



A Report of the Office of the City Clerk

a Division of the Legislative Department

City of Seattle

2006

**Judith E. Pippin
City Clerk**



Office of the City Clerk

Judith E. Pippin
City Clerk

May 16, 2007

Council President Nick Licata
Seattle City Council

Dear Council President Licata:

I am pleased to present to you a report of the work of the Office of the City Clerk (OCC) in 2006.

The year 2006 was a significant change year for staff and managers of the OCC:

- Top-performing employees Pam Paul and Eric Ervin left the OCC and the City to pursue other careers.
- Longtime employee Margaret Carter retired after 30-plus years with our office.
- We enjoyed the addition of new supervisor Linda Diibon and her calm and comfortable supervisory style.
- New employees Joe Marquez and Julie Kerksen joined our staff, bringing fresh experiences and top-notch skills in the areas of website design and digital image management.

The year 2006 also brought a fair amount of turmoil to the OCC as a result of the department-wide investigation of allegations of racism and other unfair treatment. Happily for all OCC staff, the allegations were found to be unsubstantiated, but the extensive investigation occurring over most of the year was stressful and disruptive for most employees.

We saw great success in our first effort, led by Ernie Dornfeld, to develop an internship opportunity in partnership with the University of Washington's Information School (see the RRIS section of the report).

Theresa Dunbar completed a yearlong project of documenting the work of the Council Support function and produced an exceptionally comprehensive and valuable desk manual for cross-training staff.

Deputy Archivist Anne Frantilla designed two very popular exhibits on Open Housing and Annexation, which will remain on display throughout the city during 2007 in a partnership with the Office of Arts and Culture and the Office of Housing.

In November of 2006, we contracted with consultant Barb McAllister to provide coaching and facilitation for the OCC managing team as we embarked on a mission to transform our organization (Focused on the Future: The Transformation of the Office of the City Clerk -- FOFTOCC). The bulk of that work will occur in 2007, but the enormous leap toward creating and building a better organization was a major milestone for the OCC in 2006.

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We accomplished many things throughout 2006, and we perform many duties and tasks and take on many responsibilities each year. It is impossible to mention all those things in one report. Unit managers and staff contributed the things they most wanted to see included in this report. A staff team led by Scott Cline will work in 2007 to develop a new format for how we report annually on our work and major accomplishments—you will see that new format in our report for 2007.

The year 2006 was also our first year of service under your leadership as Council President. Biennial transitions to a new Council President are never without at least a little bit of apprehension about changes that might come about. Your support of the overall work of the OCC, and of the entire OCC staff, was a gift we could not have been happier to receive. I believe I speak for all OCC staff when I say thank you for your leadership in 2006.

Very truly yours,

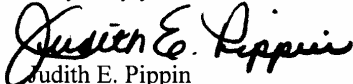

Judith E. Pippin
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I. About the Office of the City Clerk (OCC)

The Office of the City Clerk is a division within the Legislative Department that serves a citywide purpose and provides direct support to the Seattle City Council for its legislative activities.

Structure

The City Clerk serves as the Director of the OCC and provides overall management of the division's units and programs:

- Legislation and Council Affairs Unit
- Reference, Research, and Information Services Unit
- Municipal Archives Program
 - Digital Image Management Program
- City Records Management Program (CRMP)

Although the division's units and programs are somewhat independent of one another in their basic operations, the missions and goals of all are overlapping and intertwined, creating a valuable network of knowledge and resources among staff.

Mission Statement

The main mission statement for the division incorporates the general philosophies of all the division's work units and citywide programs:

"The Seattle City Clerk's Office supports the democratic process by preserving and providing access to the City's official and historical records, providing citywide records management services, facilitating the legislative process, and providing support to the City Council."

Customers

Most of the work of the OCC's units and programs results in the providing of direct services to all departments in all branches of Seattle's government. In addition, except for the CRMP, whose only customers are City departments and agencies, the units and programs within the OCC provide services to both internal and external customers.

