



Memorandum

TO: MAKING GOVERNMENT
WORK BETTER COMMITTEE

FROM: LEE PRICE, MMC
CITY CLERK

SUBJECT: CITY CLERK TECHNOLOGY
AND AUTOMATION PROGRESS

DATE: April 13, 2006

RECOMMENDATION

Accept this Progress Update and provide direction, as appropriate.

BACKGROUND

The City Clerk is one of six City Council appointees. The Office of the City Clerk provides strategic support services to the legislative body, facilitating interaction between the legislative process and the community. The Office also conducts elections for Mayor, City Council and various ballot measures. The duties of the Clerk are outlined in the City Charter, the California Government Code, the San José Municipal Code and the Council Policy Manual. All City departments contribute to the City Clerk's delivery of services to the community.

In the Mayor's June 2004 Budget Message, the Manager was directed to provide \$85,000 in FY 04-05 to fund an immediate implementation of an aggressive automation and electronic filing system because the City Clerk has "the need for automation, training, software and equipment". The objective was to enable the Office to streamline the agenda and minutes preparation processes, automate as much as possible highly paper and labor intensive systems, provide cross training and begin electronic filing of important documents like campaign finance statements. For FY 05-06, the technology budget was increased to approximately \$153,000.

On March 17, 2005, the Making Government Work Better Committee reviewed processes and practices in place in the Office of the City Clerk, received a status report on efforts to streamline and improve efficiencies in the Office, and considered a "menu of options" for the use of the technology budget. The Committee recommended that the City Clerk move forward with the following projects, using the City Clerk Technology Budget:

1. Negotiate and execute a contract with NetFile¹, a unique, outside source for internet-based electronic filing and online viewing service for campaign finance disclosure and lobbyist registration/activity statements (\$40,000 annually).

¹ NetFile is the only company of its kind; is a Secretary of State-approved vendor; and provides contract services to the County of Santa Clara and many other cities including Santa Clara, Anaheim and San Diego.

2. Issue an RFQ for codification services to put the Council Policy Manual on-line (\$5,000 initially; on-going costs minimal).
3. Approved computer upgrades for the Office of the City Clerk (source of funds: ITD).
4. Issue an RFQ for new paper records filing system in the NCH (\$5,000 one-time).
5. Continue working toward a better solution for searching the City Clerk's website (source of funds: ITD).

Of the \$85,000 originally budgeted for technology, \$50,000 was approved by the MGWBC.

The Committee also recommended that the City Clerk forward to the City Council a list of unfunded priority projects, which are summarized as follows:

1. Convert legacy systems, including the citywide contracts database and the Council legislative history database (could be the same solution).
2. Explore agenda management (workflow) technology options.
3. Digitize or otherwise convert ordinances, resolutions and contracts.
4. Using an outside service provider, video stream Council meetings on the web².
5. Develop on-line filing capabilities for board and commission applicants.

As directed, the City Clerk forwarded to the City Council the projects described above in a memorandum dated May 17, 2005.

Blue Ribbon Task Force identified another need:

At the final meeting of the Blue Ribbon Task Force, the Clerk was given direction to explore the additional cost to add on-line filing of Statements of Economic Interests (Form 700). NetFile has provided an estimate of \$12,800 per year. In the Mayor's June 2005 Budget Message, the City Clerk and City Manager were directed to develop a cohesive plan to implement on-line reporting for campaign finances, Form 700 filings, and officeholder fundraising. The goal of this direction is to reduce the need for paper reporting, improve staff efficiency, and enhance public transparency.

Improvements and Progress to-date:

Since March of 2005, the Office of the City Clerk has made the following progress:

1. On-Line Filing: An agreement with NetFile was negotiated and executed. Voluntary filing on-line of campaign disclosure statements began with the first pre-election campaign statements for current candidates in March of 2006. Campaign committees who own third party software, as well as those who wish to use the free on-line filing system provided via access to the City's hosted service, may file their statements on-line, in addition to on paper. The public can view these statements by visiting the City's website and they are able to search the database for information. For example, it is

² Although the Council meetings were streamed live on the web, the meeting videos were not electronically archived until August of 2005.

possible to query the system for the name of a specific contributor and find out if a contribution has been made by that contributor to one or more candidates.

