Minneapolis
City of Lakes

Office of the City Clerk:
2014-2017 Business Plan

March 30, 2016

OFFICE *of the* CITY CLERK

ACHIEVABLE

ONE MINNEAPOLIS
Elect Government

ACCESSIBLE

A CITY THAT WORKS
Make Government Work

ACCOUNTABLE

A CITY THAT WORKS
Ensure Open Government

OFFICE OF THE CITY CLERK

Business Plan & Strategic Goals

2014-2017

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Message from the City Clerk

This business plan aligns with the 2014-2017 term of City Council, providing a framework and direction with respect to specific goals and initiatives. By its nature, a business plan looks to the future: it defines where an organization wants to be and describes how it will get there. It does not address the entire spectrum of services provided. Instead, it concentrates on those strategic outcomes to which the Clerk's Office contributes — the achievement of a democratic, representative system of local government that is accessible and accountable to the people it serves. For the Clerk's Office, this is our common cause.

Underpinning the entire plan is the need to increase the department's capacity. Toward that end, the plan emphasizes professional development and the pursuit of best practices and recognized industry standards. These investments, combined with a focus on continuous improvement, will be critical to ensure long-term success in meeting statutory, charter, and policy obligations.

In fulfilment of our mission, outcomes, and goals, this business plan serves as a roadmap for our shared journey.

Mission, Vision & Outcomes

The work of the Office of City Clerk is guided by the City's adopted vision, values, goals, and strategic directions as well as its own mission, vision, and outcomes, described below.

Mission
Through its work, the Office of City Clerk **maximizes access to municipal government** and **enables informed decisions for community governance.**

Vision
The Office of City Clerk seeks to be recognized as a **trusted partner in democracy** and an **authority within its respective professional fields**, all for the benefit of the City of Minneapolis and those we serve.

Outcomes
The services, programs, and functions of the Office of City Clerk contribute to three primary outcomes:

1. **A democratic, representative system of government is _achievable_;**
2. **Government policies, decisions, and operations are _accessible_; and**
3. **Government is _accountable_ to the people.**

About the Office

The City Clerk is a municipal officer elected by and serving at the pleasure of the City Council.[1] The City Clerk serves in two general capacities: first, as secretary of the municipal corporation and, second, as secretary of its governing body.[2] In the first instance, these corporate responsibilities include the administration of elections and support for the electorate; the maintenance of the City's charter and codes, its constitution and laws, respectively; the management of enterprise information assets; and the delivery of certain services delegated under state and local directives. In these areas, the City Clerk has an independent regulatory role to ensure compliance with federal, state, and local laws. In the second instance, the City Clerk facilitates decision-making processes of the City's governing body by supporting, informing, and recording its official acts, orders, and judgments and making information about that work broadly accessible to the public.

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[1] *See* Minneapolis City Charter, §§ 4.2(e) and 7.2(a)(2).

[2] *See* Exhibit A for a sampling of the services and programs delivered by the Office of City Clerk.

The Office of City Clerk exists to assist the City Clerk in the performance of these official duties. It is part of the legislative department of the City Government enterprise, which encompasses the thirteen-member, elected City Council; the thirteen ward offices which support individual Council Members; and the Office of City Clerk and its divisions. The Clerk's Office includes two Assistant City Clerks who serve as the primary deputies of the duly-elected City Clerk, whose appointments are made by the City Clerk and confirmed by official action of the City Council. Together, the City Clerk and Assistant City Clerks constitute the department's management team, which is responsible for business planning, financial management, and general operations. Rounding out the department is a team of professional, administrative, and technical staff that delivers its core services and programs through three divisions: Elections & Voter Services; Records & Information Management; and Legislative Support & Operations.

Organizational Structure

The operating structure of the department is reflected in the following table of organization.
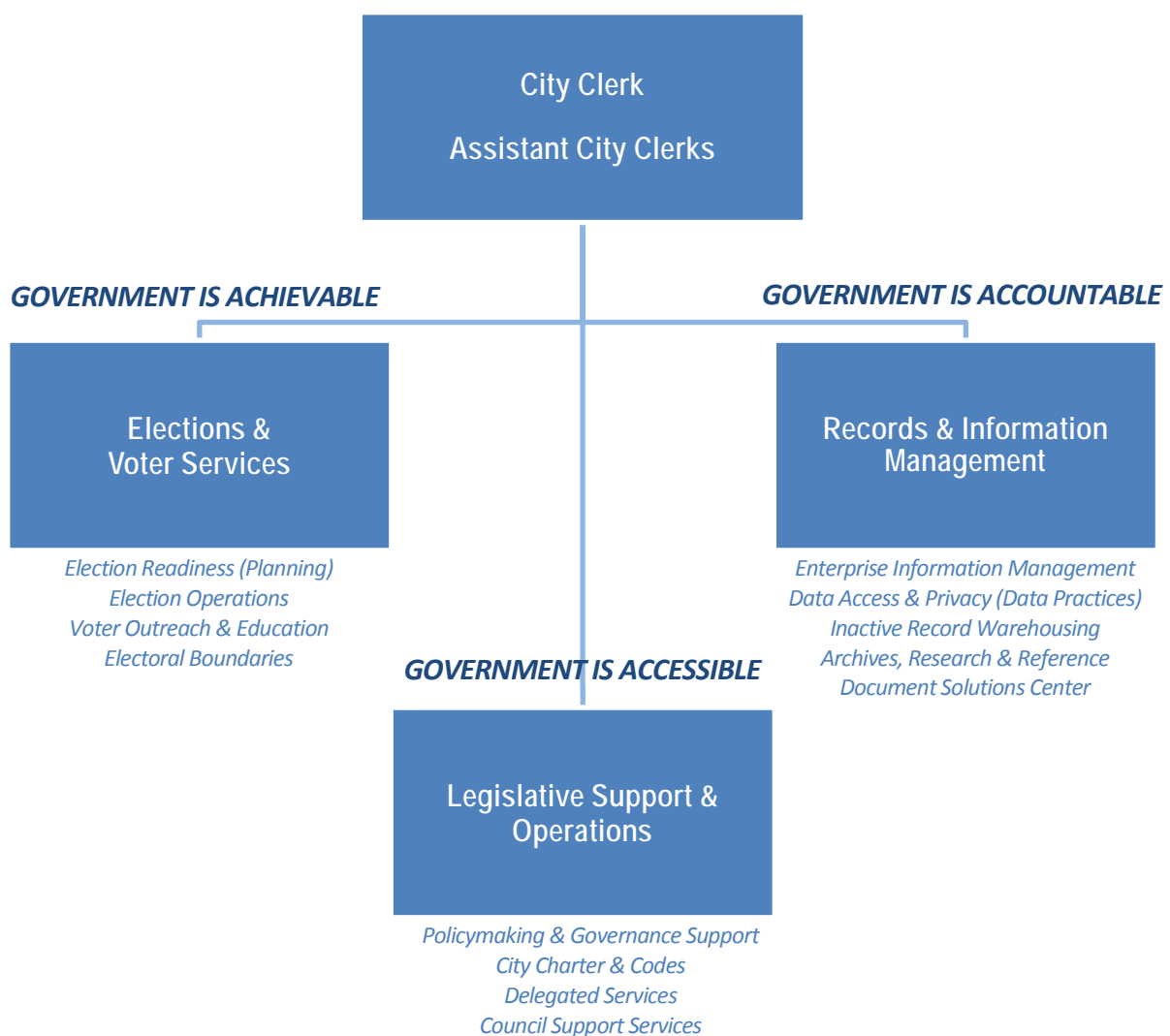
City Clerk
Assistant City Clerks

