activity. Any records created as a result of this activity will be managed consistent with the record retention schedules, which have been developed for the program.)	Event = final property disposition/ Current + 2 Yr. DCD Office / 5 Yrs. City Records Center	Destroy Under Supervision	The request is to create a new schedule for <u>Neighborhood Stabilization Program ("NSP") Land Bank Program Files.</u>	Approve	CART Approved
21	191	DCD (Dept. of City Development)- Housing & Neighborhood Development	D16-0043	<u>Neighborhood Stabilization Program ("NSP") Vacant Lot Initiative Program Files</u>	New	This record series includes project files for the federally funded Neighborhood Stabilization Program Vacant Lot Initiative Program. Files include, but are not limited to, grant applications, grant agreements and payment information. (Funding for the Neighborhood Stabilization Program was fully expended in 2015. Program income may be received in the future, which will generate a minor amount of new program activity. Any records created as a result of this activity will be managed consistent with the record retention schedules, which have been developed for the program.)	Event = completion of project/ Current + 2 Yr. DCD Office / 5 Yrs. City Records Center	Destroy Under Supervision	The request is to create a new schedule for <u>Neighborhood Stabilization Program ("NSP") Vacant Lot Initiative Program Files.</u>	Approve	CART Approved

## City of Milwaukee Schedules for CIMC Review- September 8, 2016

#	Org	Department	Schedule #	Record Title	Request Type	Record Content & Purpose	Retention/ Location Details	Final Disposition	City of Milwaukee Department Request	Municipal Records Officer Recommendations	Status
22	191	DCD (Department of City Development)	D73-0301	<u>Correspondence with Private Industry</u>	Delete	This record series consists of correspondence from the private sector addressed to various officials in the Department of City Development.	Creation + 10 Yrs.- DCD Office	MPLSCREEN	The request is to delete this schedule as records will be consolidated into a newly proposed Schedule D16-0002 <u>Central File Records</u> . NOTE: This collection will be screened for records related to major program policy development. All confidential records will be destroyed under supervision prior to being sent to MPL (Milwaukee Public Library).	Approve	CART Approved
23	191	DCD (Department of City Development)	D89-0134	<u>Correspondence-City Departments (Copy)</u>	Delete	This record series consists of correspondence from City departments addressed to various officials in the Department of City Development.	Creation + 1 Yr.- DCD Office	Scrap	The request is to delete this schedule as records will be consolidated into a newly proposed Schedule D16-0002 <u>Central File Records</u> .	Approve	CART Approved
24	191	DCD (Department of City Development)	D89-0136	<u>Correspondence-Redevelopment Authority (Copy)</u>	Delete	This record series consists of correspondence from the private sector or any governmental agency to the Department of City Development and/or the Redevelopment Authority of the City of Milwaukee regarding Redevelopment Authority matters.	Creation + 1 Yr.- DCD Office	Scrap	The request is to delete this schedule as records will be consolidated into a newly proposed Schedule D16-0002 <u>Central File Records</u> .	Approve	CART Approved
25	193	RACM (Redevelopment Authority of the City of Milwaukee)- Real Estate	D16-0025	<u>RACM- Leases and Licenses</u>	New	This record series includes Redevelopment Authority of the City of Milwaukee (RACM)-owned property lease and license information and documentation, which includes insurance information. Examples of the types of leases or licenses include, but are not limited to, garden, air and/or subterranean space leases, billboard leases, Limited Access Agreements and License Agreements for various purposes. The terms of leases and licenses varies from very short term to very long term.	Event = Expiration or termination of lease or license/ Current +4 Yrs.- RACM Office	Destroy Under Supervision	The request is to create a new schedule for <u>RACM Leases and Licenses</u> .	Approve	CART Approved

## City of Milwaukee Schedules for CIMC Review- September 8, 2016

#	Org	Department	Schedule #	Record Title	Request Type	Record Content & Purpose	Retention/ Location Details	Final Disposition	City of Milwaukee Department Request	Municipal Records Officer Recommendations	Status
26	193	RACM (Redevelopment Authority of the City of Milwaukee)	D82-0017	<u>MCCR Recordings of Affirmative Action Hearings</u>	Delete	This record series is directed by Common Council File No. 72-1493 that states the Milwaukee City Service Commission in cooperation with MCCR shall review the EEO status of each City Department, agency and bureau to ensure compliance with federal guidelines and report results to the Common Council--hearings occur yearly.	3 Yrs. - RACM Office / 4 Yrs.- City Records Center	MPLSCREEN	The request is to delete this schedule as these records no longer exist and are no longer generated.	Approve	CART Approved
27	193	RACM (Redevelopment Authority of the City of Milwaukee)	D90-0001	<u>Correspondence-MMSD (Copy)</u>	Delete	This record series includes miscellaneous correspondence sent to the Department of City Development (DCD) from the Milwaukee Metropolitan Sewerage District (MMSD). The correspondence is maintained in the DCD Central File.	Current + 1 Yr.- RACM Office	Scrap	This schedule is no longer needed as records will be consolidated with the creation of Schedule D16-0002 <u>Central File Records</u> .	Approve	CART Approved
28	166	Department of Employee Relations/ Employee Benefits Division	D07-0010	<u>Worker's Compensation Medical Bills (Outsourced)</u>	Delete	These are medical bills received on worker's compensation claim files on behalf of injured City employees. These bills were processed under Contract with a vendor; Corvel Corporation. Digital files were transferred to Corvel daily via a secure FTP server for processing. As of 10/1/2016 this process will cease and a third party administrator will take over the management of Worker's Compensation Claims.	N/A	N/A	The request is to delete this schedule. No records currently exist under this schedule, and Corvel will not be receiving Medical Bills from the City of Milwaukee as of 10/1/2016. Medical Bills are a subset of related Schedules for Worker's Compensation Claim Case Files D79-9010, D79-E010 and D79-M010.	Approve	CART Approved



City of Milwaukee Schedules for CIMC Review- September 8, 2016

#	Org	Department	Schedule #	Record Title	Request Type	Record Content & Purpose	Retention/ Location Details	Final Disposition	City of Milwaukee Department Request	Municipal Records Officer Recommendations	Status
29	166	Department of Employee Relations/ Employee Benefits Division	D07-0017	<u>Worker's Compensation Certified Medical Records</u>	Delete	These are Certified Medical Records received on worker's compensation claim files on behalf of injured City employees. Certified records were preserved digitally and on microfilm. The original paper was returned to the Worker's Compensation Office.	Event = Dispose of paper Medical Records in department upon closure of the claim	Destroy Under Supervision	The request is to delete this schedule. As of 10/1/2016 Certified Medical Records will be obtained and produced under contract with a third party vendor. Existing Certified Medical Records will be retained in accordance with retention on related schedules for Worker's Compensation Claim Case Files under Schedules D79-M010, D79-9010, D79-E010.	Approve	CART Approved
30	166	Department of Employee Relations/ Employee Benefits Division	D07-9017	<u>Worker's Compensation Certified Medical Records- Film</u>	Delete	These are Certified Medical Records received on worker's compensation claim files on behalf of injured City employees. NOTE: The City stopped microfilming in 2010 and has since digitized medical records under Schedule D79-M010.	Event = Closure of the Claim + 30 Years/ City Records Center	Destroy Under Supervision	The request is to delete this schedule. As of 10/1/2016 Certified Medical Records will be obtained and produced under contract with a third party vendor. Existing Certified Medical Records will be retained in accordance with retention on related schedules for Worker's Compensation Claim Case Files under Schedules D79-9010.	Approve	CART Approved
31	166	Department of Employee Relations/ Employee Benefits Division	D07-E017	<u>Worker's Compensation Certified Medical Records- Digital</u>	Delete	These are Certified Medical Records received on worker's compensation claim files on behalf of injured City employees. Certified records were preserved digitally and on microfilm. The original paper was returned to the Worker's Compensation Office.	Event = Closure of the Claim + 30 Years/ E-Vault	Destroy Under Supervision	The request is to delete this schedule. As of 10/1/2016 Certified Medical Records will be obtained and produced under contract with a third party vendor. Existing Certified Medical Records will be retained in accordance with retention on related schedules for Worker's Compensation Claim Case Files under Schedules D79-M010, D79-9010, D79-E010.	Approve	CART Approved

City of Milwaukee Schedules for CIMC Review- September 8, 2016

#	Org	Department	Schedule #	Record Title	Request Type	Record Content & Purpose	Retention/ Location Details	Final Disposition	City of Milwaukee Department Request	Municipal Records Officer Recommendations	Status
32	166	Department of Employee Relations/ Employee Benefits Division	D79-9010	<u>Worker's Compensation- Claim Case Files- Film</u>	Change/ Renewal	This record series contains case files generated and obtained on worker's compensation claims on behalf of injured City employees. The contents of the case files include, but are not limited to: medical records (Certified and Uncertified), correspondence, medical bills as well as other documents relating to investigation and litigation.	Event = Closure of the Claim + 30 Years/ City Records Center	Destroy Under Supervision	The department request is to revise the retention to reduce it from the current 30 years after closure of the claim to the following, per the DWD Statute of Limitations, which currently is 6 years from last indemnity date (Effective 3/2/2016). The request would destroy records with the date of injury 3/2/2016 forward within 7 years of closure of file, and files with a date of injury prior to 3/2/2016 to be destroyed 12 years from last indemnity date and after closure of file.	The recommendation is to deny this request as presented.	CART Members propose retention to be Event = Closure of the Claim + 12 Yrs.
33	166	Department of Employee Relations/ Employee Benefits Division	D79-E010	<u>Worker's Compensation- Claim Case Files- Digital</u>	Change/ Renewal	This record series contains case files generated and obtained on worker's compensation claims on behalf of injured City employees. The contents of the case files include, but are not limited to: medical records (Certified and Uncertified), correspondence, medical bills as well as other documents relating to investigation and litigation.	Event = Closure of the Claim + 30 Years/ E- Vault	Destroy Under Supervision	The department request is to revise the retention to reduce it from the current 30 years after closure of the claim to the following, per the DWD Statute of Limitations, which currently is 6 years from last indemnity date (Effective 3/2/2016). The request would destroy records with the date of injury 3/2/2016 forward within 7 years of closure of file, and files with a date of injury prior to 3/2/2016 to be destroyed 12 years from last indemnity date and after closure of file. As of 10/1/2016 Worker's Compensation Records will be obtained and produced under contract with a third party vendor which will comply with this schedule.	The recommendation is to deny this request as presented.	CART Members propose retention to be Event = Closure of the Claim + 12 Yrs.