NetFile is currently expanding the system to allow on-line filing of lobbyist activity reports and it is anticipated that lobbyists will be able to file on-line statements for the second quarter of the year, due on July 15th. Once the vendor has completed this phase of the contract, they will begin work on system enhancements that will enable the Mayor and Council Members to file semi-annually fundraising solicitation reports.

2. Codification of the Council Policy Manual: The Council Policy Manual was first compiled and distributed in 1970. It contains many outdated policies and has never been reviewed in a comprehensive manner. Maintenance of the Manual was transferred from the Office of the City Manager to the Office of the City Clerk in 1986 and updates to the Manual have been tracked and distributed by the City Clerk since that time. Some policies, especially those that have been added or amended in the last 8 years, were created in MS Word and may be available in electronic form from the department that drafted the policy. However, the majority of the policies were typed on obsolete equipment and there is no existing electronic record of those policies.

Over the past several months, staff has been working on a Request for Qualifications designed to convert the paper version of the Manual to an electronic format so that it can be more easily edited and distributed. Our intent is to treat it just like the Municipal Code and have a regulatory code publishing company maintain the Manual, in both paper and electronic formats. Since beginning work on the procurement documents, "Sunshine Reforms" have been introduced and include a suggestion to post on-line the Council Policy Manual. The reforms were referred to an internal working group, which includes the City Clerk, and after further discussion it was determined that there are significant concerns with posting outdated, antiquated and or no longer applicable policies. It may not be prudent to post on-line all the policies before conducting a comprehensive review. Reviewing the entire Manual and amending it as appropriate prior to distribution will be a major work effort for the City and may take from 6 months to a year to do.

When it became apparent that there were two directions: 1) from the MGWBC to move forward with the RFQ, and 2) from the internal working group the suggestion to conduct a comprehensive review of all the Council policies before posting them on-line, we gave some additional thought to how to construct the RFQ. The document now includes a phased-in schedule and responses to the RFQ are due May 17, 2006. The selected publisher will be required to scan, edit and prepare an electronic version of all existing Council Policies (approximately 550 pages), in MS Word 2003 format, and provide the City with a reproducible CD-ROM version of the complete manual as it exists today. This conversion product will be utilized to separate and distribute the Policies to the appropriate departments for review and recommendation as to disposition.

Assuming Council gives direction to proceed with a comprehensive review and update, we will be prepared to provide the selected publisher with updated policy documents for publication in batches that will be determined during the review and update process. Upon completion of the update/editing process, the selected publisher will be required to provide an edited, codified, indexed and printed Policy Manual in loose-leaf, 3-post, style binders similar to the current Municipal Code binder. The publisher will also host the Manual on the web, using appropriate software for searching and printing. Additionally, the Manual will be available in CD-ROM format for those preferring that version.

Subsequent updates to the Manual will be handled in the same manner as updates to the Municipal Code. We will provide the publisher with the changes adopted by Council and the publisher will update the web version of the Manual and will print supplement pages for insertion in binders, approximately twice a year.