The combined knowledge and experience of all division staff members, and their consistency in providing comprehensive, friendly, and helpful assistance, is what makes the OCC one of the most highly regarded agencies within the City's governmental structure.

Managing Team

The work of the Office of the City Clerk is led by the division's managing team:

| | |
|--|--------------------|
| City Clerk Judith E. Pippin..... | Division Director |
| Information Manager Ernie Dornfeld | Clerk's Office |
| Supervisor Linda Diibon | Clerk's Office |
| City Archivist Scott Cline | Municipal Archives |
| City Records Manager Jennifer Winkler..... | CRMP |

Staff

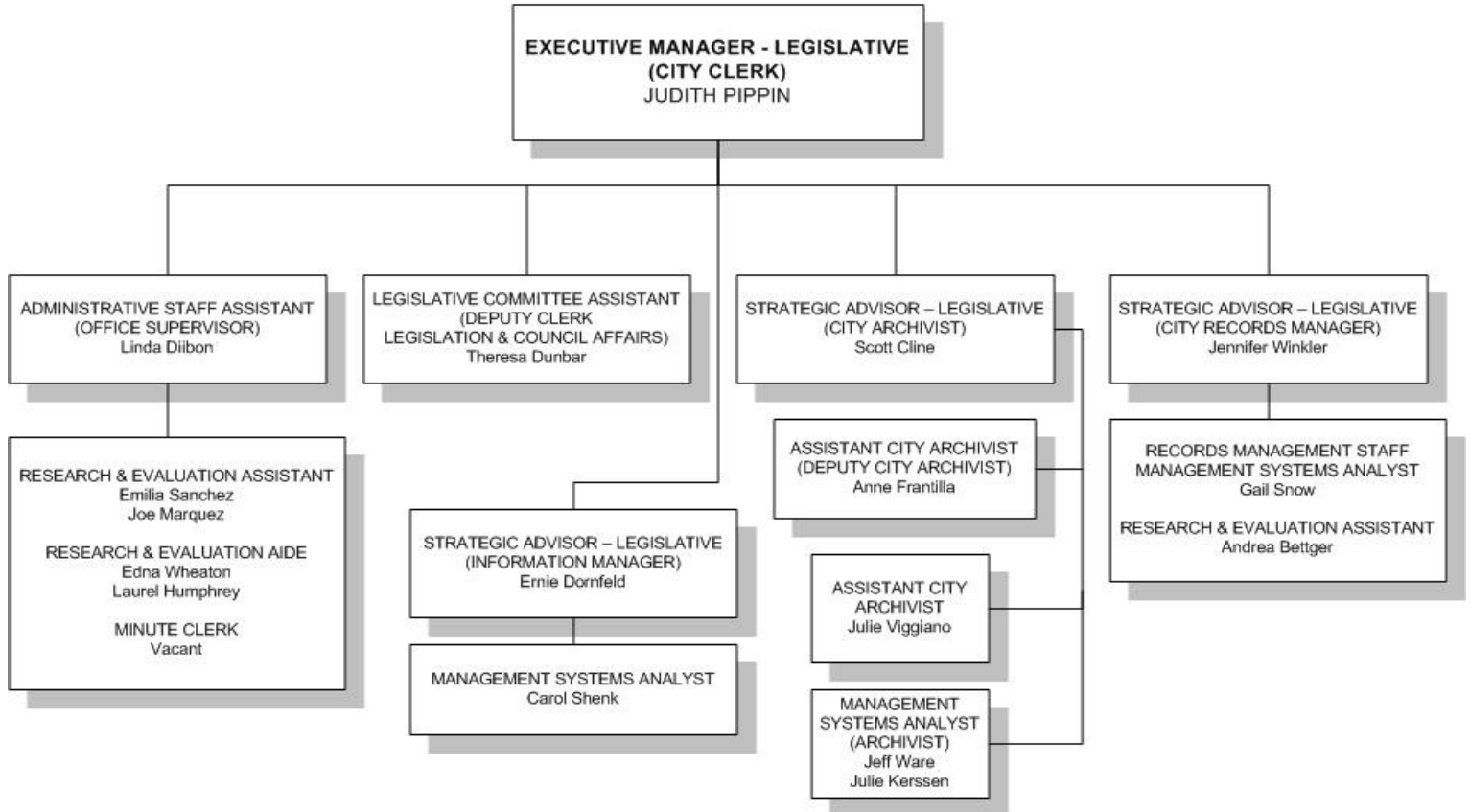
The division has a regular staff of 18*, including management, and employs between two and six temporary staff, work-study students, interns, and/or volunteers at any given time throughout the year.

