



CITY CLERK DEPARTMENT
Long Beach, California

R-11

LARRY HERRERA
City Clerk

July 12, 2011

HONORABLE MAYOR AND CITY COUNCIL
City of Long Beach
California

ADMINISTRATIVE DIVISION

Monique De La Garza
Administrative Officer

ELECTIONS BUREAU

Poonam Davis
City Clerk Bureau Manager

LEGISLATIVE BUREAU

Merianne Nakagawa
City Clerk Bureau Manager

RECOMMENDATION:

Receive and file the City of Long Beach report to the Legislature: Statement of Economic Interests (SEI) AB 1921 (Davis) Electronic Filing Pilot Project.

DISCUSSION

Under the Political Reform Act, local public officials are required to complete and file paper SEI Form 700s with local filing officers annually by April 1 of each calendar year, and when a filer assumes or leaves a designated office or position. Designated filers also include candidates for local elected offices during a municipal election cycle. Typically, designated filers must disclose their personal assets and income, and if necessary, disqualify themselves from participating in decisions that may affect their personal economic interests.

The City of Long Beach co-sponsored the introduction of Assembly Bill (AB) 1921 (Davis) in order to participate in the Form 700 electronic filing pilot program authorized by AB 2607 (Chapter 498 of 2008). AB 1921 was approved by the Governor on July 9, 2010, and was enacted into law, effective January 1, 2011. The City of Long Beach is the only California city participating in the pilot program along with four counties.

As a result of our participation in the pilot program, the following performance results and benefits were achieved:

- Of 1,316 filers, 95% filed on-time;
- A 14% decrease in late filers down from 26% in 2009;
- As a result of electronic submittal, 328 hours in productivity savings by not having to inspect and scan filings;
- Reduction in the occurrence of amendments by virtue of the SEI system's ability to allow users to view and easily carryover prior year filing information; and
- More effective interaction with filers, filing officials and the public, as well as more efficient, timely and complete dealings with late filers.

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Without a modern SEI IMS, and AB 1921 SEI authorization for electronic filing, the budget and human resource constraints faced by the City Clerk Department would have negatively impacted the quality of SEI program administration. Furthermore, without electronic filing, the demands of SEI administration would have competed for resources allocated to municipal elections, citywide records management, and the City's legislative process.

At this time in our Department's history, AB 1921 electronic filing, as authorized under AB 1921, is the correct solution to doing more with less in an era of reduced budgets while simultaneously promoting compliance with the Political Reform Act of 1974. Electronic filing, as pioneered by AB 1921, should be extended on a permanent basis as an efficient option for the processing of SEI forms at the local government level.

TIMING CONSIDERATIONS

The AB 1921 Electronic Filing Project Report was submitted to the Fair Political Practice Commission (FPPC) on July 1, 2011. The FPPC is required to review and, in turn, transmit the agency reports to the Legislative Analyst's Office (LAO), along with any comments, no later than August 15, 2011. The LAO is then required to provide a report to the Legislature evaluating the pilot program no later than February 1, 2012.

FISCAL IMPACT

None

SUGGESTED ACTION:

Approve recommendation.

Respectfully submitted,



LARRY HERRERA
CITY CLERK

Attachments:

City of Long Beach, Report to the Legislature:
Statement of Economic Interests (SEI) AB 1921 (Davis) Electronic Filing Pilot Project



CITY OF LONG BEACH REPORT TO THE LEGISLATURE: STATEMENT OF ECONOMIC INTERESTS (SEI) AB 1921 (DAVIS) ELECTRONIC FILING PILOT PROJECT

Mayor and City Council

Bob Foster, Mayor

Dr. Robert Garcia, 1st District

Dr. Suja Lowenthal, Vice Mayor, 2nd District

Gary DeLong, 3rd District

Patrick O'Donnell, 4th District

Gerrie Schipske, 5th District

Dee Andrews, 6th District

James Johnson, 7th District

Rae Gabelich, 8th District

Steven Neal, 9th District

Robert E. Shannon, City Attorney

Prepared By: Office of the City Clerk

June 30, 2011

333 West Ocean Boulevard

Long Beach, California 90802

(562) 570-6101

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PROGRAM SUMMARY

In May 2009, the City of Long Beach City Clerk Department began the installation of a new Statements of Economic Interests (SEI) Information Management System (IMS) (developed and hosted by SouthTech Systems) in order to more efficiently process 2009 filings. This project was undertaken so that the City Clerk Department could adjust to the impact of budget reductions totaling \$620,928 over four fiscal years.

In anticipation of a successful implementation, the City of Long Beach co-sponsored the introduction of Assembly Bill (AB) 1921 (Davis) in order to participate in the pilot program authorized by AB 2607 (Chapter 498 of 2008). AB 2607 authorized the counties of Los Angeles, Merced, Orange and Stanislaus to accept electronically filed Form 700s in lieu of filed paper forms. By being added to the AB 2607 pilot program under AB 1921, the City Clerk Department sought to take advantage of the SEI IMS's capacity to accept electronic filings, as was being done in Orange County.

With the authority to accept electronic filings, the City Clerk Department sought to:

- Further enhance compliance, accountability and understanding of the Political Reform Act and SEI filing and disclosure requirements;
- Strengthen the established SEI IMS business rules and process workflows, with capacities for increased transparency and compliance monitoring;
- Further reduce or flatten operating costs, as compared to previous operational models based on archaic silo-bound technology; and
- Apply SEI IMS productivity savings towards other workload demands, i.e., municipal elections, citywide records management, campaign finance reporting, and support of the City's legislative process.

AB 1921 (Chapter 58 of 2010) was approved by the Governor on July 9, 2010, and was enacted into law, effective January 1, 2011.

PURPOSE

As required by existing law, this report is submitted by the City of Long Beach City Clerk Department to meet its obligation to report on its administration of the AB 1921 SEI Electronic Filing Pilot Project. In addition to the City of Long Beach, other pilot project jurisdictions include the counties of Los Angeles, Orange, Santa Clara, and Ventura.