3. New Computers: Information Technology replaced computers in the Office shortly before the move to the New City Hall. An additional scanner and two more laptops have been purchased to increase efficiencies and operate new meeting management software in the Council Chambers and “Granicus”, which is described below.
4. Video archiving: In June 2005, the City Council approved the acquisition of a system for video streaming, archiving and recording all City Council meetings, including Council Committees and study sessions. The system, which is provided by a contract with Granicus, is a hosted web service which was installed at New City Hall last summer. The City began using the system with the first City Council meeting in the new Council Chambers in August of 2005. The system allows for live on-line viewing of meetings in progress as well as the opportunity to watch (or re-watch) the meeting “gavel to gavel” any time from any computer thereafter. The system archives the meeting video along with the linked agenda for that meeting, which includes related staff reports, attachments, presentations, and other items submitted either before or during the meeting, and the meeting synopsis (summary of actions taken on all agenda items). The system enables users to “jump to” a particular item immediately without having to wade through the entire meeting. Simply stated, by using the City’s website, an individual may pull up any minute action, staff report and the video discussion of the item any time, day or night. This new technology provides precise and transparent access to all the information on demand and has made more efficient the preparation of Council and Council Committee meeting minutes.
5. New Paper Records Filing System: In conjunction with the move to NCH, the paper filing system used in the Records Division of the Office (which is responsible for the filing, maintenance and retrieval of a multitude of vital records) was modernized. Antiquated four-drawer filing cabinets that used up valuable floor space and were busting at the seams were replaced with new open, lateral shelving. An inexpensive consulting contract enabled us to design a new, color-coded filing system using web-based software and a new color printer. The transition tripled file storage capacity, makes locating records easier and is safer for employees to use.

6. Web Search Engine: Although this Office has made great strides in posting on-line many more documents, the website still lacks a good search engine. Information Technology/Finance released an RFQ for a web search engine, but only two responses were received. IT is still in the process of reviewing the proposals and looking at options. This Office continues to advocate for a better search engine and has agreed to partner financially with IT, if necessary.

7. A Technology Master Plan: The existing methods for accomplishing the Office of the City Clerk's core service, "to facilitate the City's legislative process" are an attempt to update a legacy system while using other newer technology including word-processing, the Web, imaging, E-mail, and application-specific search techniques. Without a technology plan, this Office has been using any and all tools available to get the job done (and we do it well despite the challenges), but the results have been processes that are highly compartmentalized, labor intensive, and in some cases duplicative. During the past six months, the City Clerk has participated in an organizational-wide effort to develop a Draft Information Technology Master Plan. This important work memorializes and elevates the needs of this Office. An excerpt of information provided to IT for inclusion in the Draft Master Plan, as it relates to the Office of the City Clerk, is attached as Exhibit 1. Key *unfunded* needs identified in last year's report to the MGWBC are included in the Draft Master Plan and are summarized as follows:
 - a) Workflow technology and software to streamline the Council agenda process is desperately needed. Without it, our Office is left to archaic "copy and paste" techniques and/or lots of re-typing; neither of which are efficient.
 - b) As already mentioned, an improved, robust website search engine is needed.
 - c) Implementation of an integrated electronic document management system (EDMS) would streamline contract tracking, legislative indexing and the Council agenda process, as well as improve customer service by providing easier access to vital information. A good EDMS is not inexpensive but could be accomplished in one of two ways: 1) by designing a system customized to the City of San Jose's needs; or 2) by purchasing "off the shelf" a software package designed for such use by a legislative body. It is important to emphasize that the acquisition and implementation of an EDMS is a *citywide* need---and not just limited to the Office of the City Clerk (although we would be an excellent pilot project!).
 - d) A "front end" user interface for "Superlog", the proprietary database used exclusively in the Office of the City Clerk to index contracts and legislative actions needs to be designed, programmed or otherwise acquired to make the data accessible to all and to allow search capability on the fly. Future tracking of contracts could be done with another program or a module of an EDMS, but without it, we must identify an interim solution as well as a long-term solution for the 3 different "modules" of Superlog.

For contract tracking, a city-wide program is sorely needed. With the right EDMS, the contract and its status could be tracked and searched City-wide. Any solution would require collaboration with most, if not all, departments. For the legislative history and the Ordinance & Resolution log (which the Clerk is required by law to maintain), the solution *could* be different, but it should be an integrated, Web-based system that offers the ability to share this information with the organization and the public. Currently, staff in the Office of the City Clerk and in Information Technology is working together on an in-house, interim solution.