# Exhibit F

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## *RECORD RETENTION SCHEDULES*

*December 8, 2016*

Schedule Recommendations for CIMC Review December 8, 2016

#	Org	Department	Schedule #	Record Title	Request Type	Record Content & Purpose	Requested Retention/ Location Details	Final Disposition	City of Milwaukee Department Request	City Records Center Recommendations	Status
1	132	City Clerk-License Division	D16-0054	<u>Municipal Identification Application</u>	New	The Milwaukee Municipal Identification card is issued to City residents age 14 and older who have lived in Milwaukee for at least 15 days. Applications are accepted in person only at the City License Division Office. Proof of identity and residency are required, but these documents are not retained as part of the application unless there is an appeal. Per Wisconsin Statute 66.0438 (3) this ID cannot be used to vote. This ID expires every 5 years. Cost is \$10 and if lost the replacement is \$5. Information on the application includes Name, Date of Birth, Address and Gender.	Current + 1 Yr.- Office / 5 Yrs. City Records Center	Destroy Under Supervision	The request is to create a new schedule for <u>Municipal Identification Applications</u> .	Approve	CART Approved / Pending CIMC December, 8 2016
2	132	City Clerk-License Division	D60-0003	<u>Application Amusement Premises/Video Game License</u>	Delete	These forms are license applications that include personal and business information for applicants of Amusement Premises/Video Game licenses. Police reports, correspondence and application status sheets may be included.	Current + 1 Yr.- Office / 3 Yrs. City Records Center	Destroy Under Supervision	The request is to delete this schedule as this license no longer is issued by the City of Milwaukee. Retention on these obsolete records existed through 2014 and were destroyed at that time.	Approve	CART Approved / Pending CIMC December, 8 2016
3	132	City Clerk-License Division	D60-0006	<u>Application Bowling Alley License</u>	Delete	These forms are license applications that include personal and business information for applicants for Bowling Alley licenses. Police reports, correspondence and application status sheets may be included.	Current + 1 Yr.- Office / 3 Yrs. City Records Center	Destroy Under Supervision	The request is to delete this schedule as this license no longer is issued by the City of Milwaukee. Retention on these obsolete records existed through 2014 and were destroyed at that time.	Approve	CART Approved / Pending CIMC December, 8 2016
4	132	City Clerk-License Division	D60-0014	<u>Application Class C Malt License</u>	Delete	These forms are license applications that include personal and business information for applicants of Class C Malt Licenses. Police reports, correspondence and application status sheets may be included.	Current + 4 Yrs. -Office	Destroy Under Supervision	The request is to delete this schedule as this license no longer is issued by the City of Milwaukee. Retention on these obsolete records existed through 2011 and were destroyed at that time.	Approve	CART Approved / Pending CIMC December, 8 2016

### Schedule Recommendations for CIMC Review December 8, 2016

5	132	City Clerk-License Division	D60-0020	<u>Application Dance Studio License</u>	Delete	These forms are license applications that include personal and business information for applicants of Dance Studio Licenses. Police reports, correspondence and application status sheets may be included.	Current + 1 Yr.-Office / 3 Yrs. City Records Center	Destroy Under Supervision	The request is to delete this schedule as this license no longer is issued by the City of Milwaukee. Retention on these obsolete records existed through 2015 and were destroyed at that time.	Approve	CART Approved / Pending CIMC December, 8 2016
6	132	City Clerk-License Division	D60-0021	<u>Application Dangerous Weapon License</u>	Delete	These forms are license applications that include personal and business information for applicants of Dangerous Weapon Licenses. Police reports, correspondence and application status sheets may be included.	Current + 1 Yr.-Office / 3 Yrs. City Records Center	Destroy Under Supervision	The request is to delete this schedule as this license no longer is issued by the City of Milwaukee. Retention on these obsolete records existed through 2012 and were destroyed at that time.	Approve	CART Approved / Pending CIMC December, 8 2016
7	132	City Clerk-License Division	D60-0026	<u>Application Junker License</u>	Delete	These forms are license applications that include personal and business information for applicants of Junker Licenses. Police reports, correspondence and application status sheets may be included.	Current + 1 Yr.-Office / 3 Yrs. City Records Center	Destroy Under Supervision	The request is to delete this schedule as this license no longer is issued by the City of Milwaukee.	Approve	CART Approved / Pending CIMC December, 8 2016
8	132	City Clerk-License Division	D60-0029	<u>Application Phonograph Premises Permit</u>	Delete	These forms are permit applications that include personal and business information for applicants of Phonograph Premises Permits. Police reports, correspondence and application status sheets may be included.	Current + 1 Yr.-Office / 3 Yrs. City Records Center	Destroy Under Supervision	The request is to delete this schedule as this permit no longer is issued by the City of Milwaukee. Retention on these obsolete records existed through 2011 and were destroyed at that time.	Approve	CART Approved / Pending CIMC December, 8 2016
9	132	City Clerk-License Division	D60-0030	<u>Application Pool or Billiard License Table &amp; Halls</u>	Delete	These forms are license applications that include personal and business information for applicants of Pool or Billiard Licenses. Police reports, correspondence and application status sheets may be included.	Current + 1 Yr.-Office / 3 Yrs. City Records Center	Destroy Under Supervision	The request is to delete this schedule as this license no longer is issued by the City of Milwaukee. Retention on these obsolete records existed through 2014 and were destroyed at that time.	Approve	CART Approved / Pending CIMC December, 8 2016
10	132	City Clerk-License Division	D60-0032	<u>Application Professional Photographer License</u>	Delete	These forms are license applications that include personal and business information for applicants of Professional Photographer Licenses. Police reports, correspondence and application status sheets may be included.	Current + 1 Yr.-Office / 3 Yrs. City Records Center	Destroy Under Supervision	The request is to delete this schedule as this license no longer is issued by the City of Milwaukee. This schedule would be set to expire when the retention is up on the last remaining records 12-31-2018.	Approve	CART Approved / Pending CIMC December, 8 2016

### Schedule Recommendations for CIMC Review December 8, 2016

11	132	City Clerk-License Division	D60-0033	<u>Application Public Dance Hall License</u>	Delete	These forms are license applications that include personal and business information for applicants Dance Hall Licenses. Police reports, correspondence and application status sheets may be included.	Current + 1 Yr.-Office / 3 Yrs. City Records Center	Destroy Under Supervision	The request is to delete this schedule as this license no longer is issued by the City of Milwaukee. Retention on these obsolete records existed through 2013 and were destroyed at that time.	Approve	CART Approved / Pending CIMC December, 8 2016
12	132	City Clerk-License Division	D60-0036	<u>Application Street or Highway Photographer License</u>	Delete	These forms are license applications that include personal and business information for applicants of Street or Highway Photographer Licenses. Police reports, correspondence and application status sheets may be included.	Current + 1 Yr.-Office / 3 Yrs. City Records Center	Destroy Under Supervision	The request is to delete this schedule as this license no longer is issued by the City of Milwaukee. Retention on these obsolete records existed through 2012 and were destroyed at that time.	Approve	CART Approved / Pending CIMC December, 8 2016
13	132	City Clerk-License Division	D60-0039	<u>Application Theater License</u>	Delete	These forms are license applications that include personal and business information for applicants of Theater Licenses. Police reports, correspondence and application status sheets may be included.	Current + 1 Yr.-Office / 3 Yrs. City Records Center	Destroy Under Supervision	The request is to delete this schedule as this license no longer is issued by the City of Milwaukee. Retention on these obsolete records existed through 2014 and were destroyed at that time.	Approve	CART Approved / Pending CIMC December, 8 2016
14	132	City Clerk-License Division	D66-0035	<u>Application Shows and Exhibitions License</u>	Delete	These forms are license applications that include personal and business information for applicants of Show and Exhibition Licenses. Police reports, correspondence and application status sheets may be included.	Current + 1 Yr.-Office / 3 Yrs. City Records Center	Destroy Under Supervision	The request is to delete this schedule as this license no longer is issued by the City of Milwaukee.. Retention on these obsolete records existed through 2014 and were destroyed at that time.	Approve	CART Approved / Pending CIMC December, 8 2016
15	132	City Clerk-License Division	D73-0020	<u>Application Carnival License</u>	Delete	These forms are license applications that include personal and business information for applicants of Carnival Licenses. Police reports, correspondence and application status sheets may be included.	Current + 1 Yr.-Office / 3 Yrs. City Records Center	Destroy Under Supervision	The request is to delete this schedule as this license no longer is issued by the City of Milwaukee. Retention on these obsolete records existed through 2014 and were destroyed at that time.	Approve	CART Approved / Pending CIMC December, 8 2016