As required by AB 2607, the contents of this report include a listing and estimate of operating performance in the following areas:

- Associated operational efficiencies and related savings;

- Implementation and operational cost of the pilot program;
- Safety, security and privacy measures applied;
- Information related to electronic filing participant attitudes; and
- Other relevant information concerning pilot program implementation.

With a determination that the five SEI electronic pilot programs are indeed successful, the Legislature will then have a basis by which it can decide whether to permanently authorize electronic filing of Form 700s at the city and county government levels in California.

This report for the City of Long Beach covers the single filing period for calendar year 2010 (January 1, 2010 to December 31, 2010).

Background

Under the Political Reform Act, local public officials are required to complete and file paper SEI Form 700s with local filing officers annually by April 1 of each calendar year, and when a filer assumes or leaves a designated office or position. Designated filers also include candidates for local elected offices during a municipal election cycle. Typically, designated filers must disclose their personal assets and income, and if necessary, disqualify themselves from participating in decisions that may affect their personal economic interests.

In the City of Long Beach, the City Clerk Department retains the original statements of economic interests and the City Clerk may impose upon an individual a fine for any statement filed late. The fine is \$10 per day, up to a maximum of \$100. Late filing penalties can be reduced or waived under certain circumstances.

If the City Clerk's efforts to obtain filing compliance are not successful, persons who fail to file their Form 700 in a timely manner may be referred to the FPPC Enforcement Division (and, in some cases, to the Attorney General or district attorney) for investigation and possible prosecution. In addition to the late filing penalties, a fine of up to \$5,000 per violation may be imposed.

Every person serving as mayor, city council member, planning commissioner, city attorney, city manager, or city treasurer must file his or her original signed Form 700 directly with the FPPC. In these instances, the City Clerk coordinates submittal to the FPPC.

Paper-Based Filing for 2009 (SEI Reporting Year 2008 and Earlier)

Prior to the City of Long Beach's procurement of an SEI IMS in 2009, the filing of Form 700s was administered in paper-based mode with manual filing systems, along with list tracking as supported by an archaic Microsoft Access database. Because the database

was siloed away from the City's technology networks and the Internet, it could only support simple list checking and linking of scanned images.

In the City Clerk Department's opinion, deficiencies in the 2009 (and earlier) paper-based operational mode were compounded by the relative obscurity of SEI filing requirements and filing due dates, turnover amongst filers and departmental filing officials, and the cumbersome distribution of paper instructional packets and forms.

Prior to launch of the new SEI IMS in 2009, City Clerk staff expended scarce labor and budget resources reworking filer transactions and creating redundant monitoring schemes. For example, in some cases, without the sending of SEI materials via certified mail, filer excuses that correspondence was not received would only lead to more unnecessary debate, rework and delay.

In the final analysis, it is the City Clerk Department's view that a paper-based operation often results in the organizational conditions that filing officers and filing officials must battle, such as:

- Confusion amongst filers resulting in form completion errors;
- Inability to produce cost-effective SEI management reports for purposes of compliance monitoring;
- Increased delay in completing biennial reviews to capture department reorganizations and designated title changes;
- Lower levels of compliance in the timely completion of assuming and leaving office statements, compounded by budget and workforce reductions, and
- A sense of loathing and procrastination amongst filers and departmental filing officials when faced with annual deadlines.

Pre-Pilot Online Form Completion For 2010 Filings (SEI Reporting Year 2009)

In May 2009, the City of Long Beach City Clerk Department determined that procurement of an SEI IMS would improve management of Form 700 filings and the related processes. As initially envisioned, the goals of the 2009 SEI IMS Project were to:

- Establish an SEI IMS based on business rules and process workflow, with capacities for increased transparency and compliance monitoring;
- Enhance compliance, accountability and understanding of the Political Reform Act and SEI filing and disclosure requirements; and

- A reduction or flattening of SEI program operating costs.

In researching how to meet the foregoing goals, City Clerk Department staff consulted with Darlene Bloom, Clerk of the Board, to determine whether the Orange County SEI IMS (SouthTech Systems) could be used in the City of Long Beach. As a part of this endeavor, we also reviewed the functionality and security requirements shown in Appendix A – Benefits of Automation in Fulfilling Filing Officer and Filing Official Responsibilities and Appendix B – AB 1921 (Davis) Security Assessment Checklist.

With the reallocation of existing budget appropriations, the City Clerk Department contracted with SouthTech Systems for provision of a hosted service at an annual cost of \$16,164.

As part of the implementation process, the City Clerk Department worked with reporting agencies and departments to provide system training to ensure effective use of the new SEI IMS. At this stage of the project, Robert E. Shannon, City Attorney, and Heather A. Mahood, Chief Assistant City Attorney, provided invaluable support and guidance.

Once installed, the new SEI IMS provided filers with the choice of either completing their forms online or manually. Filer support features of the new SEI IMS were:

- 24/7 global access to filer accounts, and necessary forms and instructions, thereby minimizing the chance of lost instructions, cover pages and related schedules;
- Online and video assistance in the preparation of the Form 700 and related schedules;
- Automatic population of the Form 700 cover page with regard to jurisdiction, adopted designated position, filer name and address, and schedules completed;
- Printing of completed forms and schedules for signature and submittal to the City Clerk; and
- Archival of personal asset and income information for filer carryover to subsequent filing years as might be necessary.

For the 2009 filing year, the new system yielded an on-time filing rate of 72% (822), with a late filing rate of only 26% (306), and a minimal non-filing rate of 2% (21), see Appendix C – AB 1921 Workload Statistics 2009-2010.

Key system features that generated the foregoing performance improvements were as follows:

- Management of department disclosure codes, filer account records and letter templates;

- Timely email distribution (to all filers and filing officials) of SEI filing instructions, due dates, and other requirements;
- In instances of online form completion, capture of filer information and linking to each filer's SEI account;
- Centralized and department level real-time monitoring of filing compliance on a citywide, departmental or individual filer basis; and
- Production of management reports for compliance reviews, filer outreach, and error reconciliation.