- e) A copier with scan to email functionality (*with OCR*) would save this Office many steps (literally). Currently we send out to Kinkos/FedEx on site council-related memos and wait for them to come back, then we scan them to post and then we walk copies over to the Towers for distribution. Purchasing is currently working on a city-wide copier replacement project that may provide us with this capability.
- f) This Office still has the need to accept on-line applications for boards and commissions and have the data go right into our database (to develop mailings lists and rosters; and to track terms). Additionally, on-line filing of claims, Elections Commission complaints, and requests for records under the Public Records Acts would be a significant service to the public and a time-saver for staff. Resources, however, still have not been identified.

Conclusion:

The Office will continue to work on current projects, like on-line filing, the codification of the Council Policy Manual and agenda process re-engineering as well as partner with Information Technology to keep moving forward. We have achieved much and while there is still much to do, one of the most important accomplishments this year has been the work to document and include in the city-wide Draft Technology Master Plan the needs of this Office. Having a “road map” is the first step in reaching the goal line.

LEE PRICE, MMC
City Clerk

Attachment: Exhibit A

**CSA Technology Master Plan Interview
Summary of Questions and Answers
Office of the City Clerk**

Please describe how you use technology in your operations.

Desktop Applications: As an office-based, strategic support department, all staff members rely on desktop computer functionality and telephony to do their jobs. We heavily rely on e-mail and voice mail for intra and inter-office communication. We frequently use Outlook calendaring, contacts, and other functions for organizing and scheduling work. Desktop applications for word processing, spreadsheets and databases are indispensable. Copiers, scanners and a fax are used frequently but we look forward to acquisition of multi-function devices in 2006 to replace aging, single function office machines.

The “Superlog”: The Office of the City Clerk has new computers but some outdated systems. Unique to the Office is legacy software applications that are not found elsewhere in the City, in particular a database to track the status of all citywide contracts that are processed in this Office. “Superlog”, designed in 1988 by a contract software vendor, has 3 modules: 1) to track citywide contract status, disposition and file location; 2) to document City Council meeting actions (aka “legislative history”) and the file location of the accompanying documents; and 3) to summarize Council ordinance and resolution titles. Updates and program enhancements are difficult (or impossible) and despite the fact that the database has recently been converted to an Oracle platform, there is no user interface to make the information more accessible. The entire organization has interest in the information in this database yet it cannot be shared or easily queried to satisfy the needs of the City. Further, the program (basically unchanged since 1998) is not user friendly, has limited functionality and very few employees have the ability to use it.

In addition to contract indexing, the legislative history resides in the same old technology. The same software vendor designed a module of the database to replace the 1957 legislative history card index system. Council meeting minute actions were indexed by subject with a brief summary of the action typed in the appropriate index card and filed chrono-logically by subject. The 1988 legislative database uses the same subject codes and the Council actions summaries are keyed into the computer. This existing module (like the contract indexing module) uses terminal emulation software.

Web Resources: The Office relies on the City’s website for information dissemination and document posting, including frequent updates to Council meeting agendas, packets, synopses and minutes. Documents such as the Municipal Code and the City Charter are available on the web, as are various forms such as Commission applications and claim forms. The forms can be filled out on-line; however, there is no way to submit them electronically. Much of the content posted on the web by the Office is accessed both internally by City staff and externally by the public and media.

The I.T. Department dedicates web resources and a technician (backed up by others on the web team) posts agendas for the City Council and council committees. In addition, the tech updates the council agenda and creates numerous links to the various agenda memos. This is done weekly. Web techs also provide additional support by updating numerous pages on the Clerk's website.

Scanners: The office has, in addition to a scanner for the web tech, one additional desktop scanner (and one is on order) to help facilitate the process of sharing documents with others in the organization. The scanner is used primarily in support of the Council's mandate to respond quickly to requests for records under the Public Records Act. Documents scanned are generally sent to the City Attorney, the City Manager and other city departments, as appropriate. In addition, Rules Committee-related documents are often scanned and shared with the Mayor/Council, City Attorney, and others in the administration.