| | | |
|--------------------------|--|--------------------|
| Andrea Bettger | Records Analyst..... | CRMP |
| Theresa Dunbar | Deputy Clerk | Clerk's Office |
| Anne Frantilla | Deputy City Archivist..... | Municipal Archives |
| Laurel Humphrey..... | Research and Evaluation Aide..... | Clerk's Office |
| Julie Kerksen..... | Archivist | Municipal Archives |
| Joe Marquez | Research and Evaluation Assistant..... | Clerk's Office |
| Emilia Sanchez | Research and Evaluation Assistant..... | Clerk's Office |
| Carol Shenk | Management Systems Analyst..... | Clerk's Office |
| Gail Snow..... | Records Management Specialist | CRMP |
| Julie Viggiano..... | Assistant City Archivist..... | Municipal Archives |
| Jeff Ware..... | Archivist | Municipal Archives |
| Edna Wheaton | Research and Evaluation Aide..... | Clerk's Office |
| Unfilled Position* | | Clerk's Office |

*One staff member retired in late 2006, and the position was not filled before the end of the year.

2006 Organizational Chart

LEGISLATIVE DEPARTMENT CITY CLERK ORGANIZATIONAL CHART



II. Legislation and Council Affairs (LCA) Unit

Overall Responsibilities

Responsibilities of the Legislation and Council Affairs unit include managing the processing of legislation from introduction through passage, clerking the meetings of the full Council body, recording Council proceedings in official meeting minutes, staffing the Committees of the Whole and the Special Budget Committee, and advising Councilmembers and staff on parliamentary, procedural, and Open Public Meetings Act issues.

Legislation and Parliamentary Process

Coordinating the flow of legislation and managing the process from the point of introduction to the final filing away after passage and approval is accomplished by the efforts of as many as five members of the Office of the City Clerk staff. This process is overseen by Theresa Dunbar, the Deputy Clerk for Legislation and Council Affairs.

Deputy Clerk Dunbar serves as the parliamentarian for the Council, reads all legislation into the official record at public Full Council meetings, and manages the Council's central meetings calendar.

Council Rules and Procedures

The LCA unit is responsible for ensuring the Council Rules and Procedures are current with existing laws and other regulations and that they are clearly written for ease of use by Councilmembers, staff, and members of the public. The Clerk and Deputy Clerk manage the biennial review of the Council Rules and Procedures, prepare recommendations for revision as needed, facilitate the public process for such revisions, and maintain regular accessibility of the Rules and Procedures.

Open Public Meetings Act (OPMA)

The Clerk and Deputy Clerk advise Councilmembers and their staff regarding the OPMA's applicability to their meetings. To facilitate this advice, the Clerks try to keep abreast of Council events and Councilmember attendance and participation. While there is no formal process within the Legislative Department for coordination of meeting attendance, the Clerks often work with the Council's Public Information Officer and Legislative Assistants to ensure Councilmember compliance with the OPMA.