In order to utilize the new system's capacity to accept electronic filings, the City of Long Beach co-sponsored introduction of AB 1921 (Davis). Other AB 1921 co-sponsors included the counties of Santa Clara and Ventura, and the California Association of Clerks and Election Officials.

PROGRAM REPORT

Pilot Year 2011 Filings (Reporting Year 2010)

The AB 1921 SEI Electronic Filing Pilot Project covered the filing period of January 1, 2010 through December 31, 2010 and involved 1,316 filers across 25 departments and 38 boards and commissions (see Appendix D – City of Long Beach Reporting Agencies). The City Clerk Department began electronic filing on February 1, 2011.

For the first year, electronic filing was offered to all annual filers, except Government Code Section 87200 filers.

Listing and Estimate of Associated Operational Efficiencies and Related Savings

Within the City Clerk Department, there are two permanent staff-filing officers assigned to logging and tracking 1,316 filers.

As shown in Appendix C – AB 1921 Workload Statistics 2009-2010, more than 60% (773) of 1,298 eligible filers chose to file electronically as authorized by AB 1921.

As a result, the following performance results and benefits were achieved:

- Achievement of a 95% on-time filing;
- A 14% decrease in late filers down from 26% in 2009;
- As a result of electronic submittal, 328 hours in productivity savings by not having to inspect and scan filings;

- Reduction in the occurrence of amendments by virtue of the SEI system’s ability to allow users to view and easily carryover prior year filing information; and
- More effective interaction with filers, filing officials and the public, as well as more efficient, timely and complete dealings with late filers.

Listing and Estimate of Associated Costs from Implementing and Operating the Pilot Program

Pre-Pilot Year 2009

To implement the new SEI IMS in 2009, the City Clerk Department contracted with SouthTech Systems for system hosting. The annual cost for hosting was \$16,164. City Clerk Department staff performed system set up and testing at a cost of \$109,446 (see Table 1). Existing budget appropriations supported all cost.

Pilot Year 2010

During the first year that filers were able to electronically submit their Form 700s, the City Clerk Department SEI program costs were reduced to \$45,400 from \$87,942 in 2009 (See Table 1).

As shown in Table 1, the AB 1921 SEI Electronic Filing Pilot Project resulted in a productivity savings of \$42,542 by reducing the number of hours necessary to staff the SEI filing process. These productivity savings exceeded previous savings estimates by more than \$26,542; and are even more significant in light of budget reductions of \$620,928 over four fiscal years.

AB 1921 Pilot Staff and Software Savings
Calendar Years 2009 to 2010

Table 1

Description	2008	2009	2010	Savings
Staffing Hours	1,488	1,435	584	850
Staffing Costs	\$74,446	\$71,778	\$29,236	\$42,542
Software	35,000	16,164	16,164	0
Total	\$109,446	\$87,942	\$45,400	\$42,542

The costs shown above are for the City Clerk Department only. Cost and costs savings experienced by City departments were not tracked.

Listing of the Safety, Security or Privacy Issues Encountered and How Issues Were Addressed

The City of Long Beach SEI IMS is a hosted solution, similar to the hosted solution used in Santa Clara County.

As part of the procurement process for this system, the City's Technology Services Department conducted a security assessment. The scope of the security assessment included a comprehensive review of the application architecture, the data to be stored on the application server at the vendor site, the data to be transmitted between the application and the City, and the user authentication process. As a result of that assessment, the City's Technology Services Department determined that the vendor's system and hosted solution met all the City's applicable security requirements. Those requirements, encompassing detailed policies, are listed in the Appendix B – AB 1921 (Davis) Security Assessment Checklist.

It should be noted that the City of Long Beach benefited from system security audits previously conducted jointly by the third party vendor and Orange County in advance of their implementation. Those security audits demonstrated full compliance with State requirements. It should also be noted that since system implementation, the City of Long Beach encountered no safety, security, or privacy problems.

The following represents the security measures used by the City of Long Beach and SouthTech Systems related to software design, system architecture, and communication protocols.

Software Design

The SouthTech Systems SEI IMS consists of two main modules:

DisclosureDocs – Filing officer automation that allows management of information regarding enumeration of positions, disclosure categories, designated filers accounts, notices, correspondence, forms, and department biennial disclosure code reviews.

eDisclosure – Provides filer with a secure internet filing account to complete Form 700s and maintain copies of all filings. The module offers filers the option of carrying over previously filed schedule data from year-to-year, as may be necessary. This environment also provides filing officials with the ability to track and update information on a filer, e.g. current position (that matches adopted code), date started, date left office, movement from one position to another, agency address, and phone number. This functionality facilitates database accuracy, as well as automatic email notification to filers when pending assuming, annual, or leaving office statements may be required.

The software also allows for a method of electronically preparing code amendments and transmitting those amendments to the City Clerk Department for final review and adoption by the City of Long Beach City Council.

Finally, it should be noted that the public kiosk module of eDisclosure provides the public with a means by which to view Form 700 filings on a terminal in the City Clerk Department.