### Schedule Recommendations for CIMC Review December 8, 2016

16	152	DOA-Purchasing	D15-0006	<u>Bid Opening Sign-In Forms</u>	New	This record series includes the attendee sign-in form and a copy of the webpage showing the bid numbers publicly opened that day. Formal bids are opened publicly, generally on Tuesdays and Thursdays. All attendees are requested to sign-in when attending formal bid openings. Records are maintained in a 3-ring binder on a calendar year basis and must be maintained through the end of the appeal process for all bids opened in that year. The appeal process generally ends approximately 3 months after the formal bid opening date.	Current + 2 Yrs.- Office / 8 Yrs. City Records Center	Destroy Under Supervision	The request is to create a new schedule for <u>Bid Opening Sign-In Forms</u> .	Approve	CART Approved / Pending CIMC December, 8 2016
17	155	DOA-ITMD	D16-E053	<u>Electronic Fax Records</u>	New	ITMD is implementing a system to replace the traditional fax process of loading a document into a fax machine as well as retrieving a document printed from a fax machine. Outgoing fax documents are uploaded to a secure website to be sent to a remote fax machine. Incoming documents from a remote fax machine are received and sent to a secure website where users can retrieve their faxes. Users will receive an email that logs the receipt and transmissions of faxes. Records under this schedule will be maintained on a temporary storage location administered by ITMD and accessible by users for 120 days.	120 days/ ITMD	Purge	The request is to create a new schedule for <u>Electronic Fax Records</u> . This program will begin in 2017 once the retention schedule is established.	Approve	CART Approved / Pending CIMC December, 8 2016

Schedule Recommendations for CIMC Review December 8, 2016

18	156	City Clerk- City Records Center	D16-0001	<u>Structure Applications</u>	New	<p>This record series contains Application for Inspection/Copy of Structure Plan, in accordance with local ordinance 311. The Structure Application is filled out by customers who come in to the City Records Center requesting to view and/or copy structures that are classified as both secure and non-secure. Information contained on the application includes request #, applicant's name, address, phone #, organization name, city department (if applicable), the address of the structure, the type of structure, &amp; if it is secure or non-secure, the name &amp; address of the structure owner, the date on the plans that were viewed/copied, name &amp; address of the plan submitter, the applicant's signature &amp; date. On the reverse side is for staff use only, &amp; contains the date &amp; time the application was received along with the name or initials of the staff who received the request, the type of applicant ID used &amp; the ID number, the name or initials of the staff who processed the request &amp; the date the notice was sent to the owner &amp; plan submitter. If the address requested by the applicant is secure, they are required to provide City Records Staff with an approval letter from the structure owner on official letterhead. When this is required it is stapled to the application. Notification letters that plans were viewed and or copied are then sent out to the addresses listed for the structure owners &amp; plan submitters in accordance with Wis. Stats. 101.12 (5)(b). If the envelopes are returned as undeliverable, for reasons such as moved with no forwarding address, no longer at the address, no such number, etc., they are kept (unopened) as proof that notification was attempted. See Schedule D16-0026 <u>Structure Application Notifications- Returned</u>.</p>	Event= (scanning into E-vault) + 3 mo.- City Records Center	Destroy Under Supervision	The request is to create a new schedule for <u>Structure Applications</u> .	Approve	CART Approved / Pending CIMC December, 8 2016
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Schedule Recommendations for CIMC Review December 8, 2016

19	156	City Clerk- City Records Center	D16-0026	<u>Structure Application Notifications- Returned</u>	New	<p>This record series contains returned mail (envelopes) containing Structure Applications and Notification Letters inside. See Schedule D16-0001 for description of Application. The Structure Application is filled out by customers who come in to the City Records Center requesting to view and/or copy structures that are classified as both secure and non-secure. Wisconsin State Statutes 101.12 (5)(b) requires a copy of the application be sent to the owner of the structure or proposed structure and to the submitter of the plans (architect) being inspected or copied. These notifications were returned by the post office for reasons such as moved with no forwarding address, no longer at the address, no such number, etc., they are kept (unopened) as proof that notification was attempted. The request number from the application is printed on the outside of the envelope for identification purposes.</p>	Current + 2 Yrs.- Office	Destroy Under Supervision	The request is to create a new schedule for <u>Structure Application Notifications- Returned</u> .	Approve	CART Approved / Pending CIMC December, 8 2016
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### Schedule Recommendations for CIMC Review December 8, 2016

20	156	City Clerk- City Records Center	D16-E001	<u>Structure Applications- E-Vault</u>	New	<p>This record series contains <u>Application for Inspection/Copy of Structure Plan</u>, in accordance with local ordinance 311. The Structure Application is filled out by customers who come in to the City Records Center requesting to view and/or copy structures that are classified as both secure and non-secure. Information contained on the application includes request #, applicant's name, address, phone #, organization name, city department (if applicable), the address of the structure, the type of structure, &amp; if it is secure or non-secure, the name &amp; address of the structure owner, the date on the plans that were viewed/copied, name &amp; address of the plan submitter, the applicant's signature &amp; date. On the reverse side is for staff use only, &amp; contains the date &amp; time the application was received along with the name or initials of the staff who received the request, the type of applicant ID used &amp; the ID number, the name or initials of the staff who processed the request &amp; the date the notice was sent to the owner &amp; plan submitter. If the address requested by the applicant is secure, they are required to provide City Records Staff with an approval letter from the structure owner on official letterhead. When this is required it is stapled to the application. Notification letters that plans were viewed and or copied are then sent out to the addresses listed for the structure owners &amp; plan submitters in accordance with Wis. Stats. 101.12 (5)(b). If the envelopes are returned as undeliverable, for reasons such as moved with no forwarding address, no longer at the address, no such number, etc., they are kept (unopened) as proof that notification was attempted. See Schedule D16-0026 <u>Structure Application Notifications- Returned</u>.</p>	Current + 10 Yrs. - Evault	Purge	The request is to create a new schedule for the electronic version of <u>Structure Applications</u> on E-Vault. See related Schedule D16-0001.	Approve	CART Approved / Pending CIMC December, 8 2016
21	191	DCD- Real Estate	D10-0047	<u>City Real Estate- Routine Bid Documents/ Rejected &amp; Canceled Offers</u>	Change/ Renewal	<p>This record series includes bid tabulations for current ("new") property listings and associated rejected and canceled offers and rejected and canceled offers from the extended listing, broker listings and unsolicited offers (including, but not limited to, unsolicited offers from not-for-profits). Some files contain social security numbers.</p>	Current + 1 Yr.- Office	Destroy Under Supervision	The request is to amend the title by adding "and Cancelled Offers" as well as to revise the types of property listings in the description, and update the retention.	Approve	CART Approved / Pending CIMC December, 8 2016

### Schedule Recommendations for CIMC Review December 8, 2016

22	191	DCD- Commercial Corridor Team	D16-0003	<u>Commercial Corridor Team Grant Files- City Funded- Completed Projects</u>	Change/ Renewal	This record series contains City-funded grant files that include, but are not limited to, grants under the Commercial Investment Program (which include, but are not limited to, Signage, Facade, White-Box and Retail Investment Fund "RIF") that support/augment the activities of the DCD-Commercial Corridor Team. Files typically include, but are not limited to, grant applications, grant awards/agreements, terms and conditions, vendor invoices, project photos/drawings/renderings/floor plans, reimbursement requests/documentation, completion documentation and correspondence. These records will be maintained in the office for the current year, plus three years, from the date that the final expenditure to the Grantee is issued; then, records will be destroyed under supervision and will be deleted from the DCD network, with the exception of photos. A separate schedule for photos will be proposed in the future.	Current + 3 Yrs.- Office	Destroy Under Supervision	The request is to change the title to add "Completed Projects" to distinguish it from Schedule 16-0055 "Incomplete Projects" and update the description to more accurately describe the records. The Final Disposition would be changed to reflect that records will no longer be screened for historic value for photos. A schedule for photos will be proposed in the future.	Approve	CART Approved / Pending CIMC December, 8 2016
23	191	DCD- Commercial Corridor Team	D16-0004	<u>Foreclosed Commercial Property Renovation Fund Records</u>	Change/ Renewal	This record series includes grant records for the Foreclosed Commercial Property Renovation Fund that support/augment the activities of the DCD-Commercial Corridor Team. Files typically include, but are not limited to, applications, awards/agreements, terms and conditions, vendor invoices, project photos/drawings/renderings/floor plans, reimbursement requests/documentation, completion documentation, loan agreements, notes, mortgages, occupancy information that converts the forgivable loans to grants and correspondence. These records will be maintained in the office for the current year, plus three years, from the date that loans convert to grants or the date that loans are paid in full, whichever applies; then, records will be destroyed under supervision and will be deleted from the DCD network, with the exception of photos. A schedule for photos will be proposed in the future.	Current + 3 Yrs.- Office	Destroy Under Supervision	The request is to revise the title and description of records as well as to change the retention to current + 3 years in the office. The Final Disposition would be changed to reflect that records will no longer be screened for historic value for photos. A schedule for photos will be proposed in the future.	Approve	CART Approved / Pending CIMC December, 8 2016