Training

The Clerk and Deputy Clerk provide one-on-one training in a variety of areas for new staff members, including all newly elected Councilmembers. They also are responsible for training new Legislative Assistants in the Council Committee process. The Deputy Clerk is the key trainer for OCC staff rotating through assignments to perform LCA unit work.

- Training provided for Councilmembers includes Legislative Process, Rules, Meeting Process, Committees, and Parliamentary Procedure.
- Training provided for Legislative Assistants includes Meeting Process and Staffing Committees.
- Training provided for Legislative Department staff includes Public Disclosure, Services of the Clerk's Office, Records Retention, How a Bill Becomes a Law, Creating New Legislation for the City, and Using Online Legislation Databases.

Ballot Measures and Elections

The City Clerk is directly responsible for coordination of the City's charter amendment process (both citizen- and City-initiated amendments) and the processes for citizen initiatives and referenda. The City Clerk serves as the liaison between the City of Seattle and King County Records and Elections on election issues.

In 2006, the City placed 14 measures on the ballot, along with candidates for 11 elected positions. Each of these required official publication coordination with the City Attorney, the Seattle Ethics and Elections Commission, and King County Records and Elections. The City Clerk must conduct careful proofreading of ballots before they are printed and mailed out by King County.

In 2006, Seattle saw its first citizen-initiated referendum since 1976.

Other Responsibilities of the LCA Unit

- Manages publication of official notices:
 - Passed legislation
 - Special meetings of the Full Council
 - CLEAN hearing notices
 - Mayoral election proclamations
 - Requests for bids
- Coordinates the Council's process for filling midterm Council vacancies

- Administers various oaths of office:
 - Newly elected officials
 - Department heads
 - Other key positions within the City

- Coordinates biennial inauguration ceremonies for newly elected or reelected City officials

III. Reference, Research, and Information Services (RRIS) Unit

Overall Responsibilities

Information Manager Ernie Dornfeld and Supervisor Linda Diibon share overall responsibility for management of the reference, research, and information services work of the division.

The RRIS unit preserves, organizes, and provides access to the City's official records. These records include legislation, deeds, contracts, bonds, claims, and documents such as campaign finance filings, department rules, oaths, and reports.

Online Access to Information

The vast majority of information managed by the Office of the City Clerk is delivered to users via self-service access on the Internet. In 2006, the Internet was used to retrieve 2.63 million documents from the Clerk's indexes and full-text databases.

Central to this unit's work is providing online indexes so City staff and the public can find records, many of which contain electronically accessible full text. Of these records, legislative records get the most use, particularly the Seattle Municipal Code.

Reference and Research Assistance

A key responsibility of this unit involves providing reference and research assistance to anyone who wishes to use the information managed by the Office of the City Clerk. All staff actively engage in assisting customers in person at the Reference Desk or by telephone, e-mail, or regular mail. The unit also oversees research activities in the Clerk's public research room and maintains the collection of government documents available there.

Clerk Files

Most records in the custody of the City Clerk are indexed by number and filed as "Clerk Files," or "CFs." Of the 1,000 or so CFs created and maintained each year—such as annual reports from departments, land-use decisions, board/commission appointment confirmations, etc.—about 43% are referred to Council each year for action.

Some CFs are called "cumulative CFs" and contain a year's worth of submitted records in one file with one CF number. Cumulative CFs exist for records such as the meeting minutes for individual boards and commissions throughout a particular year, police officer oaths, campaign finance disclosure reports, etc.

Major Accomplishments in 2006

- ***Audio Records***

The unit conducted extensive work in 2006 in the area of audio records:

- Implemented ongoing cataloging of audio records, primarily of Council meetings
- Developed an online index of a portion of the Clerks' audio records (<http://clerk.ci.seattle.wa.us/~public/audi1.htm>)

- ***Automation of Log Analysis***

The unit worked in 2006 to automate the analysis of web-server transaction logs. This resulted in data to support development of evidence-based improvements to the Clerk's Internet services.