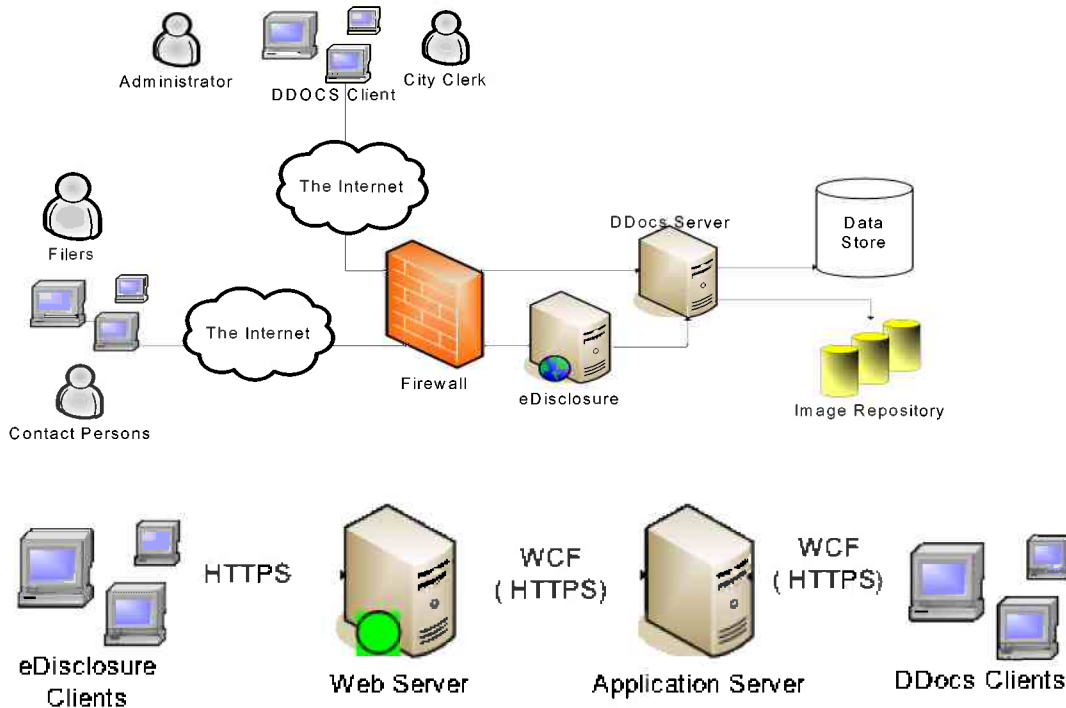
The SEI IMS is highly secured against unauthorized access or malicious intrusions by the use of Secure Socket Layer (SSL) technology for purposes of user authentication and transaction support. A diagram of the SouthTech hosting environment is shown below.

Security Design

Filer privacy was maintained throughout the pilot. Only filers, filing officials, and filing officers were able to securely access filed Form 700s. Filing officials had access to generate reports for agencies or for Public Records Act requests. During years 2009 and 2010, there were no security breaches.

SEI Information Management System

SouthTech eDisclosure and Disclosure Documents Hosted Environment



Security is further enhanced by the use of Windows Communication Foundation and helps strengthen security with regard to: login name/password authentication, server authentication of provided credentials against database, role based authorization, and message and data encryption before storing to database and image repository.

Listing of Feedback from Electronic Filing Participants

Pilot Year 1

A survey was offered to all filers that completed an electronic filing for year 2010. Electronic filers participating in the survey gave the SEI IMS a 72% satisfaction rating.

See Appendix E – AB 1921 Online User Survey, for a summary report of the filing survey.

Other Relevant Information

Other notable improvements to the SEI filing process resulting from the AB 1921 SEI Electronic Filing Project can be highlighted as follows:

- Integrating of Human Resources Department payroll information (which contains departmental position titles and employee names) into SEI system tables to ensure that designated positions, employee names, and disclosure categories match on a centralized and departmental level; and
- 100% compliance in the filing of leaving office statements in 2010. See Appendix C – AB 1921 Workload Statistics 2009-2010.

Conclusion

The City of Long Beach has successfully implemented its AB 1921 SEI Electronic Filing Pilot Project in order to meet its responsibilities under the Political Reform Act of 1974.

In the City of Long Beach, the Pilot Project yielded \$42,542 in productivity savings as well as significant operational efficiencies for designated filers and department filing officers.

The new SEI IMS also increased filer awareness of Form 700 rules and requirements, and improved tracking for local filing officials of their own individual agency filers. As filers and filing officials continue to integrate their SEI responsibilities with their jobs, savings in staff time and overall costs will further improve.

With the use of modern technology to simplify compliance with the Political Reform Act, local governments can generate productivity savings that would otherwise be consumed by paper-based processes.

Without a modern SEI IMS, and AB 1921 SEI authorization for electronic filing, the budget and human resource constraints faced by the City Clerk Department would have negatively impacted the quality of SEI program administration. Furthermore, without electronic filing, the demands of SEI administration would have competed for resources allocated to municipal elections, citywide records management, and the City's legislative process.

At this time in our Department's history, AB 1921 electronic filing, as authorized under AB 1921, is the correct solution to doing more with less in an era of reduced budgets while simultaneously promoting compliance with the Political Reform Act of 1974. Electronic filing, as pioneered by AB 1921, should be extended on a permanent basis as an efficient option for the processing of SEI forms at the local government level.

Appendix A

Benefits of Automation in Fulfilling Filing Officer and Filing Official Responsibilities (as defined in 2 CCR 18115)

Filing Officer Responsibilities	
Responsibility	Automation Efficiencies
<p>(a)(1) Supply the necessary forms and manuals prescribed by the Fair Political Practices Commission.</p>	<p>The automated system provides online interactive forms with step-by-step written and video instructions.</p>
<p>(a)(2) Determine whether the proper statements have been filed and whether: (A) The cover sheet includes the name and address of the filer, the period covered and type of statement; (B) The summary page is completed, and the required schedules are attached as indicated; and (C) All information is legible, and readable reproductions of the statement can be made.</p>	<p>The automated system prompts each filer to fill out the required statement and pre-fills the cover page with the appropriate information, eliminating the need to review the cover page on efiled forms. As all information is digitally populated into efiled forms, each statement is legible and reproducible.</p>
<p>(a)(3) Promptly notify the filer if a statement does not satisfy the requirements of subsection (a)(2).</p>	<p>As the requirements of subsection (a)(2) are automatically completed by the system, there is no need for City Clerk staff to contact the filer of an efiled form for this purpose.</p>
<p>(a)(4) Review the information contained in at least 20 percent of the statements which are filed on time, at least half of which must be selected on a random basis, and the information contained in all statements which are filed late, to determine whether: (A) The summary page is completed correctly, and all schedules applicable to the filer are either attached or checked "no reportable interests." (B) The attached schedules include all required descriptive information for each financial interest. (C) Information contained on one schedule suggests that required information is omitted on either that schedule or another schedule.</p>	<p>The automated system simplifies the review process. Prior to allowing electronic submission, the system reviews the filing for missing information and prompts the filer to correct errors, reducing the kinds of errors that must be reviewed by staff. In addition, when submitting electronically all prepared pages are automatically submitted, thereby eliminating the issues with missing pages that can appear on paper forms.</p>
<p>(a) (5) Promptly notify the filer if the review of the schedules indicates that the filing is incomplete or incorrect in any material respect.</p>	<p>Use of the online system allows City Clerk staff to easily notify the filer via email of any needed corrections; it also allows the filer to prepare most amendments using the online interface.</p>