New this year: Following the move to NCH, we contracted with Granicus to provide live web-streaming of Council and Committee meetings and indexed archives of the meetings stored on the web for 24/7 access after each meeting.

We have also contracted with NetFile for on-line campaign disclosure and lobbyist registration/activity reporting, but the system is still being tested and isn't expected to go live until next month. When operational, candidates and lobbyists will be able to file their reports on line and the public will have access to the filed reports 24/7.

Identify Technology Strengths (How does technology help you now?)

- The acquisition of the Granicus solution (videostreaming/archiving + the ability to view agendas, the council memos, as well as the closed caption transcript all while watching the video) has been a positive advancement in the Office that is serving the organization and the public very well (although it's still a bit of a secret --- we need to spread the "word"!)). This was accomplished because of the cooperation and collaboration of my Office, the City Manager's Office (specifically Civic Center TV staff) and ITD (to provide adequate storage).
- Having desktop scanners enables us to share documents with the organization quickly, which is a plus given our physical distance between offices.
- As previously stated, computer applications, telephones, voice-mail, fax and the Internet are all technological resources used heavily on a day-to-day basis by every member of the team.

Identify Technology Weaknesses (How is Technology failing you?)

- The existing methods for accomplishing the Office of the City Clerk's core service, "to facilitate the City's legislative process" are an attempt to update a legacy system while using other newer technology including word-processing, the Web, imaging, E-mail, and application-specific search techniques. Without a technology plan, this Office has been using any and all tools available to get the job done (and we do it well despite the

challenges), but the results have been processes that are highly compartmentalized, labor intensive, and in some cases duplicative.

- Workflow technology and software to streamline the Council agenda process is desperately needed. The unwillingness of key staff to share documents on line continues to surprise me. There appears to be security and other concerns that prevent people from *even* testing any of the standard methods for document sharing that Word provides, let alone exploring more sophisticated applications for the agenda process that would elevate the PC from a fancy typewriter to a really useful tool. Therefore, our Office is left to “copy and paste” techniques and/or lots of re-typing; neither of which are efficient.
- Although this Office has made great strides in posting on-line many documents, the website lacks a good search engine. (IT/Finance just put out an RFQ for web search engine, so hopefully there will be success in the near future in this area).
- PeopleSoft has a custom component that enables my staff to mark which employees are considered “designated employees” for the purpose of filing statements of economic interest under City and State law and then to track who has filed and when.

Identify Technology Opportunities (What could technology do for you?)

- Implementation of an integrated electronic document management system (EDMS) would streamline contract tracking, legislative indexing and the Council agenda process, as well as improve customer service by providing easier access to vital information. A good EDMS is not inexpensive but could be accomplished in one of two ways: 1) by designing a system customized to the City of San Jose’s needs; or 2) by purchasing “off the shelf” a software package designed for such use by a legislative body. The problems with the first option are costs to design and for ongoing maintenance, as well as risking the chance of ending up (once again) with a unique, legacy system. The problems with the second option are that there are not many vendors who are experienced in designing, selling and maintaining software for a complex legislative process and, obviously, the cost.

It is important to emphasize that the acquisition and implementation of an EDMS is a citywide need---and not just limited to the Office of the City Clerk (although we would be an excellent pilot project!).

- A “front end” user interface for the proprietary data base (contracts and legislative indexing) needs to be designed, programmed or otherwise acquired to make the data accessible to all and to allow search capability on the fly. Future tracking of contracts could be done with another program or module of an Electronic Document Management System (see discussion below). A few departments (PRNS for example) have expressed a desire to partner and may have financial resources available to assist with programming and/or acquisition. As we move to better technology, we must plan for the conversion of this important information to ensure continued access. A new system is desperately needed to conduct research of prior Council actions and locate related documents. Like the contract indexing program, a user-friendly interface is needed to provide easy access

by others in the organization to the data. Although others could have access to the database now, they would first need to buy the software and then gain necessary permissions to access the system. Because the program is so difficult to use, there is little, if any, interest in doing so. A new system is desperately needed to conduct research of prior Council actions and would increase staff productivity and efficiency.