### Schedule Recommendations for CIMC Review December 8, 2016

24	191	DCD- Commercial Corridor Team	D16-0006	<u>BID/NID Streetscape Projects and Special Projects or Programs</u>	Change/ Renewal	This record series includes Business Improvement District ("BID") and Neighborhood Improvement District ("NID") streetscape project and special project or program records for commercial development, which districts were created according to Wisconsin Statutes, Sections 66.1109 and 66.1110, respectively. Files typically include streetscape proposals or special project or program proposals, cost estimates, drawings or renderings, site plans, photos of projects or programs, loan agreements and grant agreements. BIDs and NIDs are geographic areas within the City of Milwaukee that were created by petition of property owners within the geographic area for the purpose of creating a funding source to provide for district improvements. BIDs and NIDs exist until dissolved by the Common Council of the City of Milwaukee. These records will be maintained in the office for the current year, plus five years, from the date of the final loan payment; then, records will be destroyed under supervision and will be deleted from the DCD network, with the exception of photos. A schedule for photos will be proposed in the future.	Current + 5 Yrs.- Office	Destroy Under Supervision	The request is to revise the description and to change the retention to current + 5 years in the office eliminating retention in the City Records Center. The Final Disposition would be changed to reflect that records will no longer be screened for historic value for photos. A schedule for photos will be proposed in the future.	Approve	CART Approved / Pending CIMC December, 8 2016
25	191	DCD- Commercial Corridor Team	D16-0007	<u>Business Resource Committee Records and Minutes</u>	Change/ Renewal	This record series includes the Business Resource Committee's records and minutes of actions taken at monthly meetings for the award or denial of City-funded grants administered by DCD's Commercial Corridor Team. Grants may include, but are not limited to, grants under the Commercial Investment Program for Signage, Facade, White-Box and Retain Investment Fund "RIF." This Committee is an internal committee formed by DCD. It was not created by the Common Council of the City of Milwaukee.	Current + 5 Yrs.- Office	Destroy Under Supervision	The request is to revise the description and to change the final disposition from MPLSCREEN to Destroy under supervision as it was determined that the records and minutes do not have historic value.	Approve	CART Approved / Pending CIMC December, 8 2016

### Schedule Recommendations for CIMC Review December 8, 2016

26	191	DCD- Commercial Corridor Team	D16-0055	<u>Commercial Corridor Team Grant Files- City Funded- Incomplete Projects</u>	New	This record series contains grant files for incomplete City-funded grant projects under the Commercial Investment Program. Records include, but are not limited to, Signage, Facade, White-Box and Retail Investment Fund "RIF" grants that support/augment the activities of the DCD-Commercial Corridor Team that were not completed for reasons that include, but are not limited to, application withdrawal by applicants, incomplete applications, denied applications, expiration of grant awards or termination of grants. Files could contain, but are not limited to, grant applications, grant awards/agreements, grant denial documentation, terms and conditions, vendor invoices, project photos/drawings/renderings/floor plans, reimbursement requests/documentation, grant termination documentation or correspondence. Files will be maintained in the office for the current year, plus one year, from the date of the denial or termination letter or from the date that there has been an one-year lapse in project activity from the date on the application; then, records will be destroyed under supervision and will be deleted from the DCD network, with the exception of photos. A schedule for photos will be proposed in the future.	Current + 1 Yr.- Office	Destroy Under Supervision	The request is to create a new schedule for <u>Commercial Corridor Team Grant Files- City Funded-Incomplete Projects.</u>	Approve	CART Approved / Pending CIMC December, 8 2016
27	211	Comptroller	D16-0047	<u>Tax Withholding Statements</u>	New	Tax Withholding Statements are used to enter employees' tax withholding elections. Information contained on the form includes employee name, address, social security number, filing status and number of exemptions.	Event (employee separation from employment) + 8 Yrs.- Office	Destroy Under Supervision	The request is to create a new schedule for <u>Tax Withholding Statements.</u>	Approve	CART Approved / Pending CIMC December, 8 2016

### Schedule Recommendations for CIMC Review December 8, 2016

28	211	Comptroller	D16-0050	<u>Direct Deposit Authorization Forms- Inactive Employees</u>	New	Direct Deposit Authorization Forms are used for entering bank routing number and account number (checking or savings) for the employee's net pay to be deposited into on pay day. Information contained on the form include employee name, employee ID number, bank routing number, account number and whether it's a checking or savings account.	Current + 8 Yrs.- Comptroller's Office	Destroy Under Supervision	The request is to create a new schedule for the retention of <u>Direct Deposit Authorization Forms- Inactive Employees</u> . This is a finite series of records that were identified as belonging to employees who are inactive as of June 2016. Because of the short retention, this subset of records will not be scanned into E-vault. They will be retained in paper format for 8 years and then destroyed under supervision. This record schedule would then be set to expire March 2025. The remaining active Direct Deposit forms will be maintained electronically under Schedule D16-E052.	Approve	CART Approved / Pending CIMC December, 8 2016
29	211	Comptroller	D16-0051	<u>Direct Deposit Authorization Forms (Paper)</u>	New	Direct Deposit Authorization Forms are used for entering bank routing number and account number (checking or savings) for the employee's net pay to be deposited into on pay day. Information contained on the form include employee name, employee ID number, bank routing number, account number and whether it's a checking or savings account.	Event (scanning into E-vault) + 3 months- City Records Center	Destroy Under Supervision	The request is to create a new schedule for the paper version of Direct Deposit Authorization Forms. The paper will be kept for 3 months following scanning and indexing into the City's centralized imaging system known as E-Vault. See related schedule D16-E051.	Approve	CART Approved / Pending CIMC December, 8 2016

### Schedule Recommendations for CIMC Review December 8, 2016

30	211	Comptroller	D16-E051	<u>Direct Deposit Authorization Forms (Electronic)</u>	New	Direct Deposit Authorization Forms are used for entering bank routing number and account number (checking or savings) for the employee's net pay to be deposited into on pay day. Information contained on the form include employee name, employee ID number, bank routing number, account number and whether it's a checking or savings account.	Event (employee separation from employment) + 8 Yrs.- Office	Purge	The request is to create a new schedule for the electronic version of <u>Direct Deposit Authorization Forms</u> . They will be kept in the City's centralized imaging system, E-vault. Designated Comptroller Staff will have access to modify individual record index values in order to mark them inactive as of a certain date so that the retention can be set on these records for purging. See related schedule D16-0051.	Approve	CART Approved / Pending CIMC December, 8 2016
31	501	Department of Public Works	D95-0036	<u>Public Works Contracts</u>	Renew	This record series includes contracts and all related paperwork for work done on public works projects by a private contractor (paving, sewer and water mains, city owned building repairs, etc.)	Current + 7 Yrs.- Office / 13 Yrs. Records Center	Destroy Under Supervision	The request is to renew this schedule.	Approve	CART Approved / Pending CIMC December, 8 2016

# Exhibit G

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*Record Retention Schedule Forms for 2017 and beyond*

*Records Retention / Disposition Authorization (PRB-001)*

*Change Request (DOA-3806)*



## Records Retention / Disposition Authorization

<ul style="list-style-type: none"><li>Read instructions provided on pages 2-3 before completing.</li><li>In accordance with Wis. Stat. § 16.61, this form must be completed and approved by the Agency and the Public Records Board (PRB) within one year of creation of the records series and prior to disposition of any public record.</li><li>Agency Records Officer: Forward original to the PRB. Maintain an agency copy during the PRB review process.</li></ul>	1. RDA #	2. Record Series Title	
	3. RDA Status (Check One): <input type="checkbox"/> New <input type="checkbox"/> Amended <input type="checkbox"/> Renewal		
	4. Agency #:		5. Unit #:
	6. Agency Name		
Division Name		Subdivision Name	
7. Record Series Year of Creation	8. Medium for Records Storage (Check all appropriate) <input type="checkbox"/> Electronic/Digital <input type="checkbox"/> Microform <input type="checkbox"/> Paper <input type="checkbox"/> Other (Specify)		
9. Retention Time Period - Specify Actual Period Yrs   Mo   Wks   Days   Permanent* <input type="checkbox"/>		10. Event that Initiates the Start of the Retention Time Period (Check One) Creation Fiscal Other (Specify) <input type="checkbox"/> (CR) <input type="checkbox"/> (FIS) <input type="checkbox"/>	
*If selecting Permanent, cite supporting statute, code, other legal authority, or sufficient justification in Box 12, Record Series Description.			
11. Disposition (Check One): <input type="checkbox"/> Destroy <input type="checkbox"/> Destroy Confidential <input type="checkbox"/> Transfer - State Archives (WHS) <input type="checkbox"/> Transfer - UW Archives <input type="checkbox"/> Transfer - Other Location (Specify):			
12. Records Series Description			

Format this entry as needed to fit the space. Replace this information with your description. Refer to the instructions on page 3 for specific guidance on the Record Series Description.