Filing Officer Responsibilities	
Responsibility	Automation Efficiencies
(7) Compile and maintain a current list of all statements filed with the office.	A list of filers and concurrent statements are maintained automatically within the database.
(1) Forward the statements to the filing officer no later than five days after the filing deadline or five days after receipt in the case of a statement filed late. The official shall indicate the date of the agency's receipt on the face of the statement and shall also make and retain a copy of each statement forwarded to the filing officer.	Each form submitted electronically is automatically sent to the filing officer at the time that the filer submits it, and the date and time of filing are automatically stamped on the cover page. The filing official and the filing officer both have access to a scanned image of the efiled form. The filing official does not need to forward an efiled statement.
(2) Supply the necessary forms and manuals prescribed by the Fair Political Practices Commission.	The automated system provides online interactive forms with readily accessible instructions.
(3) Notify the filing officer of the following events within ten days of their occurrence: (A) An election held in the jurisdiction, the names of the candidates, the persons elected, and the office to which each person was elected; (B) A vacancy in an office; and (C) Any other event affecting filing obligations.	Filing officials are given access to a special interface within the automated system that allows them to add new filers, track existing filers, and indicate when filers leave office. When a filing official's list of filers is updated in the automated system that information is saved in the City Clerk's Form 700 database, eliminating the need for additional notification.
(4) Notify the filing officer no later than February 1 of each year of the names and positions of every person whose statements must be forwarded to the filing officer.	By keeping track of filers throughout the year in the automated system, a filing official has this information readily available.
(5) Compile and maintain a current list of all statements forwarded to the filing officer.	Filing officials are able to run reports that reflect the forms received by the filing officer or that remain outstanding for each agency.

Appendix B

AB 1921 (Davis) Security Assessment Checklist

Briefly describe the purpose of the application. Include an overview of the application architecture, and identify the data that will be 1) stored on the application server at the Vendor site, and 2) that will be transmitted between the application and the City. Also include information on the user authentication process.

DISCLOSUREDOCS™

MANAGING THE BUSINESS PROCESS OF THE FPPC MANDATED CONFLICT OF INTEREST CODE/FORM 700

DisclosureDocs components are developed using Microsoft .Net 3.5 Visual Studio in C++ language. It consists of the following components:

1. DisclosureDocs Service – runs on hosted server. Provides Web Services to our client using MS .NET Windows Communication Foundation (WCF)
2. DisclosureDocs Client, runs on City workstations, connecting to DisclosureDocs Service over HTTPS WCF.
3. eDisclosure – Web Site running on hosted IIS site. Provides an https web site with 2-factor authentication of users. Users are filing officials and filers. Filers will use eDisclosure to file their Form 700.
4. MS SQL 2005 DisclosureDocs Database – running on City hosted solution. All Disclosure data resides on this database.

Description of City Requirement	Details on How Vendor Meets Requirement
The Vendor has a written Disaster Recovery Plan that offers a viable approach to restoring operations following an emergency situation.	SouthTech provides full hosting of application with full disaster recovery over multiple physical data centers.
The Vendor site has adequate, redundant physical and/or logical network connectivity to ensure continued operations following a network failure.	Vendor offer hosting of our application through Hosting.com Cloud Virtual hosting environment. Guaranteed 24/7 with full redundancy and disaster recovery.
Backup media are treated with a level of security commensurate with the classification level of the data they contain.	All backed up data is fully encrypted.
Vendor servers are closely monitored for both performance and availability.	Vendor monitor servers as well as Hosting.com personnel.