GOVERNMENT IS ACHIEVABLE

GOVERNMENT IS ACCOUNTABLE

**Elections &
Voter Services**

Election Readiness (Planning)
Election Operations
Voter Outreach & Education
Electoral Boundaries

**Records & Information
Management**

Enterprise Information Management
Data Access & Privacy (Data Practices)
Inactive Record Warehousing
Archives, Research & Reference
Document Solutions Center

GOVERNMENT IS ACCESSIBLE

**Legislative Support &
Operations**

Policymaking & Governance Support
City Charter & Codes
Delegated Services
Council Support Services

Figure 1: Clerk's Office Table of Organization

The Department in Context

The Office of City Clerk has a FY16 operating budget of $6.4 million and a staffing complement of 32 full-time positions. The majority of the department's work is predicated upon formal mandates found in the Minneapolis City Charter and Code of Ordinances as well as federal and state laws and local policies and regulations. Its central business is providing a secretariat service to support legislative and policy-making functions of the City Council. In that regard, the Council dominates and drives much of the department's work, and the department has evolved primarily in response to the needs of the City Council and its Members. The Elections & Voter Services and the Records & Information Management divisions—operating under the direction of an Assistant City Clerk—fulfill the corporate duties assigned by law to the City Clerk in support of the municipal corporation.

Environmental Scan

The following sub-sections describe major trends that will impact the department during the next four years.

POLITICAL: Hyperbolic partisanship and gridlock define federal and state politics, resulting in increased public distrust, cynicism, and disconnect with government. At the local level, this volatile environment means policy priorities and funding commitments have become uncertain and in some cases unsustainable. In the absence of meaningful federal and state action, public expectations increasingly pressure local government to address community needs. Politically impatient and emboldened by grassroots successes, voters may bypass traditional political processes to shape policy outcomes. This activist culture makes compromise and the possibility of conflict resolution through established government processes more challenging. If government does not—or cannot—meet expectations, it risks losing public confidence as a valuable problem-solving institution, throwing into question its relevancy to the needs of the community it purports to serve.
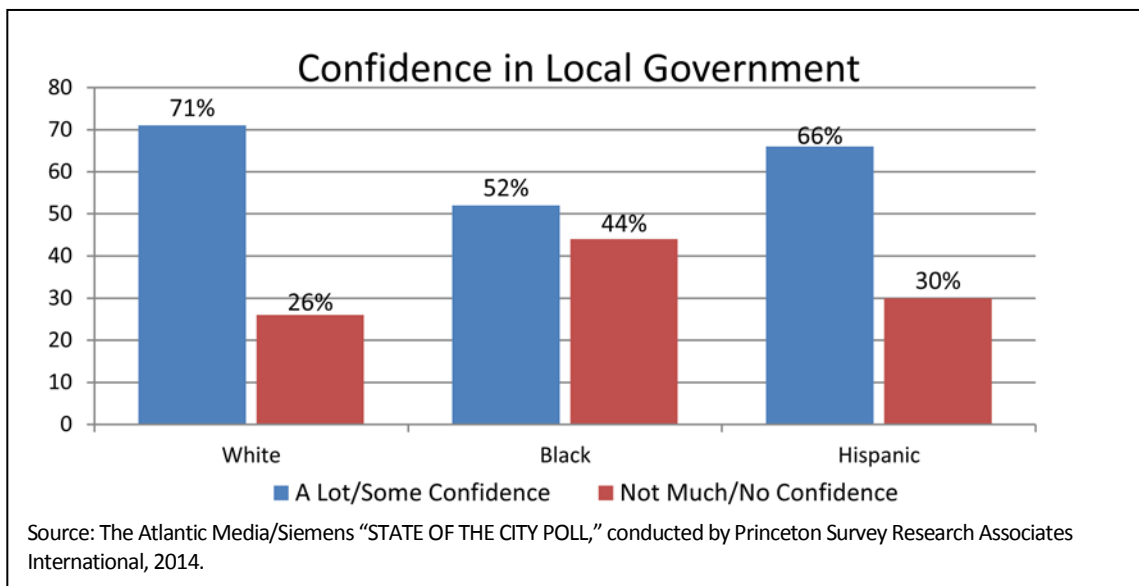

Source: The Atlantic Media/Siemens "STATE OF THE CITY POLL," conducted by Princeton Survey Research Associates International, 2014.

Figure 2: National Confidence Rates in Local Government, 2014

ECONOMIC: Although data show the nation is recovering from the recent recession, it has been slow and uneven; therefore, any environmental assessment will be overshadowed by this single issue. A partial restoration of Local Government Aid (LGA) in 2013 was a significant step towards rebuilding a more stable source of financial support for cities; however, it is offset by the weariness of the property tax base and the correlated pressure to constrain property tax levels. Given years of deferred spending at state and local levels resulting in increasing infrastructure needs, the long-term financial picture remains one of localities stretching

limited resources to cover ever-expanding needs, and thus incremental service improvements will be the norm for the Clerk's Office, except where new or particular one-off services are dictated by policymakers.

DEMOGRAPHIC: The Minnesota State Demographic Center estimates the City's 2014 population at 411,273 residents, and projects continued steady growth during the next two decades. Countering decades-long trends, more Americans are moving into cities rather than suburbs. This growth is projected to continue in the future. According to a recent study, the metro area will grow to 3.67 million residents over the next three decades, a 29 percent increase.[3] This is competitive with the nation's projected growth of 31 percent over the same period, and above average among major metropolitan areas in the Midwest through 2040.

Life expectancy continues to rise. By 2030, one of every five Americans will be 65 or older. Headlined by baby boomers, the longer lifespans of older generations will pressure public services related to senior residents, including health, housing, transportation, and others. Simultaneously, immigration and significant growth in communities of color will significantly affect current and future needs. The U.S. Census Bureau predicts by the early 2040s most Americans will be people of color—referred to as the "emerging majority." Like the rest of the nation, the emerging majority will account for up to 91 percent of population growth in the metro area through 2040; in the urban core, that rate will be even higher. And this growth will largely focus on younger generations.