- ***Management of Electronic Records***

Efforts by Office of the City Clerk staff to come to grips with the difficulties of managing electronic records went in several directions in 2006:

- Worked with department IT staff to create a department storage server for large "born-digital" records (records that are created and exist only in a digital format)
- Developed several potential approaches to managing information (metadata) about "born-digital" records to be tested in the coming year
- Explored development of a redundant backup system for electronic records that are managed by the Clerk's Office; there will be further work on this in 2007

- ***SMC Enhancements***

Another major activity for this unit is the ongoing enhancement of the online Seattle Municipal Code:

- Increased the quality of graphics
- Made complex code sections more complete (for example, complex land-use-regulation tables, a table of historic landmarks, a list of boulevards)
- Made online functions easier to use

- ***Internship Program***

In 2006, the RRIS unit developed an internship program in partnership with the Master of Science in Information Management program at the University of Washington's Information School. The program was designed as an opportunity for a member of an underrepresented group to gain real experience in information services. Intern Nina Yuttapongsontorn started a two-quarter internship in September 2006, scheduled to be completed in March 2007.

Other Responsibilities of the RRIS Unit

- Administers the City's public Domestic Partnership Registration program (DPRs)
- Accepts filings for all claims against the City
- Receives all financial-disclosure reports for campaigns
- Serves as the only cash-handling facility for the Legislative Department

IV. Municipal Archives Program

Overall Responsibilities

The purpose of the Seattle Municipal Archives is to identify, acquire, arrange, describe, preserve, and make accessible to City agencies, scholars, students, and the general public those records of enduring value created or received by City agencies and elected officials.

- **Staff**

City Archivist Scott Cline manages the Archives unit. Archives staff members include Deputy City Archivist Anne Frantilla, Assistant City Archivist Julie Viggiano, who also serves as program lead for the photographs collection, and Archivists Jeff Ware and Julie Kerksen. The unit also is served by short-term temporary staff, work-study students, interns, and volunteers.

- **Scope**

Archives staff manage City records that date from 1869 to the present. These include records from all City agencies, including those no longer in existence. The collection includes the following:

- Over 7,000 cubic feet of textual records
- 1.5 million photographs and negatives
- 3,000 maps
- Over 3,000 audiotapes
- 2,000 reels of motion picture film and videotapes
- Over 1,000 sets of architectural drawings

Acquisition

The Archives unit acquired more records in 2006 than in any year since the end of the initial grant that established the program two decades ago. The volume of records acquired in 2006 represents a 53% increase over the number of acquisitions in 2005.

- **Accession**

Records are acquired by the Archives through physical transfer—known as "accession"—from City departments. Archives staff review the records for required retention, historical importance, ongoing City business value, and unnecessary duplication.

- **Preservation**

The records then are prepared for preservation. This requires organizing the files, removing any damaging fasteners (paper clips, rubber bands, etc.), and inserting the records into special acid-free folders and boxes. The records are given unique identifying numbers that are indexed and cataloged in the appropriate electronic databases.

Reference

- ***Types of Users***

An "archives" exists to provide access to records by its constituent users. The Seattle Municipal Archives serves City agencies and the public in general. Approximately 40% of direct use of records in the Archives is attributable to City employees. The balance of use is attributed to a wide array of users locally, regionally, nationally, and internationally.

- ***Number of Users***

The number of direct users of the Archives—in person or by telephone, e-mail, or regular mail—decreased in 2006. There are several reasons for this, including the following:

- Researchers now often find the answers to simple requests from the Archives website without contacting an archivist.
- Photographs can be downloaded directly from the website without the need to speak with photo archives staff.
- Clerk staff are handling questions that in the past would have been referred to Archives staff. The Archives does not have a mechanism for tracking these types of reference requests.

