City Information Management Committee 2018 Annual Report

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. **Vice-chair Nancy Olson**, Chief Information Officer

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

4. **Aycha Sirvanci**, Special Deputy Comptroller, City Comptroller Designee

   Rocky Wruck, interim designee

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

6. **Jim Owczarski**, City Clerk

   Richard Pfaff, interim designee

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

8. **Judy Pinger**, Assistant Director – IT Technical Services and Collections, City Librarian Designee

9. **Jane E. T. Islo**, Municipal Court Asst. Court Administrator, Municipal Court Designee

10. **Joshua Parish,** Battalion Chief, Fire Chief Designee

    Deborah Wilichowski, previous designee

11. **Deborah Wilichowski**, Information Systems Director, Police Chief Designee

    Jeffrey Point, previous designee

    Charles Burki, previous designee

Staff

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

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

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

March 15, 2018
June 14, 2018
September 20, 2018
December 13, 2018

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

Items, Reports, and Issues Considered or Discussed:

2017 Annual Report

The report was approved by the committee at its March 15, 2018 meeting.

2019 Meeting Schedule

Barring any issues the committee approved, at its December 13, 2018 meeting, the meeting schedule for the 2019 year to be at 10 a.m. at City Hall for the following dates: March 14, June 13, September 19, and December 12, 2019.

2019 Budget Footnotes

There were two budget amendments affecting ITMD. The first one called for a city social media branding strategy plan, and a small team of designers would be formed to develop a plan. The second one called for reducing the city's dependency on propriety technology, which was a concern from the Finance and Personnel Committee. Further clarification was needed for the second budget amendment prior to ITMD coming back to the committee for further discussion and presentation of a plan.

City Records Center

An ongoing goal of the City Records Center is to reduce the number of individual record schedules and increase the number of global schedules. The assumption is that departments are opted in into global schedules unless department notify otherwise to the City Records Center.

Document Services Section Records Management Activities in 2017

There were 495 schedules from 23 departments or divisions and 117 schedules submitted to the State Records Board. An RFP was being proposed for a commercial system to replace the RMS internal records space management tracking database. At the time of information gathering, the RMS schedule table listed 5,784 record schedules. 5,023 of those schedules were estimated to be obsolete or have no expiration date. The Police Department and Department of Public Works have the most schedules at 1,124 and 799 respectively. The high volumes from these departments were attributable to segmented schedule keeping and/or duplicate schedules. Efforts would be made to eliminate excess schedules and consolidate schedules. A global

payroll record schedule would be developed with input from several departments and a review by the committee by the end of 2018.

Record Retention Schedules for Approval

All items pertaining to departmental schedule recommendations were approved at the March 15, 2018 meeting. Included in the recommendations of note were: Dept. of Administration archival record schedules, City Assessor's Office property tax exemption and assessment objection schedules; Employee's Retirement System new wage and contribution reporting schedules; central drafting schedules, and a citywide fiscal accounting global schedule.

All items, including 32 new or amended schedules and 164 closed schedules, were approved at the June 14, 2018 meeting. Included in the recommendations of note were: a first all-digital archival photo file series from the Mayor's Office; aldermanic records from the Common Council - City Clerk's Office being sent to the City Records Center for archiving; 4 series being changed to global schedules; subject files serving as a catch-all series for archival materials; and general transitory files intending to allow departments to deal with records with little to no administrative value.

All items, including 22 new amended and 97 closed schedules, were approved at the September 20, 2018 meeting. Included in the recommendations of note were: reduction of 6 Legislative Reference Bureau research file series into 2 series; first ever retention schedule from the Environmental Collaboration Office; superseded schedules due to cleanup in the City Clerk's Office, and standard digitization for schedules in the Employee's Retirement System.

All items, including 37 renewals and 62 closing schedules, were approved at the December 13, 2018 meeting with the correction that the number to item 7 be 18-0065. All schedules were for digitalization purposes, including of note were: Common Council schedules being renewed and moving from Granicus into the e-vault; labor relation schedules being renewed and changed to reflect digitalization; Health Department lab schedules being kept for legal reasons; and a proxy schedule with a retention period of 120 days for quality control.