Source: The U.S. CENSUS BUREAU

Figure 3: Minneapolis Population Growth

Because of their sheer numbers, Generation Y, like the baby boomers before them, will profoundly influence the nation in the 21st century. They are the most racially and ethnically diverse generation; many of them are of mixed races, and are far more aware of and tolerant of differences based on personal identity. They have never known a world without computers; hence, they are highly proficient in terms of technology and adapt well to innovation and change. Generation Y is more environmentally conscious, achievement-oriented, and more politically progressive than prior generations, viewing government institutions as levers to effect social change. The gap between the haves and have-nots of Generation Y is already wide, and in areas like housing, education, and employment, it can be expected to affect the nation's economy in the 21st century.
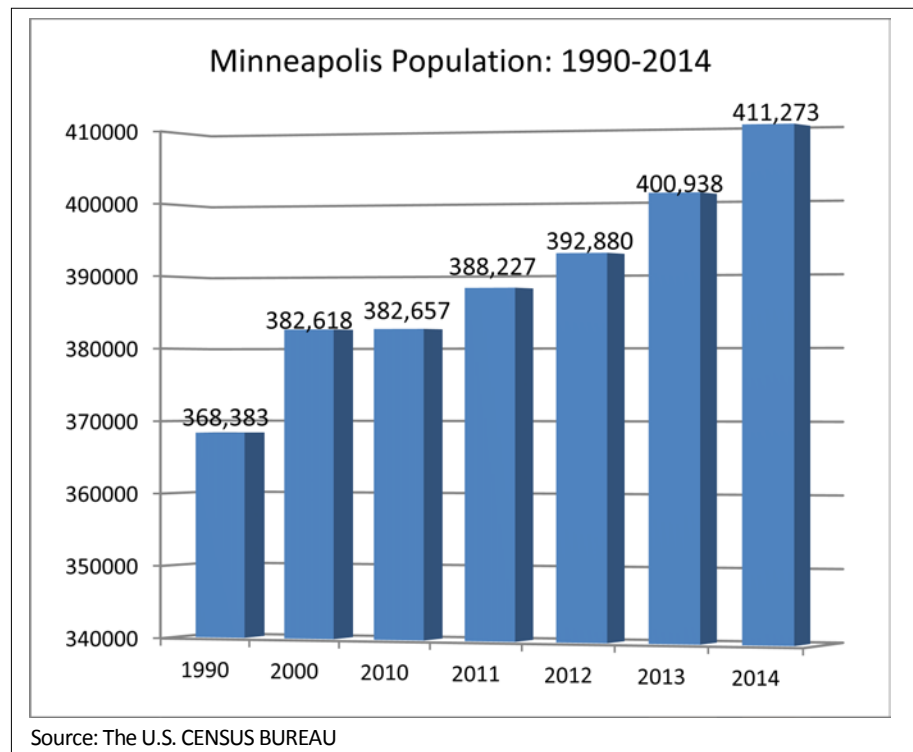
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[3] Metropolitan Council Area Trends, Preferences, and Opportunities: 2010 to 2020, 2030 and 2040, study commissioned by the Metropolitan Council, conducted by Arthur C. Nelson, Ph.D., FAICP, June 10, 2014.

Nationally, non-Hispanic whites are projected to decrease by 2020, but continue to comprise the oldest segment of the population with more traditional, conservative values. Hispanics are projected to account for the bulk of the nation's growth by 2020 as the second largest racial/ethnic group and the youngest segment of the population. By 2030, more than half of all American children are projected to be racial or ethnic minorities, while three of four people aged 65 and older will be non-Hispanic whites. Immigration will be a predominant factor in overall U.S. population growth, accounting for approximately 29 million people, or roughly one in nine Americans by 2020.

These changes will come more slowly to voting-eligible populations than the overall population for a number of reasons. First, many immigrants are not eligible to vote because they are not citizens—a right reserved to citizens in the United

Population by Race/Ethnicity, Actual and Projected, 1960, 2011 & 2050
Percentage of Total

Source: The PEW RESEARCH CENTER
Passel, Jeffrey and D'Vera Cohn. 2008, "U.S. Population Projections: 2005-2050."
Washington, D.C.: Pew Hispanic Center, February: Census Bureau 2011 population estimates.

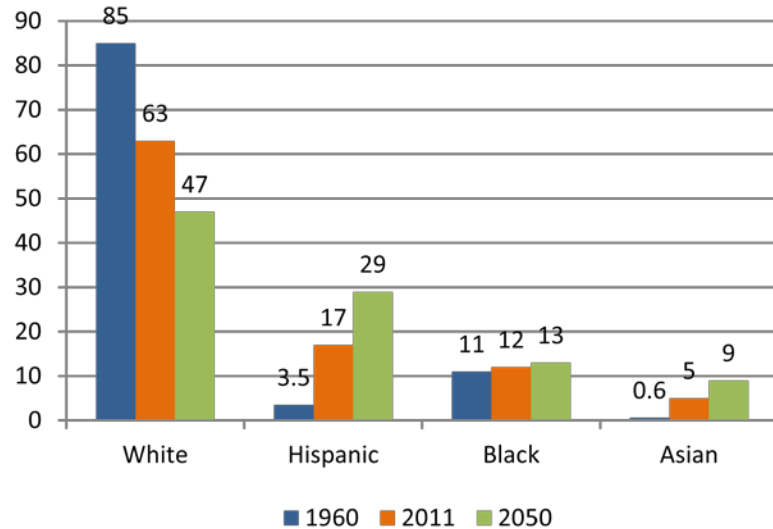**Figure 4: National Demographic Trends**

States. Secondly, the profile of the nation's racial/ethnic minorities is younger than that of the white population, so many of these "potential voters" are not yet old enough to register. Still, the eligible voting-age population will continue to diversify and is expected to become increasingly non-white every year.

INFORMATION, ACCESS & PARTICIPATION: Because it has significant public-facing functions that are integral to connecting residents with government, access to information is central to the work of the Clerk's Office. As noted above, the face of Minneapolis is changing. The public expects more means of direct participation in the co-production of policies and programs that meet their needs. And while generally committed to the values of universality, equity, and accountability, people increasingly favor commoditization of government services and a personalized approach to delivery that is seamless and inexpensive. The public expects faster, more transparent access to unfiltered government data through multiple channels. At the same time, there is growing concern about the protection of private, personally-identifiable information, particularly in the wake of high-profile data breaches involving national and multi-national corporations. All of this creates challenges that require a reassessment of structures, business practices, service delivery, and the ways in which residents are engaged and invited to participate in the work of shared community governance.

At the same time, there are growing segments of the community that do not understand let alone participate in government. In some cases, individuals have self-selected to tune out, turn off, and unplug; in other cases, individuals lack the basic knowledge of how to engage or participate. Civic literacy—that is, the knowledge of how to engage and participate in democratic processes—combined with active participation in civic affairs have long been recognized as primary indicators of a healthy democracy. The challenge is to enhance outreach and

education initiatives so residents are informed about how to engage, have access to the tools required to participate, and are afforded the opportunity to do so with dignity and independence.

TECHNOLOGY: A technology-driven paradigm shift has moved the United States from an economy based on "atoms" (manufactured things) to an economy based on "bits" (digital information). All sectors are challenged to keep pace with rapid advancements in technology. Cheaper, faster, smaller, and more powerful computing capability will integrate new streams of data, connecting devices in novel ways and providing anytime, anywhere access for end-users and consumers. Too often, however, policymakers and the public expect that technology is a panacea automatically resulting in better, faster, cheaper government. These trends—and the challenges associated with them—signal important opportunities to effectively use technology. As the official "keeper of records," the Clerk's Office is ideally positioned to serve as a linchpin in those efforts. Doing so requires investing in new technology, identifying the right tools, and using those tools in the right ways to most effectively maximize the benefit of that technology.

