

**ENGINEERING AND INFORMATION TECHNOLOGY  
COMMITTEE MEETING SUMMARY MINUTES**

**Wednesday, August 21, 2019**

**4:15 p.m.**

**ATTENDANCE**

Directors: Aziz Akbari (Chair), James Gunther

Staff: Robert Shaver, Ed Stevenson, Kurt Arends, Ariz Naqvi, Juni Rotter, Jeenu Singh



**DISCUSSION TOPICS**

1. Update on Records Management Project: Jeenu Singh, Senior Business Analyst, provided an update on the Records Management Project. The goal of this project is to improve the District's Records Management program by streamlining procedures and practices across all types of data and documents in both electronic and paper-based systems and repositories.

Over the past few years, District staff has transitioned most electronic records to SharePoint which is now the District's primary document management system. The District's current records management policies apply to paper-based documents, but there is a need to revise the existing records management policy and the associated retention schedules to accommodate electronic records and data. Ms. Singh described how this project will also improve efficiencies in the District's records retention process and assist with eDiscovery and processing of Public Records Act (PRA) requests, ultimately reducing long term storage costs of unnecessary documents and minimizing potential problems associated with inconsistent records retention. The project will also help District staff ensure compliance with applicable statutes, regulations, and recent court rulings.

Ms. Singh reported that the project comprises multiple phases and Phase 1 of the project, which involved a thorough assessment of the District's current record generating processes by the selected consulting firm, was completed in 2018. As part of Phase 1, the District developed a strategic roadmap for implementing a comprehensive Records Management program and Records Retention Schedule. The project is currently in Phase 2, which involves finalizing the newly developed Records Retention Schedule and updating the District's records retention guidelines and policies, and developing appropriate electronic document metadata for proper classification and improved search and retrieval of records.

Ms. Singh informed the committee that Phase 3 of the project will involve implementation of the Records Retention Schedule in SharePoint and other document repositories. One of the major goals of this implementation is to automate many of the District's records management processes. This will assist District staff to comply efficiently with the adopted records retention policies and the Records Retention Schedule with minimal impact to their core business activities. The expected timeframe for completing this District-wide initiative is mid-2020 and is dependent upon availability of stakeholders and impacts on other District initiatives and priorities.

Staff responded to questions from Directors Akbari and Gunther.

2. Independent Review and Assessment Report on IT Practices: Ariz Naqvi, Information Technology Manager, provided an update on the results of an assessment of the District's Information Technology (IT) practices conducted as part of the Municipal Information Systems Association of California (MISAC) Achievement in IT Practices award received by the District in 2018.

Mr. Naqvi informed the committee about MISAC, an organization founded in 1980 comprised of IT managers and professionals from public agencies across California. The goal of MISAC is to promote understanding and strategic use of information technology within local governments through advocacy, sharing of best practices, and providing educational and professional development resources to its members. MISAC has also established an IT practices award program which is intended to foster and recognize outstanding IT governance and operational practices in local governments.

The District submitted an application in 2018 for the MISAC award program and received the Achievement in IT Practices Award. The submission and evaluation process required the completion of a detailed questionnaire that examines multiple IT practices and dimensions across each of ten different subject areas. The submission required not only a direct response to each question but also appropriate backup materials such as IT policies, procedures, and strategic plans. The submitted materials were evaluated and feedback was provided on each item by a panel of two to three MISAC members. While it was a great deal of effort to complete and submit the application, participating in this program gave the District a complete audit of its IT operations, practices and policies, and was helpful in validating good operational practices and identifying areas of improvements.

For the 2018 Achievement in IT Practices Award, the District received a rating of "Outstanding" in the areas of Customer Satisfaction, Internet, Project Management and Application Development, and GIS, and a rating of "Achievement" in the areas of Budget and Strategic Planning, Purchasing, Operations and Staffing, Security, and Professional Development and Training. Based on the comments and feedback from the reviewers, the District's IT Division plans to make feasible and appropriate improvements in many of the areas where it received a rating less than "Outstanding." The District also plans to continue annual submissions under the MISAC awards program and to receive this valuable operational feedback.

Staff responded to questions from Directors Akbari and Gunther.

3. Trends in New Development-Related Activity: Juni Rotter, Development Services Manager, provided information on the level of development activity over the last eight years and data on the District's application and improvement plan review and processing times to highlight trends in numbers of improvement plan submittals for tract developments and customer job order applications. Since 2013, the District has seen a significant increase in development activity, including the number of improvement plans submitted for review, and an increase in the number of applications for customer job orders (projects that will result in the District's Distribution Maintenance construction crews performing field work such as water service

installations). This high level of activity has continued and development remains strong in the tri-city area.