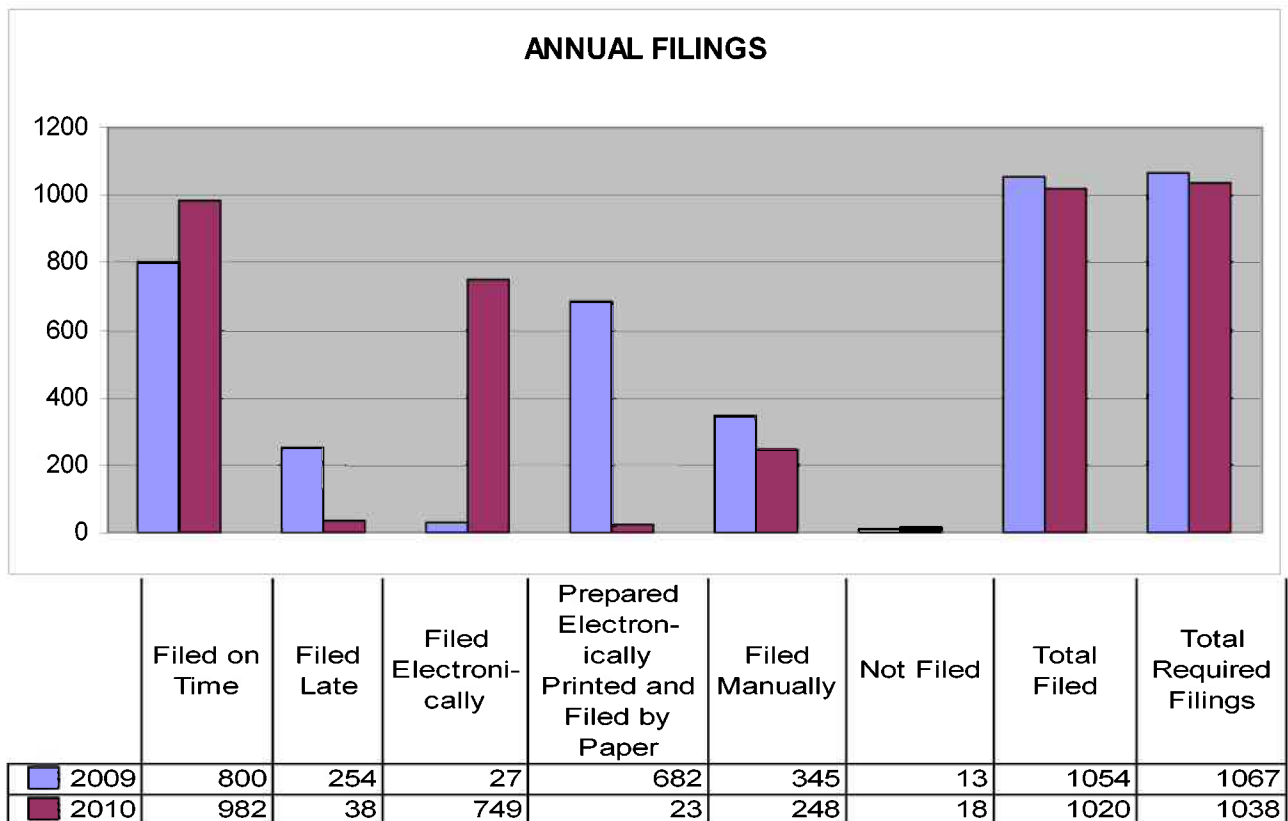
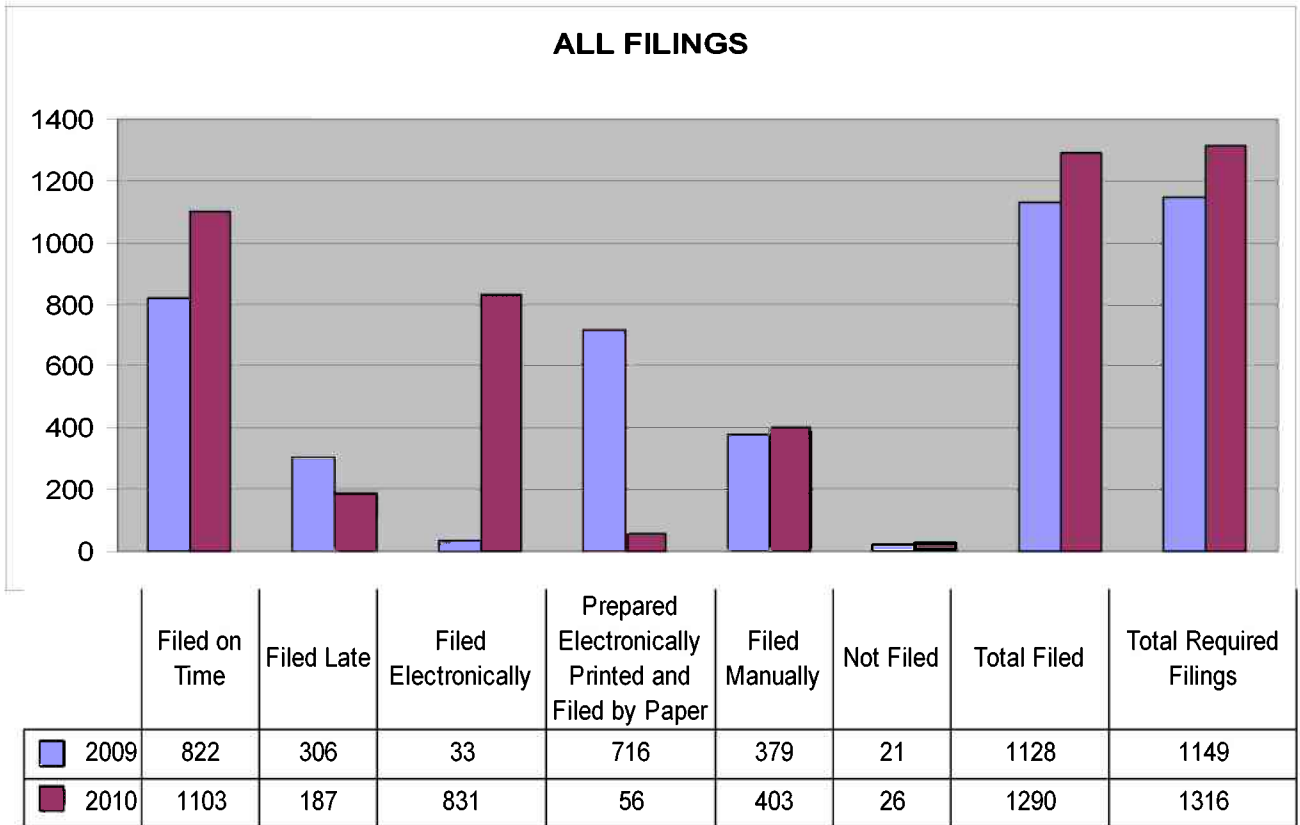
Description of City Requirement	Details on How Vendor Meets Requirement
<p>If users access the application directly on the Vendor server, user authentication involves more than a simple User ID/password combination, such as one-time password technology.</p>	<ul style="list-style-type: none"> • User login is 2-factor authentication. • Passwords are encrypted, and never in clear text. • Password is provided only to the user, and no one else, even an administrator does not have access to the filer’s password. • Password change is controlled, and password complexity is enforced.
<p>Once granted access, Users are limited to authorized activities only; i.e., customers are prevented from accessing either applications or data that belong to other customers.</p>	<p>Each Customer has a separate database. Customers do not share any database objects.</p> <p>Users do not have direct access to data. Users only have access through the DDocs client. No data resides on workstations.</p>
<p>Vendor network connectivity is protected by firewalls, intrusion detection/ prevention systems, etc. designed to protect against attack.</p>	<p>Data center is fully protected.</p> <p>Fully redundant routing and switching executed with Cisco routers and Juniper firewall hardware.</p>
<p>The equipment hosting the Department’s application is located in a physically secure facility that employs access control measures, such as badges, card key access, or keypad entry systems.</p>	<ul style="list-style-type: none"> • Dell Chassis • Supermicro Chassis • Powered by Intel Microprocessors • Dual Core or Quad Core Processors • SATA & SAS Hard Drives • RAID for Every Solution • Standard & Custom Juniper Firewalls • CISCO CSM Load Balancing <p>http://hosting.com/dedicatedservershosting/network/</p>
<p>The Vendor implements “fixes” to correct vulnerabilities discovered during security audits.</p>	<p>The vendor will fix any vulnerability discovered.</p>