STAFF: The department finds its greatest strengths and most significant limitations in its staff. The entire enterprise has benefited from a long-tenured staff in the Clerk's Office having the requisite skills, technical knowledge, and first-hand experience needed to deliver its core services. Unfortunately, more than half of all employees will qualify for retirement during the next five years. Because there are no succession plans in place, this is cause for alarm. This risk is further exacerbated by the programmatically distinct nature of the department's core services; for example: the specialist knowledge and expertise required to administer elections has no relationship to the technical skills and mastery required to manage corporate information assets, nor does it apply to the procedural knowledge involved in legislative operations. There is not a single recognized educational program specifically designed to prepare an individual for a career as a municipal clerk; thus, there is no obvious and readily available pool from which to draw qualified applicants. The specialized knowledge, expertise, and skills required for the position are learned over the course of many years on the job, much like the apprenticeship model existing in other professional disciplines. Accordingly, the Clerk's Office must develop a comprehensive people strategy to assure it can attract, select, develop, and retain the talent required to carry out its core functions. These efforts have already begun, but more must be done to assure a seamless transfer of institutional knowledge and subject-matter expertise to a new generation of municipal clerks. This will continue to be one of the most critical challenges facing the Clerk's Office.

Positions by Division/Business Line

- Legislative Support & Operations: 16 FTE — 49%
- Records & Info. Mgmt.: 10 FTE — 32%
- Elections & Voter Services: 6 FTE — 19%
- Records Mgmt.: 4 FTE — 13%
- Doc. Sol. Ctr.: 6 FTE — 19%

Risks

As part of business planning, it is important to identify potential risks which could threaten or prevent the department from achieving its objectives, and to put in place plans to manage such risks effectively. Areas of potential risk include but are not limited to:

- Non-compliance with or violation of any legal, policy, regulatory, or procedural requirements imposing service mandates on the department's various business lines;

- Failure in or disruption to any management systems, the operating environment, or core infrastructure;

- Inability to recruit, select, develop, and maintain a workforce capable of meeting department needs;

- Inability to acquire or develop, deploy, and maintain adequate, secure, and appropriate information systems to support the department's business lines;

- Failure, loss, interference or disruption in contract procurement, supplier management, or delivery by departmental suppliers or contractors;

- Inadequacy or failure to plan for, understand, and respond to needs and expectations of the department's customers/clients; or

- Any breach or failure in security requirements, emergency conditions, or attack.

Planning Framework

Beginning in 2014, the Office of City Clerk instituted a planning model aligned with the four-year term of City Council. This model allows the department to anticipate and address cyclical demands and forecast resource requirements. It begins with the induction and organization of a new Council and concludes with the regular municipal election four years later. The period between municipal elections is focused on reviewing and evaluating existing systems, building capacity, and implementing process improvements.

Outcomes & Business Lines

The Clerk's Office contributes to three primary outcomes; specifically:

1) That a democratic system of representative government is achievable;

2) That the municipal government, and its policies and processes, are accessible to the public it serves; and

3) That the people are able to hold the government and its officials accountable for actions and decisions made in their behalf.

The department pursues these outcomes through three primary business lines, broadly corresponding to these outcomes: ELECTIONS & VOTER SERVICES (achievability); LEGISLATIVE SUPPORT (accessibility); and RECORDS & INFORMATION MANAGEMENT (accountability). The OPERATIONS unit contributes to the work of each business line by providing planning, direction, and management support for the entire department.

This strategic framework is represented in the illustration on the following page.