13. Records Contain Personally Identifiable Information (PII): <input type="checkbox"/> Yes <input type="checkbox"/> No	14. PII Registry Exemptions (Check YES if PII is exempted): <input type="checkbox"/> Yes <input type="checkbox"/> No
15. Name of Agency <input type="checkbox"/> Program Contact or <input type="checkbox"/> Records Officer: Telephone: Email:	
16. Records Series Contains Content that is Confidential or Access is Protected: <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, enter Statute/Code/ or explain other Legal Authority in Box 12, Record Series Description.	
17. APPROVAL SIGNATURES	

Agency Official	Date (mm/dd/ccyy)	Agency Records Officer	Date (mm/dd/ccyy)
<b>PUBLIC RECORDS BOARD APPROVAL</b> – Authorization is contingent on restrictions to record destruction contained in Wis. Stat. § 19.35(5), (Open Records Law), and that no records are destroyed if litigation or audit involving these records has commenced or is anticipated.			
State Archivist	Date (mm/dd/ccyy)	Executive Secretary – PRB	Date (mm/dd/ccyy)

Approval subject to 10-year sunset per Wis. Stat. § 16.61(4)(c). Action required before: \_\_\_\_\_

## INSTRUCTIONS: Records Retention/Disposition Authorization

- 1. Retention/Disposition Authorization (RDA) #:**  
Prior to submission to the Public Records Board (PRB) for approval, every RDA must have a unique, sequential number. Agency Records Officers assign this number which is subject to PRB approval.
  - The Records Officer must review past RDAs and then assign a number to new RDAs which has never been used.
  - A suffix is not used for most records series. It is an optional alphabetical character that may be added to the end of the RDA number when used to indicate different retention periods, media, or dispositions for all or portions of the same records series.
- 2. Records Series Title:** Assign a descriptive title to the records series. Be certain that agency employees will be able to accurately identify the records series from its title. Do not use abbreviations or acronyms.
- 3. RDA Status:** Check only one box:
  - **NEW:** Request for approval of an RDA with a number that has never been submitted to the PRB. In # 12, provide the reason for the creation of the RDA, for example: program re-organization, records identified during agency review, or brand new records being created.
  - **AMENDED:** Request for approval of a change to an RDA that previously was approved by the PRB. Any revision to an RDA triggers amended status. Use existing RDA number.
  - **RENEWAL:** The RDA has sunset and is being renewed without amendments. RDA's automatically sunset every 10 years, per Wis. Stat. § 16.61(4)(c). Use existing RDA number.
- 4. Agency #:** Use the following:
  - **State Agency:** Use the three-digit agency appropriation code assigned by Wis. Stat. § 20.005.
  - **University of Wisconsin:** Use the three-digit statutory code (285) together with the alphabetical code assigned to the institution.
  - **Local Units of Government, Other Entities:** Please contact PRB Staff.
  - **Board/Commission:** The Records Officer may assign an additional alphabetical character to autonomous entities that are attached to an agency.
- 5. Unit #:** Use the following:
  - Indicate the business unit # which has ownership and financial responsibility for records in this series if applicable.
  - **University of Wisconsin:** Use the 6-digit UDDS # that the UW uses for accounting and budgetary purposes.
- 6. Agency Name:**
  - Identify the entity that has legal custody of the records, using correct names. Do not use acronyms or abbreviations.
  - Identify the division and/or subdivision that creates and receives the records. Do not use acronyms or abbreviations.
- 7. Records Series Year of Creation:** This is the year the agency first began creating or receiving records in this series. If the precise year is unknown, then provide an estimate.
- 8. Medium for Records Storage:** Indicate all the media on which the records are stored such as paper, electronic/digital, microform, or other, e.g., audio, film, or video.
- 9. Retention Time Period:** SPECIFY AN ACTUAL TIME PERIOD. Enter the number of years, months, weeks, or check "Permanent" to indicate period of time for retaining the records. "Permanent" means that the records need to be maintained permanently by the creating agency. See the [Guidelines for the Permanent Retention of Records](#).
  - In # 12, provide specific justification to the PRB for the proposed retention time period. Examples of appropriate justification include, but are not limited to: citation of controlling statutes or administrative rules, consistency with related retention schedules, audit or fiscal requirements, or end of business need.
  - If a retention time period is required by law, cite the relevant statute, administrative rule, or other legal authority in #12.
- 10. Event:** Use this field to indicate the specific event that must occur in order to initiate the retention time period. Identify this event by checking one of the boxes listed:
  - **CR:** If creation of the record initiates the retention time period, mark the checkbox "CR."
  - **FIS:** If the retention time period is initiated by the end of a fiscal year, mark the checkbox "FIS." These records must be kept through the end of the Fiscal Year.
  - **Other (Specify):** If a specific event other than "CR" or "FIS" initiates the retention time period, mark the checkbox "Other (Specify)". You must also state the event. You may provide a detailed description of the event within the Records Series Description in #10 if more space is needed.
- 11. Disposition:** Check the appropriate box to indicate disposition of the records after the retention time period has expired. Only one disposition may be checked. Mark as "Destroy Confidential" if the record series contains personally identifiable information (PII, see # 13, below), or the record's access is restricted by law (see # 16, below). If a record series is marked as "Destroy Confidential," then the record destruction shall comply with all relevant legal requirements.
- 12. Records Series Description:**
  - The description is the most important section of the RDA. It informs the PRB, and others who are unfamiliar with the records series, what information is contained in the series, the business purpose for the information, and the reasons why the series was created and/or received by the agency.
  - May include relevant statutory, rule citations, or other legal authority in order to clarify the content of the records and the authorization to create them. Additional information may be included as needed for employees to manage the records, such as providing guidance regarding who is custodian of the records within the series or conditions that must be met prior to disposition, as well as the relationship to any other record series.
  - If requesting approval of a NEW RDA, provide the reason for the creation of the RDA, for example: program re-organization, records identified during agency review, or brand new records being created.
  - "Record series" is defined by Wis. Stat. § 16.61(2)(c).
- 13. Records Contain Personally Identifiable Information:** Wisconsin law requires authorities to specifically identify records series that contain personally identifiable information (PII). PII is defined in Wis. Stat. §19.62(5) as information that can be associated with a particular individual through one or more identifiers or other information or circumstances. Examples of PII include, but are not limited to, a person's name plus social security number or driver's license number. If the records associated with this RDA must be destroyed confidentially due to PII content, check yes. Check yes even if some, but not all, of the records included in the RDA contain PII. If YES, complete #12. If NO, do not complete #12.

**14. Personally Identifiable Registry:**

Pursuant to Wis. Stat. § 16.61(3)(u), the Public Records Board shall create a registry describing records that contain PII. The law specifies that records containing the following information shall not be included in the Registry:

- a. Any records series that contains the results of a matching program, as defined in Wis. Stat. § 19.62(3), if the state agency using the records series destroys the records series within one year after the records series was created;
- b. Mailing lists;
- c. Telephone directories;
- d. Records series pertaining exclusively to employees of a state agency;
- e. Records series specified by the board that contain personally identifiable information incidental to the primary purpose for which the records series was created, such as the name of a salesperson or a vendor in a records series of purchase orders; and,
- f. Records series relating to procurement or budgeting by a state agency.

If the records associated with this RDA are derived from any of the information stated immediately above in a. through f., check YES in #14.

**Note: When # 14 is checked YES, the information in this RDA will be excluded from the PII Registry. When checked NO, the information in this RDA will be included in the PII Registry.**

**15. Agency Program Contact or Records Officer:** Provide the name, telephone number and email address for the agency's statutorily-designated Records Officer or other program contact, who may be contacted for further information regarding the record series.

**16. Records Series is Confidential or Access is Limited:**

- Check "yes" only if a specific statute, administrative rule, or other legal authority requires that all, or some, information in the record series be kept confidential or protected from public access. If "yes" is checked, identify the relevant statute, code, or other legal authority in #12.
- Some, but not all, personally identifiable information (PII) is confidential. At the same time, records that do not contain PII may be required by law to be kept confidential or have limited access.
- For purposes of record retention and destruction, Wisconsin's Public Records Law and related statutes govern public access to records including certain confidentiality provisions.

**17. Approval Signatures:** The Agency Records Officer, and at least one other agency official, such as the Agency Program Manager, Risk Manager, Legal Counsel, and/or the Legal Custodian of Records, must review, approve, and sign the RDA before submitting it to the PRB for approval. Prior to implementation, PRB approval and signature by the State Archivist are both required.

**Contact information:** for records management training and assistance, please contact the Wisconsin Department of Administration, Records Management Section, by telephone at: (608) 266-2995. Many records management resources are available at the Public Records Board website:

<http://publicrecordsboard.wi.gov>

Here are three helpful documents:

- a. [Statewide General Records Schedules](#)
- b. [Wis. Admin. Code ch. Admin 12](#)
- c. [Records Management Fact Sheets](#)



## Records Retention/Disposition Authorization (RDA) Change Request

This document must be submitted to the SRC by an Agency Record Officer.