Records and Information Management (RIM) Policy

The City Records Center proposed a RIM policy as a citywide policy addressing management record issues such as public records laws, retention schedules, department city record coordinators, and public access. Important aspects of the policy include departments having to opt-out of a schedule after a certain time period, archival records being consolidated and made more publicly available, and allowing the ability of the City Records Center to make redacted records publicly available as appropriate in close consultation with departments. Consultation with departments resulted in no major changes to the policy. Consultation with union representatives resulted in 3 major changes: addition of a statement on fraudulent alterations and destruction of records, additional of a statement on the general applicability to city employees, and addition of links to the email and social media policies. The committee approved the policy. The policy should come back for committee review should there be additional changes to the policy.

State Record Board Approval of Previous Schedules

The State Records Board approved all schedules from the December 14, 2017 meeting except one schedule needing further clarification; approved all schedules from the March 15, 2018 meeting except one schedule, relative to the trigger event for a homicide drawing schedule, needing a minor correction to eliminate the language "declared closed case"; and approved all schedules from the June 14, 2018 and September 20, 2018 meetings.

Comptroller IT audit activities or updates

Enterprise-wide Information Technology Risk Assessment

The risk assessment was underway with a consultant selected. A list of applications, databases, platform servers, network appliances, and IT processes for all 7 City datacenters would be given to the consultant. The consultant would work with the appropriate datacenter managers and use a 10-point grading scale. Some evaluation areas would include risk based on external or internal development and internal impact to customers. Internal Audit would compile lists, review risk levels, make an allocation schedule for its future audits, shared a final report with the committee, and acknowledge the desire to include non-datacenter IT staff or functions as part of the assessment.

IT Audits

Completed audits include the CRM Relationship Management Application Controls. Initiated audits include the Enterprise-wide Information Technology Risk Assessment and ITMD Data Center Controls. Upcoming audits include Network Security Controls - Penetration Testing and Scanning, Land Management System, and Municipal Court Data Center Controls.

Public Records Requests and Controls Audit

The audit generated three enterprise-wide recommendations: develop, maintain, and display a notice regarding a department's Public Records Policy within its office to ensure compliance with the requiremetns set forth by the Wisconsin public records law; develop and implement formal, comprehensive, and documented procedures for public records requests processes; and enhance retention controls over public records request documentation. Correspondence was sent to all departments to follow these recommendations.

E-Fax Demonstration

The committee was given a demonstration and overview at its September 20, 2018 meeting. The e-fax project is an effort to remove city fax lines and physical fax machines with a secure, electronic fax solution. An e-fax is a .PDF scanned copy of a document linkable via an email like an email attachment. A recipient can access an e-fax via email. An e-fax can be sent either from an e-fax or traditional fax machine. E-fax records would not be easily searchable. Retention compliance was adjusted from 7 to 120 days for the e-fax service. HylaFAX is the system server agent being used for e-fax. No pin or password is required to access an e-fax but can be developed in the future. The project started out first with the City Clerk's Office and License Division and will move on to other departments. The project is in phase one with the ability to only receive an e-fax. Phase two is undetermined, involves the ability to send out an e-fax

through a multifunctional printer fax machined hooked to a phone line, and will be based on demand and priority.

E-mail Use Policy

The committee approved an update to the e-mail use policy to prohibit the sharing of passwords, prohibit the transfer of e-mail accounts for employees when they transfer to a different City department, and clarify that all emails sent from or received via the e-mail system are considered City property. Additional accounts or access to accounts should be requested, if needed. E-mail transfers have complicated open records requests. Email aliases can be taken by an employee who is transferring. A meet-and-confer with the Department of Employee Relations resulted in few changes to the policy, including defining the term "city business".

Mobile Device Management Policy

The purpose of the policy is to address the deployment of many mobile devices and field staff with a high level, citywide policy. The policy was updated after a meet-and-confer process with the Department of Employee Relations. Changes include the name of the policy, clarification over departmental inclusion and exclusion, and policy numbers being reordered. Public safety and elected officials departments that maintain their own vendor contracts are excluded from the policy but should consider incorporating some of the policy rules into their departmental work rules. The committee approved the changes to the policy with the inclusion of Municipal Court and correct spelling of "City Treasurer" to the policy.