OFFICE OF CITY CLERK

OUTCOMES

Government is Achievable

Government is Accessible

Government is Accountable

BUSINESS LINES

ELECTIONS & VOTER SERVICES

LEGISLATIVE SUPPORT

RECORDS & INFORMATION MANAGEMENT

DEPARTMENT OPERATIONS

GOALS

SERVICE EXCELLENCE

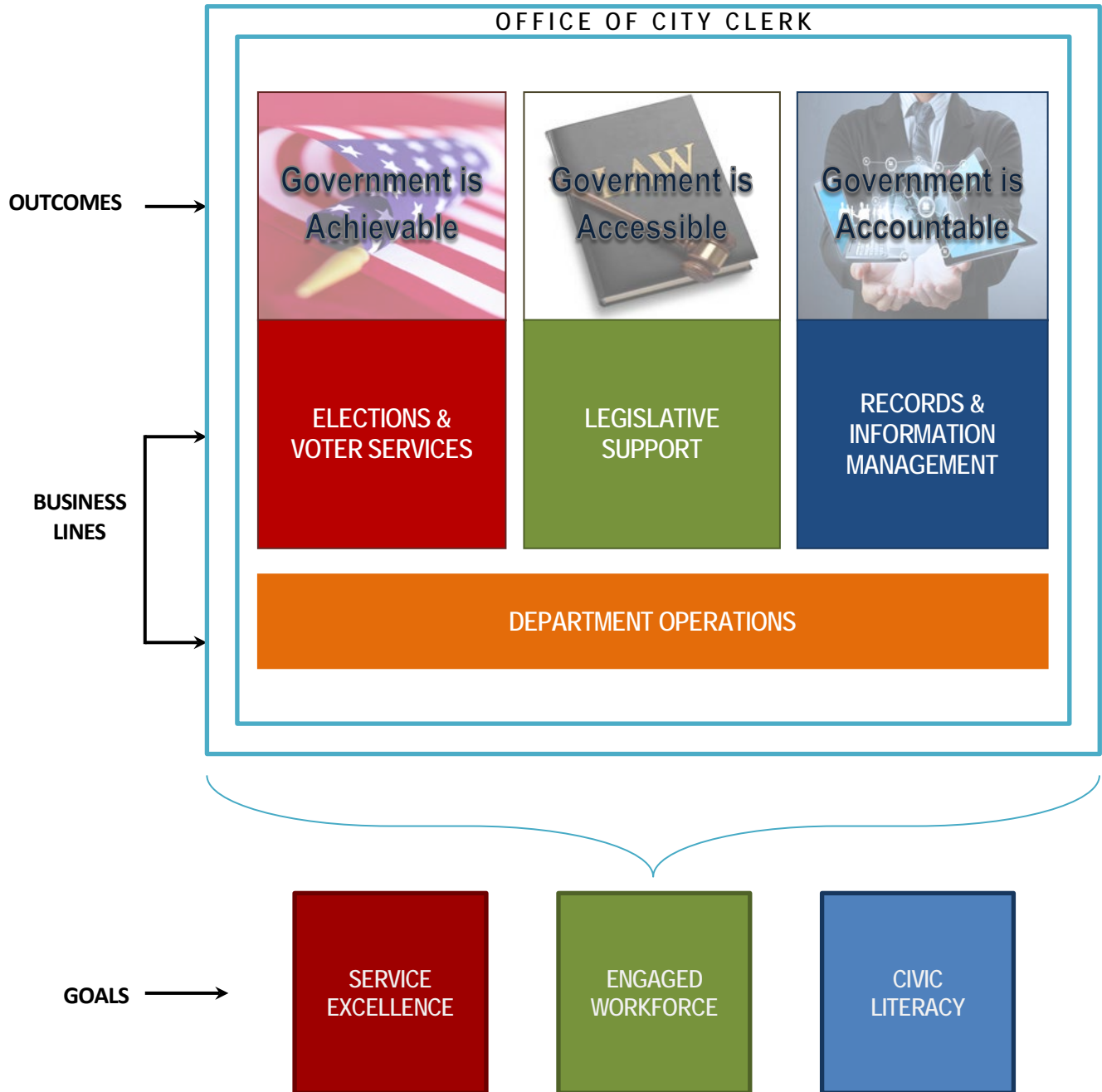ENGAGED WORKFORCE

CIVIC LITERACY

Figure 5: Office of City Clerk Strategic Planning Framework

Goals & Objectives

The Office of City Clerk has identified three unifying goals intended to drive performance in pursuing its mission and outcomes. These goals have been deliberately written as aspirational statements. They are intended to provoke questions about what we do; why; for whom; at what cost; and how to determine if we have been successful. Each goal statement is divided into a series of objectives that are further supported by a variety of tactical plans, activities, and key performance indicators which will be reported on an annual basis. [4]

GOAL 1: SERVICE EXCELLENCE
We set the standard in our industry by exceeding the expectations of those we serve.

"*Service Excellence*," as a business concept, is about anticipating, understanding, meeting and, when possible, exceeding the needs and expectations of the end-user.[5] In that sense, the Service Excellence model challenges us to become the best in the industry, achieving recognition as leaders and standard-setters within our respective lines of business. The foundation for this commitment to excellence is based on two principles. First, as public servants, we are obligated to act in a responsible manner that earns and sustains the trust and confidence of those we serve. Second, as stewards of the public interest, we must maximize the value of our services and products in return for the investment of public monies. By concentrating both on *what* we provide as well as *how* we provide it, the Service Excellence model identifies ways to improve services and service delivery. The corresponding objectives associated with this primary goal include:

Objectives
1. **Continuously monitor policy frameworks governing core services.**
2. **Understand stakeholder perspectives, needs, and priorities to identify opportunities for improvement.**
3. **Ensure services are consistently delivered to established standards.**
4. **Achieve recognition as leaders in our respective fields.**

GOAL 2: ENGAGED WORKFORCE
Together, we empower each other to succeed.

Research has proven that workforce investments lead to enhanced employee engagement which translates to a high-performing, service-oriented culture. The Clerk's Office is fortunate to have a highly engaged workforce, as demonstrated in past employee surveys. But given its programmatically-distinct divisions, a primary challenge is harnessing high levels of commitment at the divisional level and transforming it into a stronger commitment for the entire department. This will be particularly important during difficult transitions, like those anticipated over the next five years when a significant loss of staff (and institutional knowledge) is anticipated due to retirements. A comprehensive people strategy needs to preserve the best of what exists in the department's culture today while fostering innovation and creativity, ensuring appropriate training and professional development, and enriching work relationships and collegiality among all team members.

Objectives
1. **Cultivate ownership of shared success, within the department and across the enterprise.**
2. **Provide employee development opportunities.**
3. **Recognize the contributions of employees.**
4. **Improve connections with the communities we serve.**

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[4] *See* Exhibit B for a complete description of the department's GOALS|OBJECTIVES|TACTICS|ACTIVITIES Framework for the 2014-2017 period.

[5] The Service Excellence model draws upon concepts of Level 5 Leadership, continuous process improvement, a culture of discipline, and customer focus as articulated by Jim Collins in his best-seller *Good to Great: Why Some Companies Make the Leap...And Others Don't* and his accompanying monograph *Good to Great and the Social Sectors*. It is also influenced by the ideas and operating principles described in *The New Gold Standard: Five Leadership Principles for Creating a Legendary Customer Experience Courtesy of the Ritz-Carlton Hotel Company* by Joseph A. Michelli as well as essential strategic planning concepts identified in *Start With Why* by Simon Sinek.

GOAL 3: CIVIC LITERACY
We foster democracy by bringing people and their government together.

Voting is one of the most visible, readily identifiable acts of civic participation. It is frequently considered the *sine qua non* measure of the health of a democracy. But democracy isn't defined by a singular event; rather, democracy is a process – one primarily supported by the Clerk's Office. In addition to assuring free, fair, and equal access to the ballot box, democracy can rightly be measured by meaningful opportunities to engage in, shape, and influence public policies as well as the ability to freely access the laws, policies, and regulations that govern the community. "Civic literacy" is defined as the knowledge of how to actively participate and initiate change in society. At its core, civic literacy is the foundation by which a democratic society functions. Because of its responsibilities for these fundamental democratic processes, the Clerk's Office has an important and direct role in contributing to the enhanced civic literacy of this community.

Objectives
1. **Promote public knowledge of core democratic processes.**
2. **Nurture a culture of electoral engagement.**
3. **Create and support meaningful opportunities for civic participation.**
4. **Champion accessible and accountable government.**

Conclusion

This business plan sets out the strategic goals and priorities for the Office of City Clerk during the 2014-2017 term of City Council. As such, it functions as a shared roadmap beyond day-to-day activities so we can better anticipate and plan for the future. It is important to note, however, that the department is not starting from ground zero with this plan; to the contrary, our core services and programs have existed since the incorporation of the City of Minneapolis in 1867. Nevertheless, this new business plan gives us a refreshed perspective about the enduring value the Clerk's Office provides to the enterprise and to the community it serves; it focuses our collective talents and energies; and it will guide our priorities and action plans.

Of course, there will be changes—and challenges—ahead. We will measure our progress and report on both our accomplishments as well as our continued improvements on an annual basis. These annual reports will provide a baseline against which we can evaluate our effectiveness in meeting and exceeding service expectations, achieving value for the investment of public dollars, and supporting a renewed civic literacy among the many communities which constitute the City of Minneapolis.

The work of the department could not be achieved without the skills, knowledge, and dedication of its staff. I thank them for their continuing commitment.

Respectfully submitted,

CASEY JOE CARL
City Clerk

February 18, 2016

Programs & Services

Following is a sample of programs and services planned, organized, and delivered by the Office of City Clerk through its primary operating divisions.

Elections & Voter Services

The Elections & Voter Services Division enables a democratic, representative system of government to be achieved. Its core purpose is assuring all qualified voters have free, impartial, equal access to the ballot box. The administration of elections is governed by a complex, overlapping framework of federal, state, and local laws and policies, a sampling of which is identified in the table below.

