

Management Committee

Meeting date: September 14, 2011

ADVISORY INFORMATION

Date:	September 14, 2011
Subject:	Approval of Document Management Policy (3-9)
District(s), Member(s):	All Members
Policy/Legal Reference:	Minnesota Statute 473.125
Staff Prepared/Presented:	Paul Conery, Director Budget and Operations
Division/Department:	Regional Administration/Budget and Operations

Proposed Action

That the Metropolitan Council approve *Policy 3-9, Document Management Policy* to provide guidance to staff in implementing the Council's document management program.

Background

The Metropolitan Council has invested in a document management system that will scan, retrieve and retain records in an electronic format, with the long-term goal being to maintain all Council records in an electronic format and to implement streamlined workflow business processes.

This proposed Policy states that the Council will consider an electronic copy of a record to be the official copy, unless there is a statutory requirement calling for a paper copy. The proposed Policy also states that if the law requires that a record be retained, it can be retained in electronic format. Finally, the Policy allows the Council to recognize an electronic signature.

The Council's document management system will improve efficiency, improve access to records, provide consistency in storage and filing, reduce costs of paper storage and will increase security and disaster recovery protection.

Rationale

Minnesota Statute 473.125 requires the Regional Administrator to submit for approval by the Council the administrative policies of the Council.

Funding

No impact

Known Support / Opposition

None



POLICY – Document Management Policy

Section/Number:	3-9	Total Pages:	2
Dept. Responsible:	Budget and Operations/Finance Department	Effective Date:	September 2011
Special Note:		Revision No.	

- I. Policy:** Minnesota Statute section 15.17 subd. 1 requires the Metropolitan Council to make and keep all records necessary for a full and accurate accounting of its activities. These records and all related documents and files will be managed in a prudent, cost effective and efficient manner. To assist in this effort, the Council has invested in a content management system that enables the agency to scan, retrieve, and retain records and documents in an electronic format.

The **long-term goal** of this system is to maintain all Council records that are in its physical possession in an electronic format and to implement workflow business processes. The Metropolitan Council will consider an electronic copy of a record the official copy of that record, unless there is a statutory or regulatory requirement for a paper copy.

If the law requires that the record be retained, that requirement will be satisfied by retaining an electronic copy of the record (Minnesota Statute section 325L.12 (a)). Excepted from this provision are certain real estate records and transactions under the Uniform Commercial Code (Minnesota Statute section 325L.03)

Records are retained according to their content and the official retention schedules of the agency can be found at: (<http://councilinfo/records/schedules.asp>). Once a paper document has been successfully converted to electronic format, the paper copy becomes a convenience copy and only needs to be maintained until indexing of the electronic record is verified. The Metropolitan Council will no longer pay for off-site storage of paper records once they are created, stored or maintained in an electronic format. However, if there are legitimate business reasons and/or statutory requirements for maintaining the paper copy in **addition to** the electronic copy, these instances must be approved by the Records Coordinator in consultation with the appropriate Manager.

The length of time that a record must be kept is determined by business needs, any applicable federal and state laws and regulations, audit requirements and historical significance. Managers are responsible for making these determinations in consultation with the Records Coordinator.

For purposes of business workflow processes, if a provision of the workflow requires a signature, an electronic signature satisfies that requirement (Minnesota Statute section 302A.015 subd. 2(4)).

II. Purpose of policy: The purpose of this policy is to ensure that the Metropolitan Council's business records and documents are managed and stored in a consistent and cost-effective manner and format that is easily accessible to staff, with adequate back-up protection.

III. Background and reasons for policy: The Metropolitan Council has determined that maintaining and storing documents in an electronic format and managing business workflow electronically has many advantages to the agency, such as:

- Improved efficiency of business operations
- Improved access to records
- Consistency in storage and filing
- Enhanced ability to share documents
- Reduced costs of in-house and off-site storage
- Increased security and disaster recovery protection

III. Implementation: Implementation of this policy will be Council-wide, with the Budget and Operations unit of the Finance Department responsible for developing implementing procedures and ensuring compliance.

Implementing Procedures:

To be developed