Email completed form to: [DOADEORecordsCenter@wisconsin.gov](mailto:DOADEORecordsCenter@wisconsin.gov)

**Note:** This request is used for Division Moves, Closing an RDA and/or Superseding an RDA which do not require Public Records Board (PRB) review. Multiple changes can be submitted on one form. Start entering your data in Row 1 of the table below. The example text will disappear as you type.

**Requestor Information -- All answers are required.**

Agency Name:	Agency Number:
Record Officer Authorizing Change(s):	Date:

### Change Request - Option 1 - Division Move Only

This option is for Division changes within your Agency. For Agency to Agency changes, contact Kathryn Egeland. No other changes can be made to the RDA. If anything else is being changed, submit the RDA for review to the Public Records Board as Amended. **In the Details section below, provide Old Division Number, New Division Number. Any existing inventory will also move unless otherwise specified.**

### Change Request - Option 2 - Closing an RDA

This option is used when the Agency no longer creates or receives records for this series. **In the Details section below, provide the Life Cycle Dates - Year Created, Year Discontinued and Year of Final Disposition. Existing inventory will continue to be governed by the closed RDA.**

### Change Request - Option 3 - Superseding an RDA

This option is used when an RDA is replaced. The "Move To" RDA must already exist and cannot have an expired sunset date. The RDA entered, should be the RDA that will ultimately close. **In the Details section below, provide the "Move To" RDA number, Division and Title. Include instructions on whether or not any existing inventory should be moved.**

RDA # (8 digits)		RDA Title	Change Requested			Details
1	12345678	Example 1	<input checked="" type="checkbox"/> Option 1	<input type="checkbox"/> Option 2	<input type="checkbox"/> Option 3	Current Division - 012; move to - 018
2	00123000	Example 2	<input type="checkbox"/> Option 1	<input checked="" type="checkbox"/> Option 2	<input type="checkbox"/> Option 3	CR-2003; DIS-2010; DISP-2015
3	00567A00	Example 3	<input type="checkbox"/> Option 1	<input type="checkbox"/> Option 2	<input checked="" type="checkbox"/> Option 3	Move to RDA 345; Division 209, "Audit Reports" Move Existing Inventory
4			<input type="checkbox"/> Option 1	<input type="checkbox"/> Option 2	<input type="checkbox"/> Option 3	
5			<input type="checkbox"/> Option 1	<input type="checkbox"/> Option 2	<input type="checkbox"/> Option 3	
6			<input type="checkbox"/> Option 1	<input type="checkbox"/> Option 2	<input type="checkbox"/> Option 3	
7			<input type="checkbox"/> Option 1	<input type="checkbox"/> Option 2	<input type="checkbox"/> Option 3	
8			<input type="checkbox"/> Option 1	<input type="checkbox"/> Option 2	<input type="checkbox"/> Option 3	
9			<input type="checkbox"/> Option 1	<input type="checkbox"/> Option 2	<input type="checkbox"/> Option 3	
10			<input type="checkbox"/> Option 1	<input type="checkbox"/> Option 2	<input type="checkbox"/> Option 3	

This form can be made available in alternate formats to individuals with disabilities upon request.

# Exhibit H

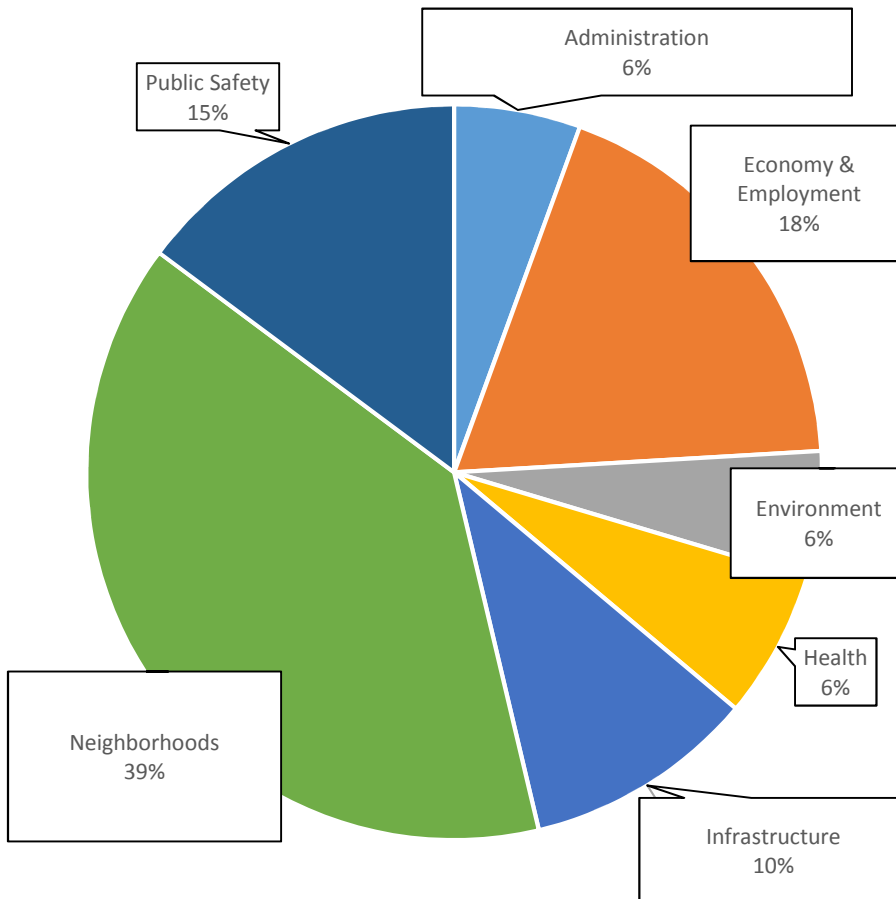
---

*OPEN DATA INVENTORY UPDATE (12-8-16)*

Status	Count
Available	68
Under Consideration	40
<b>Grand Total</b>	<b>108</b>

Category	Count of Category
Administration	6
Economy & Employment	20
Environment	6
Health	7
Infrastructure	11
Neighborhoods	42
Public Safety	16
<b>Grand Total</b>	<b>108</b>

Total Inventory by Category



## **Inventory Under Consideration**

### **Administration**

#### **Public Information Division Photographs**

All photographs taken by PID staff from 2013-present

### **Economy & Employment**

#### **Board of Harbor Commissioners Meeting Notes**

Includes meeting notes for the Board of Harbor Commissioner's meetings

#### **City Real Estate Costs**

Costs incurred by the City maintaining, processing, repairing, marketing, razing, etc

#### **Citywide listing of all Procurement Requests**

Summary of all procurement requests received from city departments

#### **Citywide listing of Exception to Bid Contracts**

Summary of all exception to bid contracts

#### **Housing Loans**

Housing Loans

#### **In Rem tax foreclosure data**

#### **Licensing Data**

All records pertaining to licenses administered by the office of the City Clerk.

#### **Revenue distributions**

City Revenue distributions data (for example, motor vehicle registration fee and solid waste)

#### **Tonnage Report**

Dataset that includes the annual cargo tonnage brought into the Port. Broken down by category (dry bulk, steel, general cargo, liquid bulk, nonmunicipal)

#### **Vessel List**

Name & dates/times of each vessel that docks at the Port of Milwaukee

#### **Wind Turbine Statistics**

Power generated to date, how much revenue is generated, etc

### **Environment**

#### **Dog Bites**

#### **Garbage Pickup Days by Address**

#### **Recycling Pickup Days by Address**

#### **Underground Storage Tanks**

### **Health**

#### **Communicable Disease Data**

Recordable cases of communicable disease

#### **Environmental Contamination**

All records related to property or records of environmental contamination on a site

#### **Food Inspection reports**

Inspection reports for food establishments

#### **Health Food Establishment Inspection Reports**

#### **Healthy Birth Outcomes**

Infant mortality rate, birth rate, prematurity rate

#### **Life Expectancy**

Aggregated Death Data

### **Infrastructure**

#### **Paving projects - 2017**

Street segments scheduled to be repaved in 2017

### **Neighborhoods**

#### **City Real Estate Inventory**

Data related to the sales and property inventory

#### **Historical Use of Buildings**

#### **Open Code Violations**

List of properties with open code violations by type

## **Parking Citations**

### **Public Safety**

#### **Citizen Complaint Data**

A list of all citizen complaints recieved by the Fire and Police commission

#### **Crime**

Includes all reported crime to the Milwaukee Police Department from the Records Management System (years

#### **Discipline Appeal Data**

A list of the results of disipline appeals heard by the FPC board

#### **Fire and EMS data**

All incident reponse types as to fire or EMS; location/date/time/ responding units/ time stamps

#### **Fire Incident Data**

Milwaukee Fire Department Incident data which includes type of run and response time (time-to-acknowledge,

#### **Hiring and Promotion Data**

Demographics of applicants, new hires, and promotions in the Fire and Police Departments

#### **Medical Calls for Service**

All EMS calls classified by EMD protocol along with date/time.