Federal	State of Minnesota	City of Minneapolis
U.S. Constitution – Articles 1 and 2; Amendments 12, 15, 19, 20, 22, 24, and 26	Minnesota Constitution – Articles 1, 4, 5, 6, 7, 8, and 9, and related Notes and Decisions	City Charter – Art. II (Boundaries) and III (Elections)
U.S. Code Title 42, Chapter 20 – Elective Franchise Federal Election Laws, including— ▪ Voting Rights Act (VRA) ▪ National Voter Registration Act (NVRA) ▪ Uniformed and Overseas Citizens Absentee Voting Act (UOCAVA) ▪ Americans with Disabilities Act (ADA) ▪ Help America Vote Act (HAVA) ▪ Voting Accessibility for the Elderly and Handicapped Act	Minnesota Election Statutes— Chapters 200; 201; 202A ; 203B; 204B; 204C; 204D; 205; 205A; 206; 208; 209; 211A; 211B; and 211C Other state statutes related to election administration, including— Chapters 10, 10A, 13, 123B, 126C, 135A, 160, 351, 358, 410, 471, 609, 609B, and 645	Codified Ordinances— Chapters 165; 167; 275; 389.105; 466.280; and 543.380
	Minnesota Election Rules Chapters 8200; 8205; 8210; 8220; 8230; 8235; 8240; 8250; 8255; and 8290.	City Attorney opinions
	Court decisions and actions related to elections	
	Attorney General opinions	
	Secretary of State election rules, regulations, and guides	
	Office of Administrative Hearing (OAH) Fair Campaign Decisions	

Key programs delivered by the Elections & Voter Services Division include:
1. Elections Policy & Intergovernmental Coordination
2. Elections Planning & Operations
    a. Regular and special elections
    b. Polling places
    c. Election judges and seasonal staff
    d. Warehouse operations
    e. Election headquarters
3. Voter Outreach & Education
4. Electoral Boundaries
    a. Redistricting and mapping
    b. Council Wards & Park Districts
    c. Electoral precincts

Records & Information Management

The Records & Information Management Division ensures enterprise information assets are managed effectively in accordance with all legal requirements and due regard for business continuity, accessibility, probity, risk, and economy. Information governance and functions are subject to a number of federal, state, and local laws and regulations, a sampling of which is identified in the following table.

Federal	State of Minnesota	City of Minneapolis
Federal Laws, including— ▪ Federal Records Act of 1950 [44 U.S.C. Chapters 29, 31, 33, 35] ▪ Freedom of Information Act of 1966 [5 U.S.C. 552] ▪ Privacy Act of 1974 [5 U.S.C. 552a] ▪ Copyright Act of 1976 [Title 17, United States Code, Sections 101-810] ▪ Computer Security Act of 1987 [40 U.S.C. 759] ▪ Americans with Disabilities Act of 1990 [42 U.S.C. 12101; 29 U.S.C. 794], and Rehabilitation Act Amendments (1992) [28 C.F.R. Part 35] ▪ Paperwork Reduction Act of 1995 [44 U.S.C. Chapter 35; 61 CFR 6428] ▪ Health Information Portability & Accountability Act of 1996 [45 C.F.R. Parts 160, 162, and 164; 42 U.S.C. § 1320] ▪ Information Technology Management Reform Act of 1996 [40 U.S.C. Chapter 25] and Executive Order #13011 ▪ Voting Accessibility for the Elderly and Handicapped Act	Minnesota Statutes— ▪ Official Records Act: § 15. 17, also §§ 15.163 and 15. 225; ▪ Government Records Act: § 138.17; ▪ Government Data Practices Act: Chapter 13 and Minnesota Administrative Rules Chapter 1205; ▪ Minnesota Electronic Authentication Act: Chapter 325K; ▪ Uniform Electronic Transactions Act (UETA): Chapter 325L ▪ Official Publications Act: Chapter 331A ▪ Minnesota Human Rights Act: § 363A.42 ▪ Charter, Ordinances; Codification As Evidence: § 415.02 ▪ Uniform Business Records as Evidence Act and other evidentiary laws: Chapter 600 (§§ 600.01 to 600.04; *see e.g.*, § 600.135)	City Charter – §4.2(e)(2)(A) (Duties of City Clerk) Various City Policies, including— ▪ Data Practices/Public Access Policy & Procedures ▪ Electronic Communications Policy & Procedures ▪ Enterprise Information Management Policy & Procedures ▪ Open Data Policy ▪ Policy for Printing, Copying, Copier Purchasing and Paper Shredding Recycling Services ▪ Public Access To Public Data Charge Policy ▪ Records Management Policy & Procedures ▪ Social Media Policy & Procedures
Various rules and regulations promulgated by the National Archives & Records Administration, specifically related to local government records [36 CFR Chapter 12, Subchapter B "Records Management"]	Court decisions and actions related to records and information management, access, privacy and disclosure issues, retention, disposition, etc. (more than 400 cases)	City Attorney opinions
	Attorney General opinions (more than 60 opinions specific to records and information management and data practices), pursuant to Minn. Stat. § 13.072 Subd. 1(f)	
	Minnesota Department of Administration – Information Policy Analysis Division Opinions, including— IPAD Opinions 96-048, 96-057, 99-032, 00-010, 01-077, 03-027, 03-034, 04-059, 07-015, 08-026, 13-010	
	State Archives, Minnesota Historical Society guidance, including— ▪ Managing Government Records ▪ Preserving & Disposing of Government Records ▪ Electronic Records Management	
	MN Recordkeeping Metadata Standard – MN.IT IRM Standard 20	

Key programs delivered by the Records & Information Management Division include:
1. Enterprise Information Management
    a. Policy and intergovernmental issues/coordination
    b. Information Governance (IG) direction and support
    c. In-house consultation and projects (department support)
    d. Retention scheduling and disposition
2. Data Access & Privacy – includes data practices coordination

[Records & Information Management key programs – continued]

3. Inactive Records Warehousing
4. City Archives
5. Document Solutions Center

Legislative Support & Operations

The Legislative Support & Operations Division facilitates the governance functions of the City of Minneapolis and delivers various services delegated under state and local laws and regulations. The overall work is subject to a number of legal dictates that drive its day-to-day operation, a sampling of which is reflected in the table below.

State of Minnesota	Minneapolis Charter & Code	Other
Minnesota Statutes— Chapters 2.91; 10A.01; 10A.09; 13D.01; 13D.04; 15.17; 138.163; 138.17; 204B.14; 204B.146; 357.39; 357.41; 358.05; 358.08; 358.09 - 358.15; 358.42 - 358.47; 410.05; 410.11; 410.12; 412.151; 412.191; 412.201; 412.831; 412.871; 415.02; 415.021; 599.13; 600.10; 600.135; 600.22; 645.021; and 645.11	City Charter— §2.2(c), §3.1, §3.2, §3.3, §4.1, §4.2(e)(2), §4.3, §4.1(c), §4.4, §7.1(d), §8.2(a) Code of Ordinances— Ch. 1.60 - 1.100; 14.30; 14.150; 14.180; 15.40; 15.80; 15.210; 16.50; 17.90; 20.10; 24.180; 28.90; 48.20; 50.20; 51.270; 52.290; 56.140; 99.630; 99.770; 128.50; 141.40; 142.30; 142.50; 142.60; 167.90; 171.90; 173.120; 173.380; 188.500; 200.10; 225.25; 242.30; 244.920; 244.930; 244.940; 246.30; 259.10; 267.1910; 271.90; 422.57; 426.40; 431.60; 433.40; 435.20; and 438.50	City Council's *Rules of Order*
Court decisions and actions		City Attorney opinions
Attorney General opinions		
Minnesota Department of Administration – Information Policy Analysis Division Opinions, including— IPAD Opinions 96-048, 96-057, 99-032, 00-010, 01-077, 03-027, 03-034, 04-059, 07-015, 08-026, 13-010		