- ***Reference Assistance***

Although the number of direct reference requests decreased in 2006, the complexity of the requests increased, along with the staff time required to assist customers. Scholars and PhD candidates from the University of Tokyo, Cornell, Columbia, Yale, the University of California–Davis, the University of Washington, and other universities used the archives in a wide array of research projects that consumed hours of staff time.

- ***Databases***

The Archives supports 20 databases that range widely in size and complexity. We can track the number of records that are retrieved from those databases through the City Clerk's website.

Digital Image Management Program

The newly reorganized Photo Archives completed its first full year of operation in 2006. Its primary purpose is to develop a way to capture the digital photography being taken by City agencies. This includes identifying who is taking photographs, creating a mechanism for transferring images to the Archives, and managing these digital assets. In addition, the program has taken responsibility for the historical photography collection.

During 2006, program accomplishments included the following:

- Establishing technical standards for taking photographs
- Creating procedures for the electronic transfer of photographs
- Beginning training sessions for City of Seattle employees responsible for photography
- Mounting a Photo Archives inweb site for submittal of images
- Creating outreach and promotional information
- Helping develop of a pool of contract photographers for City utilities
- Acquiring more than 13,000 digital images
- Scanning and uploading more than 5,000 historical negatives

Major Accomplishments In 2006

- Developing the Digital Image Management Program (Photo Archives)
- Transferring 320 cubic feet of Mayors Clinton, Braman, and Uhlman records from the University of Washington
- Creating the digital document library project on Open Housing
- Drafting and designing two exhibits (Open Housing and Annexation) to be completed during first quarter of 2007
- Securing \$10,000 from City Light for preservation and reformatting motion picture film
- Expanding special database indexes for maps, audio, and motion picture film
- Mounting several outreach projects and opportunities

V. City Records Management Program

Overall Responsibilities

The City Records Management Program (CRMP) was established by ordinance in 2001 in response to growing concerns over the absence of centralized professional records management within the City.

- ***Purpose***

Led by City Records Manager Jennifer Winkler, CRMP staff provide leadership and direction to City departments by developing practical applications to support the effective, efficient, and economical management of the City's public records from creation to ultimate disposition in accordance with City policy and all applicable state and federal records-management laws and regulations.

- ***Training and Advice***

CRMP staff offer training to City staff on retention and destruction issues. They also serve as records-management advisors upon request. Most initial training focuses on retention of public records and the creation and use of state-approved retention schedules.

- ***Process***

CRMP staff work with offices and departments around the City to identify the types of records created and maintained in each. CRMP staff then develop appropriate retention schedules for those records. They submit the schedules to the state for final approval. Once approved, the schedule is provided to the relevant department, whereupon CRMP staff begin compliance monitoring.

Major Accomplishments in 2006

- The CRMP intranet site was made more user-friendly in early 2006. Tabs were added along the top of the homepage, allowing users to click the tabs for information rather than scroll down the page. In addition, a new section was added to provide detailed instructions for sending records to storage. The CRMP has received several compliments on how easy it is to find information on the page.
- The CRMP assisted the Seattle Department of Transportation's (SDOT) Roadway Structures division and the Office of Arts & Cultural Affairs in obtaining funding to scan their vital records. The grants are slated to terminate in June 2007. During 2006, the CRMP worked with the agencies to identify records to be scanned and also worked with a vendor to start the process. The end result will be electronic copies of all paper records for use in case the paper records become inaccessible.
- Together with the City Records Center (CRC), the CRMP identified over 3,000 boxes eligible for destruction. It also corrected information on other boxes that had been identified incorrectly. This effort helped ease the CRC's backlog of destructions.

- The CRMP completed retention-schedule projects for the Seattle Fire Department, Parks and Recreation, City Light, the Public Safety Civil Service Commission, the City Employees' Retirement System, Personnel, the Woodland Park Zoo, the Department of Executive Administration (DEA) Accounting, and various divisions of SDOT, Seattle Public Utilities, and the Fleets and Facilities Department. The CRMP also made updates to the General Records Retention Schedule.
- The CRMP developed and held two training sessions in December 2006 on disposal procedures and held two Basic Records Management training sessions for City staff. The CRMP also participated in staff meetings or held training sessions at the request of the following departments: City Light, DEA, Human Services, the Office of Intergovernmental Relations, the Office of Emergency Management, and Parks and Recreation.