Ms. Rotter discussed the District's processing times (or "turn-around" times) for customer project applications and development plan reviews and approvals. Such turn-around times have generally varied depending on the number and complexity of projects as well as staffing conditions. While the number of applications has increased in recent years, and employee retirements and transfers have impacted available staffing resources, several steps have been implemented to manage turn-around times. These measures have included short-term use of temporary and defined-term staff as well as encouraging and facilitating pre-submittal meetings with developers and engineers on development projects. This pre-project coordination generally results in improved submittals and fewer revisions which need to be reviewed multiple times. In addition, staff continues its proactive review and comments on city planning application materials so that issues impacting water service and proposed water systems may be addressed before design drawings are prepared and applications made to the District. This has helped reduce the number of review cycles required for plan approval which in turn reduces the turnaround time for plan approval and customer job order processing. Internal turn-around times have improved within the last year, but remain slightly above internal targets. However, Development Services is now fully staffed and as new staff gain more experience in their positions, it is anticipated review and processing times will continue to improve.

Staff responded to questions from Directors Akbari and Gunther.

4. Public Comments: There were no comments.

#### **RECOMMENDATIONS**

Topics discussed by the Committee were informational only, and no recommendations are being made.



# Review and Assessment of IT Practices

Engineering & IT Committee

August 21, 2019

## MISAC Background

- Municipal Information Systems Association of CA
  - IT Professionals from Cities, Towns, Special Districts and other local governments
  - Founded 1980
- Collaboration and Data Sharing, Education, Member Resources
- Promote effective and efficient municipal government technology programs & practices
- Advisory body for League of CA Cities

## IT Practices Award

- Promote and recognize outstanding governance and operational practices
- Designed to be a complete audit of IT practices
- Two levels: Achievement and Excellence
- Examines practices over 10 different subject areas
- Requires detailed responses with backup materials
- Reviewed by 2 to 3 panel members (peers)

## Areas of Evaluation

Budget and Strategic Planning	Control of IT budget, IT strategic plan, IT budget as % of total agency budget
Purchasing	Purchasing standards, control over IT software/hardware, inventory, licensing, cloud policies/agreements
Operations and Staffing	Staffing level, IT software and hardware maintenance, documentation, Helpdesk, ITIL standards, Website ADA
Customer Satisfaction	Internal & external surveys, technology user groups, information sharing
Internet	Internet use policy, website update/improvement processes, website functionality, social media policies, SB272 posting
Project Management and Application Development	Implementation practices, evaluation of RFP, involvement of departments, PM policies and procedures, QA/QC, change management
Professional Development and Training	Technology training & professional development program agency wide, certification goals, participation in industry groups, agency succession planning
Disaster Preparation and Recovery	DR plan & testing, plan for replacement of equipment, cloud outage plan, off site storage
Security	Inventory of software and devices, patch management, A/V controls, elevated rights monitoring, audit logging, email spam control, MFA, security awareness training, vulnerability assessments
GIS	GIS support, GIS users group, plan for data layers, integration of GIS with other apps, QA/QC of GIS data

## 2018 Results for ACWD



Area	Rater 1	Rater 2
Budget and Strategic Planning	Achievement	Outstanding
Purchasing	Achievement	Achievement
Operations and Staffing	Achievement	Achievement
Customer Satisfaction	Outstanding	Outstanding
Internet	Outstanding	Outstanding
Project Management and Application Development	Outstanding	Outstanding
Professional Development and Training	Achievement	Achievement
Disaster Preparation and Recovery	DNQ	Achievement
Security	Achievement	Outstanding
GIS	Outstanding	Outstanding

## Areas of Improvements

Budget and Strategic Planning	R&D for new technologies, IT involvement in District strategic planning
Purchasing	Proper licensing, SaaS policies, Green equipment disposal, IT inventory tracking
Operations and Staffing	Documentation of critical procedures, adoption of ITIL standards, Employee acknowledgement on IT policies
Customer Satisfaction	More internal user groups
Project Management and Application Development	Written policies for major project implementations
Professional Development and Training	Tracking professional development, training goals for all staff, participation in regional/national product/peer groups
Disaster Preparation and Recovery	Emergency equipment replacement, DR plan testing, Business Continuity Plan/critical operations
Security	Incident response plan, remote access policy, vendor access policy, identification of PII applications

**Questions?**