Key programs delivered by the Legislative Support & Operations Division include:
1. Department Management
2. Policymaking & Governance Support
3. Appointed Boards & Commissions (ABCs)
    a. Open appointments process coordination
    b. ABC staff support and coordination
4. Delegated Services
    a. Board of Appeal & Equalization
    b. Domestic Partnership Registry
    c. Acceptance of legal service/claims (and processing)
    d. Mandated filings—
        ▪ Oaths of Office
        ▪ Statements of Economic Interests (SEI)
        ▪ Conflicts of interest
5. Council Support Services

GOALS | OBJECTIVES | TACTICS | ACTIVITIES Framework

GOAL 1: SERVICE EXCELLENCE
We set the standard in our industry by exceeding the expectations of those we serve.

OBJECTIVES	TACTICS	ACTIVITIES (planned)
1. Continuously monitor policy frameworks governing core services.		
	A. Participate in relevant industry networks to identify, track, and help shape policies that advance the goals and priorities of the City of Minneapolis and, specifically, the Office of City Clerk.	(1) Participate in various industry associations serving municipal clerks. (2) Identify and track relevant policy proposals and, where appropriate, represent the interests of the City of Minneapolis. (3) In partnership with other stakeholders, develop and support policy proposals to advance the goals and priorities of the City of Minneapolis.
	B. Partner with City departments and other stakeholders to identify, track, and help shape policies that advance the goals and priorities of the City of Minneapolis and, specifically, the Office of City Clerk.	(1) Participate in the City's legislative liaison network. (2) Identify and track relevant policy proposals and, where appropriate, represent the interests of the City of Minneapolis. (3) In partnership with other stakeholders, develop and support policy proposals to advance the goals and priorities of the City of Minneapolis.
2. Understand stakeholder perspectives, needs, and priorities to identify opportunities for improvement.		
	A. Invite feedback about services, service delivery, department performance, opportunities for improvement, etc.	(1) Develop and monitor channels for feedback by internal and external stakeholders. (2) Incorporate stakeholder feedback into ongoing business planning efforts, including annual BPI processes, performance evaluations, etc. (3) Close feedback loops with stakeholders through timely response.
3. Ensure services are consistently delivered to established standards.		
	A. Evaluate employee performance against key performance indicators to measure quantitative	(1) Develop, implement, and report performance against key performance indicators (KPIs) for

		metrics in terms of service delivery (quality, accuracy, and responsiveness, etc.). *See* **Exhibit D (Key Performance Indicators) for details.**	each division. (2) Develop, or revise, operating policies, BPI projects, trainings, and other opportunities identified through KPI evaluation with respect to service standards, delivery, and associated performance expectations.
	B.	Conduct a comparative analysis of selected benchmark jurisdictions.	(1) Identify benchmark jurisdictions and baseline comparisons for each division and/or line of business. (2) Complete comparative analysis at least once every four years. (3) Evaluate and, where appropriate, implement improvements based on results of comparative analyses.
	C.	Develop and complete an annual schedule of business process improvements.	(1) Identify a set number of planned business process improvement (BPI) projects each year. (2) Report on selected BPI projects and resulting improvements on a regular basis.
4. Achieve recognition as leaders in our respective fields.			
	A.	Demonstrate leadership in the municipal clerk profession.	(1) Seek out leadership opportunities within relevant industry associations. (2) Achieve (and maintain) professional certifications, credentials, or designations from relevant industry associations. (3) Seek out and achieve peer-recognitions and awards within relevant industry associations.
	B.	Meet, or exceed, relevant industry standards for core programs and services.	(1) Implement industry standards guiding core programs and services, where appropriate. (2) Report performance results against recognized industry standards on a regular basis.

GOAL 2: ENGAGED WORKFORCE
Together, we empower each other to succeed.

OBJECTIVES	TACTICS	ACTIVITIES (planned)
1. Cultivate ownership of shared success, within the department and across the enterprise.		
	A. Invite employees to participate in shaping the future of the department.	(1) Engage employees in decision-making that affects them and their work. (2) Evaluate and respond to target improvement areas identified by employees. (3) Offer all employees opportunities to share and learn about department issues, events, and concerns.
	B. Contribute to the success of the enterprise.	(1) Actively lead, participate in, or support enterprise initiatives and projects.
2. Provide employee development opportunities.		
	A. Provide employees the support needed to be productive and effective in their jobs.	(1) Provide each employee with an annual performance evaluation. (2) Customize employee development plans to meet individual needs, tied to department outputs, goals, and objectives. (3) Provide training opportunities on an equitable basis to expand employees' skills and knowledge base.
	B. Prepare supervisors to lead.	(1) Ensure all supervisors complete appropriate leadership and supervisory training. (2) Provide all supervisors the resources and management support required for success in their leadership roles.
	C. Implement succession plans to ensure seamless leadership transitions and the transfer of institutional knowledge.	(1) Identify key positions and develop appropriate succession plans for each. (2) Identify and develop potential candidates for future leadership positions/opportunities. (3) Maintain sufficient level of in-house specialist expertise in core program subject matters.
3. Recognize the contributions of employees.		
	A. Acknowledge achievements in appropriate ways.	(1) Celebrate individual and team success. (2) Recognize performance that exceeds

		established performance standards.
		(3) Recommend appropriate enterprise awards or recognitions for exemplary individual and team performance.
4. Improve connections with the communities we serve.		
	A. Ensure the workforce reflects the City's demographics.	(1) Use affirmative efforts to attract, train, and develop a workforce reflecting the diverse composition of the City of Minneapolis.
		(2) Develop and improve cultural competencies among all employees through appropriate training and exposure.

GOAL 3: CIVIC LITERACY		
We foster democracy by bringing people and their government together.		
OBJECTIVES	**TACTICS**	**ACTIVITIES (planned)**
1. Promote public knowledge of core democratic processes.		
	A. Provide residents information about how to shape, influence, and participate in municipal policy and operations.	(1) Identify knowledge gaps and information needs within the community and within specific target populations.
		(2) Develop an integrated communications strategy—complemented by appropriate tools and resources—to support outreach, education, and engagement initiatives.
		(3) Identify, build, and leverage partnerships with community stakeholders to advance City goals and strategic directives.
2. Nurture a culture of electoral engagement.		
	A. Make sure all voters are "election ready."	(1) Ensure voters are informed about the basics for every election: dates, timeframes, polling locations, ballot content, and how to properly mark and cast a ballot.
		(2) Identify and remove, or minimize, barriers to full participation in elections.
3. Create and support meaningful opportunities for civic participation.		
	A. Ensure residents can connect with their elected	(1) Support opportunities to strengthen