National Cyber Security Month

National Cyber Security Month is October. ITMD would be disseminating educational materials about cyber security attacks and prevention and is open to making presentations. Viruses through employee emails have been a problem. Most cyber security attacks are user-based.

Open Data Portal

The committee was given a demonstration of the Milwaukee open data portal site, https://data.milwaukee.gov/, at its June 14, 2018 meeting relative to user experience of the portal's features and webpages of home, datasets, organizations, groups, about, help, search, login, register, and contact. The home is the landing page with news, compatibility information, relevant links, showcase datasets, group datasets, popular datasets, new datasets, search engine, and open data policy information. Login is not required for downloading and browsing datasets. Users can register and login, which allows them to follow datasets, receive updates, report errors, and receive an APIP. Contact options allow users to communicate with ITMD. The datasets page lists available datasets on the portal. Datasets can be filtered, are searchable, has descriptions, and may be mapped. The groups page lists organizational groups with datasets. The about page has information about the City and the open data policy. The portal does not link to the COMPASS site and has limited filters, mapping capabilities, and less ability to manipulate. A long term goal is to incorporate COMPASS filter features into the open portal. Storage space is not limited in the open portal, and historical data from submitting departments would be retained as long as possible. Much of the datasets on the open portal are cleaned versions and not raw data. There are instructional videos on the open portal. The open portal is

under a soft launch and still under development. When officially launched, the open portal would be promoted. There would be ongoing acquisition of new datasets and data from existing City webpages. The five most popular datasets have been crime, property, traffic accidents, November voter turnout, and food establishment grades. The open portal has decreased the number or record requests, especially for the Election Commission.

Security Appliance Upgrade

The network security platform upgrade was tested by ITMD, would be deployed citywide gradually department by department in 2018, go beyond being a firewall, serve as a VPN remote access solution, add features and modernization, add an additional backup firewall, increase the ability to block antiviruses and spyware, better track vulnerabilities, block particular known websites of vulnerability or risk, and do content and file type management. Further efforts would include VPN access to support Windows 10. Licensing would be unlimited for all clients.

Slack Instant Messaging Deployment

Water Works shared with the committee its decision to use Slack, as a 1-year pilot test, as an instant messaging technology tool, alternative to texting and e-mail, to improve productivity, reliability, and documented communication for use by its office personnel and potentially field investigators on desktop or tablet devices. Slack would provide unlimited archiving, ease of use for record retrieval, integration to an active directory, 24-hour live support, information capturing, ability to search, and advantages over texting and email. Slack would not be limited to text, would work with a central server, and integrate many technologies. Archiving would be done on the vendor's servers and downloadable. Third party software would lock devices whenever Slack is not being used. Slack is not intended for personal use. An update and possible demonstration of Slack should be given to the committee in the future.

Text Archiving Pilot

The city has the responsibility to store and provide records. The purpose of the pilot program is for archiving city employee work related text messages, starting with cabinet members with city-issued cellphones and then elected officials. A Verizon product app One Talk would allow employees to have a new separate phone number that can be used for business text messaging purposes on their personal cellphones. iMessage should be turned off for all devices in use. Employees should consider the three options of either using the work number via the One Talk app, archiving every text data from personal phones, or using two separate phones with one for personal and the other for business only. The committee discussed possible consideration of doing a retention schedule for text records and addressing the invisible costs of transitory records, specifically for email.

Documents and materials relating to record retention schedules, policies, presentations, audits, or other information for all meetings of the committee for 2018 can be found within the following files at https://milwaukee.legistar.com/Legislation.aspx:

171691 - Communication relating to the matters to be considered by the City Information Management Committee at its March 15, 2018 meeting.

180252 - Communication relating to the matters to be considered by the City Information Management Committee at its June 14, 2018 meeting.

180723 - Communication relating to the matters to be considered by the City Information Management Committee at its September 20, 2018 meeting.

181323 - Communication relating to the matters to be considered by the City Information Management Committee at its December 13, 2018 meeting.