Description of City Requirement	Details on How Vendor Meets Requirement
<p>The Vendor is willing to permit on-site visits by City staff in order to evaluate security measures in place.</p>	<p>Site is Hosted by Hosting.com They do allow and provide tour of data center.</p>
<p>Data “in motion,” including user authentication information and credentials, are encrypted.</p>	<p>Authentication and credentials are encrypted using the latest Advanced Encryption Services using MS .Net Cryptography classes. Data is sent over SSL.</p>
<p>Vendor servers are kept in locked areas/cages that limit access to authorized personnel.</p> <p>Vendor servers are hardened against attack and operating system and security-related software patches are applied regularly.</p> <p>Vendor staff is bonded, and/or have been subjected to background checks.</p>	<p>The datacenter consists of over 18,000 square feet of space utilizing a redundant Liebert environmental control system, FM-200 gas fire suppression system and raised flooring to control steady airflow. The facility is secured with proximity card entry, camera-recorded server room access, and a perimeter security system.</p> <p>Vendor has a Professional Liability Insurance.</p>
<p>Vendor servers are monitored on a continuous basis, and logs are kept of all activity.</p> <p>The Vendor conducts regular vulnerability assessments, using viable third-party organizations, designed to assess both the Vendor’s network infrastructure and the individual servers that host applications.</p>	<p>Provided by Hosting.com</p> <p>24x7x365 proactive monitoring of our network by a highly skilled and specialized professional Network Engineering Staff. Vendor support systems allow us to prevent and remedy issues before they can impact our business. Vendor Network Engineers are available at any time, day or night, to assist with a network, firewall, or connectivity issue.</p>
<p>The network infrastructure hosting the Department application is “air-gapped” from any other network or customer that the Vendor may have. This means that in an ideal situation, the application environment used by the City uses a separate, dedicated server and a separate network infrastructure.</p>	<p>Vendor hosted customers may be sharing some server resources.</p>
<p>Encryption or hashing algorithms utilized by the Vendor application infrastructure use standard algorithms that have been published and evaluated by the general cryptographic community.</p>	<p>.NET Microsoft Cryptographic Classes for Advanced Encryption Standards.</p> <p>Using well-known industry accepted algorithms.</p>

Description of City Requirement	Details on How Vendor Meets Requirement
<p>Data “at rest” (stored on the application server), including user authentication information and credentials, are encrypted.</p>	<p>Authentication and credentials are encrypted using the latest Advanced Encryption Services using MS .Net Cryptography classes.</p> <p>SQL data other than authentication information and credentials are not encrypted.</p> <p>SQL database backups are encrypted Data is stored on SQL server behind firewall and only accessible through DDocs Application on WEB server.</p>