		policymakers.		connections between elected policymakers and the community.
	B.	Ensure residents can engage in drafting, shaping, and evaluating municipal policies.	(1)	Assure residents have access to the City's core governing documents: the charter, codes, policies, rules, and regulations.
			(2)	Simplify notification processes to ensure residents have opportunities to participate in legislative and policy-making processes.
			(3)	Provide accurate, timely, relevant information in usable formats throughout the legislative process.
	C.	Ensure residents can participate in overseeing the delivery of municipal programs and services.	(1)	Support active participation by a diverse spectrum of the community through the City's appointed boards and commissions.
			(2)	Enhance the ability of appointed boards and commissions to act as key policy advisors through orientation, training, and support.
4.	**Champion accessible and accountable government.**			
	A.	Lead efforts to achieve an enterprise operating culture that is "open by design."	(1)	Establish an enterprise governance framework to identify, capture, and secure information assets, assure business continuity, and comply with all legal and regulatory requirements, industry standards, and recognized best practices.
			(2)	Collaborate with departments to manage data and information as valuable enterprise assets.
			(3)	Partner with the Information Technology Department to leverage new and emerging technologies to manage enterprise information assets more effectively and cost-efficiently.
	B.	Equip departments with the training, tools, resources required to manage information assets.	(1)	Identify, train, and provide ongoing technical support for department-based liaisons assigned primary responsibility for information and data management.
			(2)	Streamline processes to expedite the release of public information while assuring sensitive data is secured and not disclosed.

		(3) Conduct periodic audits to verify departmental compliance with enterprise information management policies.
	C. Empower others to use information assets to discover, explore, and learn about the City of Minneapolis.	(1) Facilitate access to government information to promote awareness of City programs and activities, provide context for government policies and decisions, and chronicle the history of the City of Minneapolis. (2) Identify, accession, and preserve records, artifacts, and materials of permanent historical interest. (3) Cultivate partnerships that leverage City information assets in promoting broader awareness and understanding of the City of Minneapolis.

Exhibit C Page | 1

Key Performance Indicators

The Office of City Clerk is committed to providing services of the highest quality. In each line of business, we have identified a core set of indicators—derived from specific City Goals—which we believe are most important to policymakers and to the people they represent with respect to the strategic outcomes that are delivered by the Office of City Clerk.

Elections & Voter Services

Division:	Elections & Voter Services
City Goal:	One Minneapolis
Strategic Outcome:	A democratic, representative system of government is achievable.
Program:	Elections Planning & Operations
Deliverable:	All eligible voters choosing to participate in an election are able to do so with confidence in the accuracy and integrity of the electoral process.

Indicator	Results
Barriers to full participation for all qualified electors are identified and eliminated, or minimized, including the ability to register.	
Qualified voters are "election ready."	
All qualified voters have free, impartial, and equal access to the ballot box.	
Every ballot cast is accurately and properly counted.	

Records & Information Management

Division:	Records & Information Management
City Goal:	A City That Works
Strategic Outcome:	Government policies, decisions, and operations are accessible.
Program:	Enterprise Information Management
Deliverable:	A comprehensive governance framework that ensures enterprise information assets are effectively managed throughout identified lifecycles.

Indicator	Results
Enterprise information assets are managed appropriately to ensure business continuity, legal and regulatory compliance, accessibility, probity, risk, and economy.	
The enterprise is able to leverage its information assets to monitor and evaluate performance, identify trends, and improve the delivery of municipal services.	

Exhibit C Page | 2

Division:	Records & Information Management
City Goal:	A City That Works
Strategic Outcome:	Government is accountable to the people.
Program:	Data Access & Privacy
Deliverable:	Government data is available to those requesting access within the requirements of the law.

Indicator	Results
Enterprise information assets are made accessible to the public in a proactive, timely, and convenient manner that serves the needs and expectations of the community.	

Division:	Records & Information Management
City Goal:	A City That Works
Strategic Outcome:	Government operations are effective and efficient.
Program:	Production Services
Deliverable:	High-quality, cost-efficient production services that achieve value for the City enterprise.

Indicator	Results
Departments have cost-efficient, effective, and convenient storage and recall support for inactive records as well as timely and appropriate destruction of eligible materials.	
Departments are provided cost-efficient, high-quality document production, delivery, and destruction services.	

Legislative Support & Operations

Division:	Legislative Support & Operations
City Goal:	A City That Works
Strategic Outcome:	Government policies, decisions, and operations are accessible.
Program:	Policymaking & Governance Support (Secretariat)
Deliverable:	Council and committees receive the advice, procedural support, research, drafting, and technical assistance required to perform legislative and oversight functions.

Indicator	Results
Legislative support services are accurate, legally sound, of a consistent professional standard, and provided in a manner responsive to needs and expectations.	
Legislative records are accurate, timely, of a consistent high professional standard, and satisfy all legal and procedural requirements.	

Exhibit C Page | 3

Division:	Legislative Support & Operations
City Goal:	One Minneapolis
Strategic Outcome:	Government is accountable to the people.
Program:	Appointed Boards & Commissions
Deliverable:	Residents have meaningful opportunities to directly participate in shaping the quality of life found in Minneapolis through service on municipal boards and commissions.
Indicator	**Results**
Opportunities to engage diverse priorities, perspective, and positions are optimized to strengthen community connections, improve service delivery, and enhance municipal policies.	

Division:	Legislative Support & Operations
City Goal:	A City That Works
Strategic Outcome:	Government is accountable to the people.
Program:	Department Management.
Deliverable:	Department resources are planned and managed to meet operational requirements within applicable legal and policy parameters.
Indicator	**Results**
Management controls reflecting the highest standards of public sector administration are implemented and enforced, delivering value for the investment of public funds.	

Staffing

City Clerk

Casey Joe Carl

Elections & Voter Services Division

Grace L. Wachlarowicz – Assistant City Clerk / Director of Elections & Voter Services
      Barbara Suciu – Elections Administrator
      Tim Schwarz – Elections Administrator
      Chris Irving – Elections Administrator
      Justin Adams – Elections Administrator
      Vacant – Elections Administrator

Records & Information Management Division

Christian N. Rummelhoff – Assistant City Clerk / Director of Records & Information Management
      Josh Schaffer – City Records Manager
            Kristen Olson – Records Management Specialist
            Robert (Bob) McCune – Records Management Specialist
      Roger Williams – Supervisor, Document Solutions Center
            Kris Seelig – Production Technician
            Jim Midthun – Production Technician
            David Gagner – Production Technician
            Vacant – Production Technician
            Vacant – Production Technician

Legislative Support & Operations Division

Anissa N. Hollingshead – Management Analyst
Peter J. Ebnet – Management Analyst
Vacant – Management Analyst
Grant E. Johnson – Manager, Information Technology
      Char Peterson – Operations Technician
Jackie Hanson – Supervisor, Legislative Support & Operations
      Irene Kasper – Committee Coordinator
      Peggy Menshek – Committee Coordinator
      Diana Armstrong – Committee Coordinator
      Kelly Geistler – Committee Coordinator
      Sybil McMillan – Information Specialist
      Colleen Peltier – Information Specialist
      Anita Roby – Information Specialist
      Sue Iaquinto – Program Assistant (City Clerk)
      Vacant – Program Assistant (City Council)