#### **Smoke Detector Installs**

Dataset includesdemographic information, address, educational materials shared

#### **Polic Calls for Service**

Includes all calls for service to the Milwaukee Police Department from the Computer-Aided Dispatch System

#### **Police Proactive Activity**

Includes all proactive activities (traffic stops, subject stops, bus checks, vacant house checks, etc...) performed by the Milwaukee Police Department. Data retrieved from the Computer-Aided Dispatch System (years TBD).

#### **Police Use of Force**

Includes use of force reports by the Milwaukee Police Department retrieved from the AIM system (years TBD).

#### **Police Citizen Complaints**

Includes citizen complaints of the Milwaukee Police Department retrieved from the AIM system (years TBD)



# Exhibit I

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*OPEN DATA POLICY*

# Open Data Policy

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## Purpose

The City of Milwaukee is committed to proactively publish data in a structured standardized machine readable format to improve provision of services, increase transparency and access to public information, and enhance coordination and efficiencies among departments, partner organizations and citizens.

## Scope

Data and information collected by the City which would advance the City's transparency and accountability through open data. Exceptions are provided for information that is Protected Information or Sensitive Information. Data will be prioritized for publication based on relevance, ease of access, and other criteria established by the Dept. of Administration-Information and Technology Management Division, with review and affirmation by the City Information Management Committee. While all eligible City data should be considered for publication, capacity and demand will dictate the size and growth of the open data library.

## Definitions

- a. "Data" means statistical, factual, quantitative, or qualitative information that is maintained or created by or on behalf of a City department. "Data" does not include information provided to a department or division by other governmental entities, nor does it include image files, such as designs, drawings, maps, photos or scanned copies of original documents. Nothing in this policy shall be deemed to prohibit the voluntary disclosure of information not otherwise defined as "data."
- b. "Open data" means data that is available online, in an open format, with no legal encumbrances on use or reuse, and is available for all to access and download in full without fees [or a requirement of registration]. "Legal encumbrance" includes federal copyright and privacy protections and other, non-statutory legal limitations on how or under what conditions a dataset may be used.
- c. "Open format" means any widely accepted, nonproprietary, platform-independent, machine-readable data format, which permits automated processing of such data and facilitates analysis and search capabilities.

d. "Metadata" means the date the data was last updated, frequency of data refresh, how the data is formatted, data field names and explanations for each field.

e. "Dataset" means a named collection of related records, with the collection containing data organized or formatted in a consistent, specific or prescribed way, often in tabular form

f. "Protected information" means any data, dataset or portion thereof, that is not in the best interests of the City to release. Protected information includes, but is not limited to, the following:

1. Any data, data set or portion thereof to which a department or division may deny access pursuant to the public records laws or any other provision of a federal or state law, rule or regulation or local law;
2. Any data, data set that contains a significant amount of confidential data pursuant to the preceding subsection and where removing such data would impose undue financial or administrative burden;
3. Data that reflects the internal deliberative process of a department or division, including but not limited to negotiating positions, future procurements, or pending or reasonably anticipated legal or administrative proceedings;
4. Data stored on a department or division-owned personal computing device, or data stored on a portion of a network that has been exclusively assigned to a single department or division employee or a single department or division-owned or controlled computing device;
5. Materials subject to copyright, patent, trademark, confidentiality agreements or trade secret protection;
6. Proprietary applications, computer code, software, operating systems or similar materials;
7. Employment records, internal employee-related directories or lists, and facilities data, information technology, internal service-desk and other data related to internal department or division administration;
8. Legacy Data. Any public data set that, due to its size or complexity, or due to technology constraints, cannot be made available on the internet, shall be classified as legacy. Departments or divisions shall make best efforts to avoid placing public data sets into the legacy classification.
9. Any data, data set or portion thereof which contains any personally identifiable information or financial identifying information that can be associated with a particular individual through one or more identifiers or other information or circumstances and specifically includes, but is not limited to, a private individual's home address, personal electronic mail address, personal telephone number, social security number and/or driver's license number.

g. "Sensitive information" means any data which, if published by the City online, could raise privacy, confidentiality or security concerns or have the potential to jeopardize public health,

safety or welfare to an extent that is greater than the potential public benefit of publishing that data.

h. "Publishable data" means data which is not protected or sensitive and which has been prepared for release to the public.

## General Policy

### Section 1: Open Data Program

a. The city commits to develop and implement practices that will allow it to:

1. Regularly release publishable city data, making it freely available in open formats, with no restrictions on use or reuse, and fully accessible to the broadest range of users;
2. Publish high quality, updated data with documentation (metadata) and permanence to encourage maximum use;
3. Provide or support access to free, historical archives of released city data;
4. Measure the effectiveness of datasets made available through the Open Data Program by connecting open data efforts to the city's programmatic priorities;
5. Minimize limitations on the disclosure of public information while appropriately safeguarding protected and sensitive information; and
6. Support innovative uses of the city's publishable data by agencies, the public, and other partners.

b. The development and implementation of open data processes and practices shall be implemented by the Department of Administration - Information and Technology Management Division, overseen and affirmed by the City Information Management Committee.

c. The requirements of this policy shall apply to general city departments or divisions.

d. Appropriate funding requests shall be made by the Chief Information Officer to achieve the goals of this program.

e. The Chief Information Officer shall work with the City Attorney and the Purchasing Director to develop contract language to promote the Open Data policy in technology-related procurements. These provision may include, where appropriate, requirements to post data on the city's open data portal or to make data available through other means.

## **Section 2: Governance**

a. Implementation of the Open Data Program will be overseen by the Chief Information Officer and the City Information Management Committee, who will work with the city's departments and divisions to:

1. For each city department or division, identify appropriate contact information for a lead open data coordinator who will be responsible for managing that department's or division's participation in the Open Data Program;
2. Oversee the creation of a comprehensive inventory of datasets held by each city department or division which is published to the central open data location and is regularly updated;
3. Develop and implement a process for determining the relative level of risk and public benefit associated with potentially sensitive, non-protected information so as to make a determination about whether and how to publish it;
4. Develop and implement a process for prioritizing the release of datasets which takes into account new and existing signals of interest from the public (such as the frequency of public records requests), the city's programmatic priorities, existing opportunities for data use in the public interest, and cost;
5. Proactively consult with members of the public, department staff, journalists, researchers, and other stakeholders to identify the datasets which will have the greatest benefit to city residents and civic improvement in Milwaukee if published in a high quality manner;
6. Establish processes for publishing datasets to the central open data location, including processes for ensuring that datasets are high quality, up-to-date, are in use-appropriate formats, and exclude protected and sensitive information;
7. Ensure that appropriate Metadata is provided for each dataset in order to facilitate its use;
8. Develop and oversee a routinely updated, public timeline for new dataset publication; and
9. Ensure that published datasets are available for bulk download, to the extent practicable.

b. In order to increase and improve use of the city's open data, the Chief Information Officer and the City Information Management Committee will actively encourage department and public participation through providing regular opportunities for feedback and collaboration. The Chief Information Officer shall investigate establishing an online mechanism to solicit feedback from the public.

### **Section 3: Central Online Location for Published Data**

- a. The city will create and maintain a publicly available location on the city's website or in another suitable online location where the city's published data will be available for download.
- b. Published datasets shall be placed into the public domain. Dedicating datasets to the public domain means that there are no restrictions or requirements placed on use of these datasets.
- c. Each published dataset should be associated with contact information for the appropriate manager of that dataset as well as with a file layout or data dictionary that provides information about field labels and values.

### **Section 4: Open Data Report and Review**

- a) Within one year of the effective date of this policy, and thereafter no later than June of each year, the City Information Management Committee shall publish an annual report which will include an assessment of progress towards achievement of the goals of the city's Open Data policy. The goals will relate to the nine points in the governance in Section 2a.
- b) During the review of the report and at regularly scheduled meetings, the City Information Management Committee should also make suggestions for improving the city's open data management processes in order to ensure that the city continues to move towards the achievement of the policy's goals.

### **Section 5: Open Data Legal Policy**

- a) The City does not guarantee the quality, content, accuracy, or completeness of the published datasets, as the data comes from a variety of sources, and may be collected and maintained for different purposes. Published datasets should not be used as a substitute for legal, accounting, real estate, business, tax, or other professional advice. The City assumes no liability for any damages or loss of any kind that might arise from the use of, misuse of, or the inability to use the published datasets. The City also assumes no liability for improper or incorrect use of the published materials, or for any virus or other contamination of or damage to computers that might occur during or as a result of downloading or accessing the published datasets. All published datasets are distributed and transmitted "as is," without warranties of any kind, either express or implied, and subject to the terms and conditions stated in this section.
- b) The City reserves the right to discontinue availability of content on the city's Open Data

website at any time and for any reason. The City reserves the right to claim or seek to protect any patent, copyright, trademark, or other intellectual property rights in any of the information, images, software, or processes displayed or used at the city's Open Data website. If the City claims or seeks to protect any intellectual property rights in any of the information, images, software, or processes displayed or used at the Open Data website, then the Open Data website will indicate on the webpage on or from which such information, images, software, or processes are accessed. These Terms of Use do not grant anyone any title or right to any patent, copyright, trademark or other intellectual property rights that the City may have in any of the information, images, software, or processes displayed or used at the City's Open Data website.

c) Nothing in the City's Open Data Policy shall be construed to create a private right of action to enforce any of their provisions and therefore, any failure to comply with these provisions shall not result in liability to the City, including, but not limited to, it's employees, departments and divisions.