VI. Internal Staff Development—Office of the City Clerk (OCC)

Employee Training

Each year, the OCC's managing team develops an annual training plan to serve as a roadmap for staff training and professional development. The plan identifies training needs and desires that will enhance the skill level needed for the business operation of the office, as well as those that will lead to the personal and professional development of staff members—a goal the managers strongly encourage.

Each training request is prioritized according to the following classifications and is granted as the budget allows:

- Level 1, Mandatory Training: Required by the division, the department, or the City
- Level 2, Performance-Based Training: Responsive to performance objectives
- Level 3, Discretionary Training: Desired by employee but not required; job relevant
- Level 4, Personal Development: Desired by employee but not required; not specific to current job duties, but participation will enhance employee's skills and abilities and thereby provides an overall benefit to the City

In 2006, staff received approximately 525 hours of off-site or online training on a wide variety of topics. Training ranged from writing basics and grant writing to courses such as Coaching Skills for Managers, Understanding & Guiding Employee Performance, and Keeping on Track in Century 21. Every staff member in the division attended one or more training events.

Cross-Training

Cross-training and other internal training also was prevalent throughout 2006. Multiple staff members were trained to perform duties traditionally assigned to other positions, which provided a wider pool of backup staff to cover for absent staff or to assist during times of peak activity.

Some staff cross-trained in Council support functions, such as clerking Full Council meetings, preparing Council meeting minutes, and processing newly referred legislation. Other staff cross-trained in Archives basics so they could assist with reference and research. Some learned how to process Clerk Files and contracts, scan documents for preservation, and publish official notices, while others learned the public disclosure process and how to handle public disclosure requests for the Legislative Department.

Training Highlights

Deputy Archivist Anne Frantilla received training as part of our participation in the University of Washington Film Preservation Consortium. She, in turn, trained Archivist Julie Kerksen, one work-study student, and one volunteer in elements of film preservation that included cleaning, splicing, canning, and coring.

Theresa Dunbar attended a weeklong training session at Washington State University on various areas of responsibility for City Clerks. The training session, Professional Development I, is the first part of a four-year program sponsored by the Washington Municipal Clerks Association and sanctioned by the International Institute of Municipal Clerks (IIMC). Completion of the four-year program fulfills one requirement for certification as a Certified Municipal Clerk.

VII. Other

Public Disclosure Requests

In 2006, the City Clerk continued to serve as Public Disclosure Officer for the Legislative Department. This involved the processing of, with assistance from staff, all public disclosure requests (PDRs) received by Councilmembers and department staff. PDRs are received in person or by telephone, e-mail, or regular mail. Washington State's Public Disclosure Act (PDA) and the federal Freedom of Information Act (FOIA) provide the framework for department policy regarding handling these requests.

PDRs must receive a first response from us within five days of their receipt. Staff members maintain careful documentation of all work associated with complying with these requests, and coordination with other departments or the City's attorneys is sometimes necessary.

PDRs can be simple or extremely complex, and sometimes very sensitive, such as requests for Councilmembers' telephone records or appointment calendars. Each record gathered by staff in response to a PDR is carefully reviewed for exemption from disclosure.

In 2006 there were 128 requests for public disclosure submitted to the Legislative Department. Some required less than an hour to process, but others required 30 to 50 hours or more. Archives staff member Jeff Ware volunteered to assist the City Clerk with this heavy volume, devoting numerous hours to PDR work outside the scope of his regular assignments.

At the request of the City Clerk, the handling of public disclosure requests will transfer in 2007 to a newly hired paralegal, who will work in the administrative division.