Simply stated: We need 2 things to solve the problem:

1. An interim solution to extract all the old entries (for contracts, legislative history, and ordinances & resolutions) and the ability to put all that data into a new database that can be used by everyone.
 2. A long-term solution for the 3 different “modules” of the Superlog. For contract tracking, a city-wide program is sorely needed. With the right EDMS, the contract and its status could be tracked and searched City-wide. Any solution would require collaboration with most, if not all, departments. For the legislative history and the Ordinance & Resolution log (which the Clerk is required by law to maintain), the solution *could* be different, but it should be an integrated, Web-based system that offers the ability to share this information with the organization and the public.
- A copier with scan to email functionality (*with OCR*) would save my Office many steps (literally). Currently we send out to Kinkos council-related memos and wait for them to come back, then we scan them to post and then we walk copies over to the Towers for distribution.
 - This Office has the need for the capability to accept on-line applications (for boards and commissions) and have the data go right into our database (to develop mailings lists and rosters; and to track terms). Additionally, on-line filing of claims, Elections Commission complaints, and requests for records under the Public Records Acts would be a significant service to the public and a time-saver for staff.
 - A user-friendly interface with FMS, or whatever replaces it, would make obsolete the task of printing out FMS reports to use to create easy to read expenditure reports we prepare for the Mayor and Council Offices.
 - There have been numerous requests by the public to be placed on a Council meeting “subscription” service, both for people who want to automatically receive the Council agenda electronically each week (without us having to e-mail it to them) and to allow people to enter a subject or location and request notification every time that subject is on the agenda.

Identify Technology Threats (For example, aging desktops?)

- Cost is the greatest challenge.
- The organization as a whole resists process changes. Significant “buy-in” is critical to success.

What is your 5-year technology vision of your group?

- A citywide EDMS designed, acquired and implemented.
- Council/Committee agenda/memo creation software that integrates with Granicus and EDMS.
- A “virtual vault” on the website with a fast, user-friendly and effective search engine.

What is your 1-year technology vision of your group?

- An interim solution for contracts and legislative history database. While it is unlikely that a citywide solution to records management will be in place in one year, there is a need to stop using the old, proprietary system. It’s like a big black hole. It makes no sense to continue to spend time entering information into a system that only three or four employees (who will retire in the next couple of years) know how to use. The information cannot be shared or accessed by others at this time. An interim/temporary method is needed that would lend itself to easy conversion when a more robust and user-friendly system is available.
- Implementation of web search engine (a result from the current RFQ process).
- Scan to email functionality.

Do you have any current technology-related projects? Cost?

This Office is funding a consultant to complete a needs analysis and prepare plans and specifications for a citywide EDMS. The goal is a phased-in plan with this Office as the (or one of the) “pilot” departments. (\$30,000)

This year we will be looking for an outside service to codify the Council Policy Manual and host it on-line similar to the Municipal Code (\$5,000 initially; \$2,500 annually on-going).

Do you have any planned technology-related projects? Cost?

No, not at this time; more research is needed to determine solutions/cost.

Summarize how technology might help you:

As previously mentioned, this Office supports the Mayor/Council and organization as a whole. Processes are complex, time-consuming and are in need of automation. Technology will streamline operations and provide us with the ability to serve our customers (internal and external) much faster.

Project List

	<u>Technology Initiative</u>	<u>Priority (hi, med, lo)</u>	<u>Estimated Cost</u>
1.	Consultant – EDMS	High	\$30,000
2.	Implementation of Granicus Minutes Maker	High	\$12,000
3.	Agenda-management software	High	unknown
4.	Codification of Council Policy	High	\$5,000
5.	Conversion of Contracts/Legislative History Database	High	unknown
6.	Permanent solution for tracking Contracts	Med	unknown
7.	Permanent solution for legislative history	Med	unknown