# Exhibit J

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*SUNLIGHT FOUNDATION PRESENTATION*





# CIMC: Governing Open Data in Milwaukee

# AGENDA

Introductions

Defining Open Data

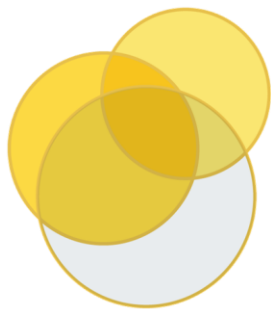
Benefits of Open Data

Milwaukee's Work with WWC

Committee Responsibilities

Next Steps and Discussion



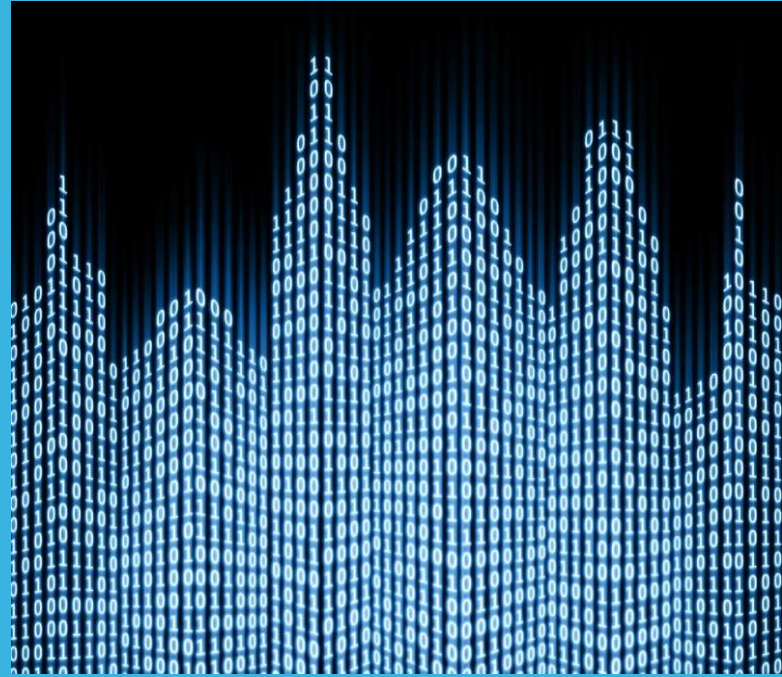


**SUNLIGHT**  
FOUNDATION

# What Works Cities

- 100 mid-sized cities
- Technical support, access to expertise, peer-to-peer learning to help cities to better use data and evidence to engage the public, improve services, evaluate progress and invest in “what works”
- <http://whatworkscities.bloomberg.org/>

# DEFINING OPEN DATA



# OPEN DATA IN MILWAUKEE SHOULD BE...

Public	Published datasets live in the public domain.
Machine readable	Datasets are available in formats that computers can understand.
Up-to-date	Datasets contain current information to encourage maximum use.
Accessible	Datasets are accessible to the broadest range of users to use for varying purposes.
Automated	When datasets are created or updated, they are automatically uploaded to relevant systems.

# BENEFITS FOR INTERNAL USERS

- Saves time
- Creates opportunities for collaboration
- Smarter decisions
- Adds capacity



# INTER-DEPARTMENTAL COLLABORATION

Open data makes it easier for departments to use each other's data

The District of Columbia uses the cross referencing of data from different agencies to manage child welfare cases.

The screenshot displays the FACES.NET web application. At the top, the header reads "DISTRICT OF COLUMBIA CHILD AND FAMILY SERVICES AGENCY" and "FACES.NET". Below the header, there are tabs for "Referral", "Case", "Client", and "Provider". A "Last Refresh" box indicates the date and time: "Last Refresh: 11/08/2012, 10:17 AM".

The main content area is divided into several sections:

- Dashboard:** Includes a "My Calendar" section showing a calendar for November 2012, and a "My Tasks" section.
- Performance Measures:** A section with various metrics and indicators, including "Visits to Children/Families In-home", "Court Reports", "Social Worker to Child Visits - Out of Home", "Child Case Plan Status", "Parent to Child Visits", "Weekly Visits in First Four Weeks of Placement", "Family Case Plan Status", and "Initial Parental Assessment".
- Child Case Plan Status Table:** A table with columns for ID, Name, Last Case Plan, Date Case Plan Due, Case Plan Type Required, and Indicator. The table lists several cases with their respective status indicators.

The table data is as follows:


ID	Name	Last Case Plan	Date Case Plan Due	Case Plan Type Required	Indicator
1205		04/30/12	10/27/12	Family Case Plan	R
1323		04/30/12	10/27/12	Family Case Plan	R
2479			10/12/12	Family Case Plan	R
3277			10/29/12	Family Case Plan	R
3974			11/24/12	Family Case Plan	Y
1985		05/25/12	11/21/12	Family Case Plan	Y
2326		10/11/12	04/09/13	Child Case Plan	G

Legend:

- 30+ Days Until Due
- Due in Less than 30 Days
- Overdue/Non-Applicable



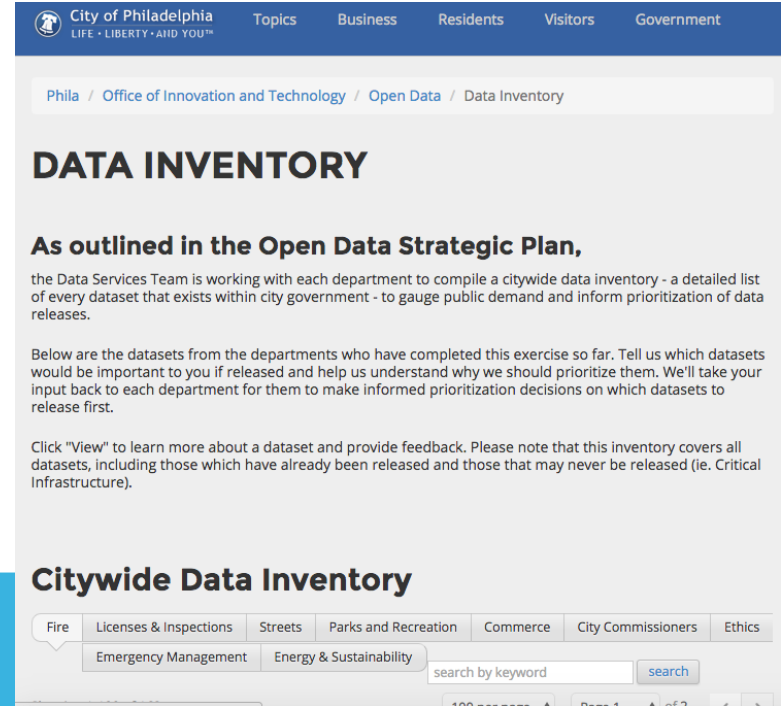
# BENEFITS FOR EXTERNAL USERS

- Easier access to up-to-date information
  - Nonprofits, academic institutions, media can use data to drive research
  - Create business opportunities
  - Increase transparency and accountability
- 


# PUBLIC ENGAGEMENT

Open data helps city employees  
engage with the public

Philadelphia asked the public for  
input on dataset release, and  
received many comments on value  
and potential use cases



# DISCUSSION POINT

- What datasets are most frequently used and/or requested of your department/office?
  - What barriers have you encountered in accessing city data? What data do you currently use in your work?
  - What problems can you solve with open data?  
What questions can you answer?
- 



# OPEN DATA IN MILWAUKEE

# MILWAUKEE IS BECOMING A DATA DRIVEN CITY!

- Connected with the What Works Cities network – Bloomberg Philanthropies, The Center for Government Excellence at Johns Hopkins University, and Sunlight
- Goal: Strengthen open data practices and governance by codifying and standardizing processes and policies to inventory, prioritize and release data for internal and public consumption.
- Outcomes:
  - Establish governance team
  - Develop open data policy
  - Make data available to the public in a more useful, responsive way

## PROGRESS SO FAR:

- Open Data Portal
- Open Data Policy
- Meet-ups and Hackathons




# COMMITTEE RESPONSIBILITIES

Oversee implementation of open data program and policy, including:

- Identify open data coordinators for each department, who will manage that department's participation in the program
- Oversee the creation of citywide data inventory
- Develop and implement a process for determining the relative level of risk and public benefit associated datasets to be published



## COMMITTEE RESPONSIBILITIES (CONT.)

- Develop a process for prioritizing the release of datasets (taking into account records request, strategic priorities, cost, and public interest)
  - Establish a process for publishing datasets onto an online, central location
  - Ensure datasets meet quality standards (up-to-date, proper formatting, no privacy/security concerns)
  - Oversee dataset publication
  - Participate in development of annual report toward goals for city open data
- 



# NEXT STEPS

- Review Policy
- Complete data inventory process
- Clarify roles and responsibilities
- Establish process for prioritizing datasets for release

# DISCUSSION POINT

- What projects would you like to create using city data?
- What datasets would you like to see that would support your work?
- What questions do you have about your role in open data as a member of the CIMC?