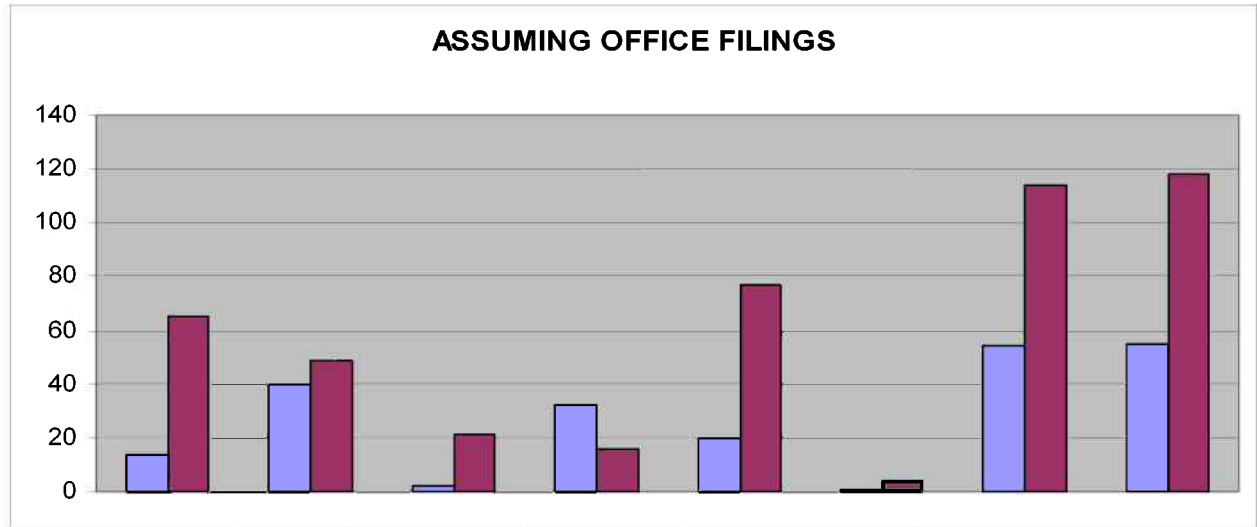
Appendix C

AB 1921 Workload Statistics 2009-2010

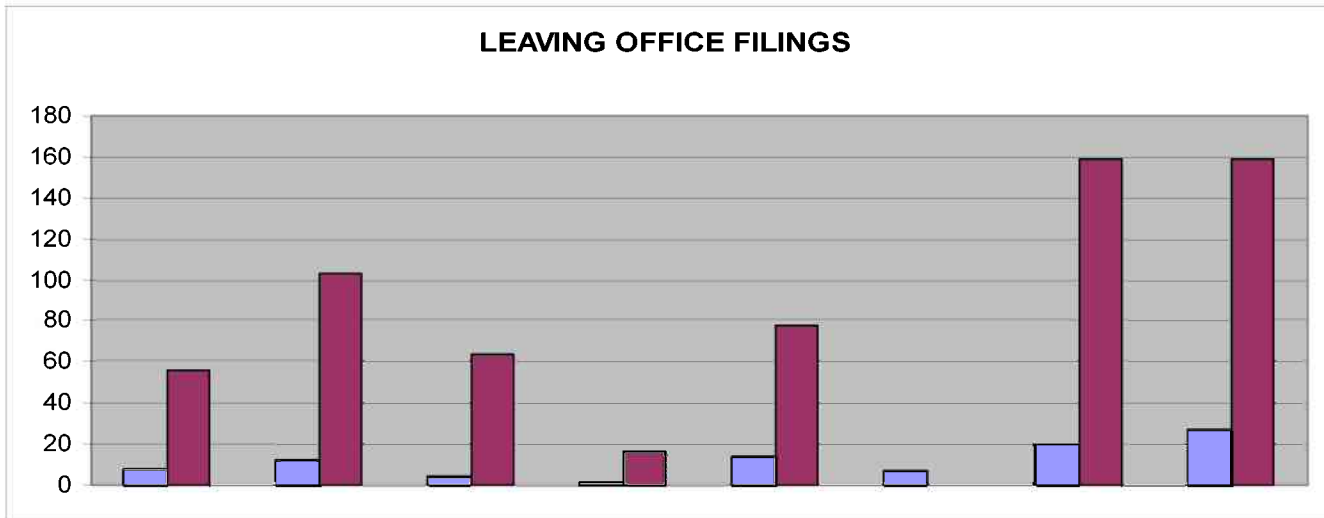


Appendix C

AB 1921 Workload Statistics 2009-2010



	Filed on Time	Filed Late	Filed Electronically	Prepared Electronically Printed and Filed by Paper	Filed Manually	Not Filed	Total Filed	Total Required Filings
2009	14	40	2	32	20	1	54	55
2010	65	49	21	16	77	4	114	118



	Filed on Time	Filed Late	Filed Electronically	Prepared Electronically Printed and Filed by Paper	Filed Manually	Not Filed	Total Filed	Total Required Filings
2009	8	12	4	2	14	7	20	27
2010	56	103	64	17	78	0	159	159



Appendix D City of Long Beach Reporting Agencies

Boards and Commissions (38 Agencies)	
1.	Airport Advisory Commission - LBA
2.	Belmont Shore Parking & Business Improvement Area Advisory Commission - CD
3.	Bixby Knolls Parking & Business Improvement Area Association - CD
4.	Board of Examiners, Appeals and Condemnation
5.	Board of Health and Human Services - HHS
6.	Cable Communications Advisory Commission
7.	Citizen Police Complaint Commission - CM
8.	Citizens Advisory Commission on Disabilities - HR
9.	City Officials - Planning Commission
10.	Civil Service Commission - CS
11.	Commission on Youth and Children - PRM
12.	Community Development Advisory Commission - CD
13.	Cultural Heritage Commission
14.	Disabled Access Appeals Board
15.	Downtown Long Beach Associates - CC
16.	Economic Development Commission
17.	Harbor Commission - HD
18.	Homeless Services Advisory Commission - HHS
19.	Housing Authority
20.	Housing Development Company
21.	Human Relations Commission - CD
22.	Long Beach Area Convention and Visitor's Bureau - CC
23.	Long Beach Transit Board of Directors - LBT
24.	Magnolia Industrial Group Property & Business Improvement District - CC
25.	Marine Advisory Commission - PRM
26.	Municipal Golf Commission - PRM
27.	Parks and Recreation Commission - PRM
28.	Pedestrian Safety Advisory Committee - PW
29.	Public Corporation for the Arts (aka Arts Council for Long Beach)
30.	Public Safety Advisory Commission - PD
31.	Redevelopment Agency
32.	Redevelopment Agency - Central Project Area Committee
33.	Redevelopment Agency - North Project Area Committee
34.	Redevelopment Agency - Westside Project Area Committee



Appendix D City of Long Beach Reporting Agencies

Boards and Commissions (Continued)	
35.	Relocation Appeals Board - DS
36.	Senior Citizen Advisory Commission - PRM
37.	Sustainable City Commission - CM
38.	Water Commission - WD
City of Long Beach (25 Agencies)	
1.	City Auditor Department
2.	City Clerk Department
3.	City Manager Department
4.	City Officials - City Council
5.	City Officials - CSU Headquarters Authority Member
6.	City Prosecutor Department
7.	Civil Service Department
8.	Community Development Department
9.	Development Services Department
10.	Financial Management Department
11.	Fire Department
12.	Harbor Department
13.	Health and Human Services Department
14.	Human Resources Department
15.	Law Department
16.	Legislative Department
17.	Library Services Department
18.	Long Beach Airport Department
19.	Long Beach Gas and Oil Department
20.	Long Beach Transit
21.	Parks, Recreation and Marine Department
22.	Police Department
23.	Public Works Department
24.	Technology Services Department
25.	Water Department



Appendix E

AB 1921 ONLINE USER SURVEY

Filing Year 2010

	Departments	Boards & Commissions	Survey Totals (#)	Survey Totals (%)
Online Surveys Distributed	600	173	773	
Surveys Not Returned	362	80	442	57.2%
Surveys Returned	238	93	331	42.8%
Rated 1	28	5	33	10.0%
Rated 2	8	2	10	3.0%
Rated 3	4	5	9	2.7%
Rated 4	6	2	8	2.4%
Rated 5	24	13	37	11.2%
Rated 6	8	4	12	3.6%
Rated 7	19	6	25	7.6%
Rated 8	37	11	48	14.5%
Rated 9	22	8	30	9.1%
Rated 10	82	37	119	36.0%
Average Rating	7.4	7.1	7.28	72.8%