UTAH TRANSPARENCY ADVISORY BOARD MINUTES
August 25, 2016
State Capitol Building
Room 415 – 2:00 p.m.

Board Members Present:

John Reidhead Chair, Director, Division of Finance, Dept. of Administrative Services
Patricia Smith-Mansfield, Vice-Chair, Utah State Archivist
Senator Deidre Henderson – Utah State Senate (absent)
Representative Steve Eliason, Utah State House of Representatives (absent)
Jonathan Ball, Legislative Fiscal Analyst, Utah State Legislature (absent)
Rick Little, Utah Governor's Office of Management and Budget
Mike Hussey, Utah Department of Technology Services, CIO
Gary Williams, League of Cities and Towns, Attorney for Ogden City
Arlyn Bradshaw, Salt Lake County, Council Member (absent, Isaac Higham attended)
Vacant Position, State Records Committee Representative (waiting on appointment)
Phillip Windley, Public Board Member
Jason Williams, Public Board Member (absent)
Michelle Larsen, Senior Legal Support and Records Officer, representing special districts
Natalie Grange, Utah Office of Education (absent, Brian Ipson attended)

Note: A copy of meeting materials, and an audio recording of the meeting can be found on the Public Notice Website.

1.   Welcome:

John Reidhead called the meeting to order, and explained that there was not an official quorum present. He introduced the board and the people attending for absent board members. Isaac Higham is filling in for Arlyn Bradshaw, Steven Allred is here for Jon Ball, and Brian Ipson is here for Natalie Grange. The people representing board members will not be able to vote. There are only 6 voting members out of the 14 board members, there is not a quorum so no action will be taken in the meeting today.

John recognized Holly Richardson, her name has been submitted to the Governor to be the State Records Committee Representative on the board. We have not received word that she has been officially appointed to the board.

Number 2, on the agenda would require a voting action. The meeting moved to agenda item #3.

2.   Review of January 6, 2016 meeting minutes.

No vote was taken. The January 6, 2016 meeting minutes will be reviewed and voted on at the next Transparency Meeting.

3.   Open and Public Meetings Act Training.

Paul Tonks from the Attorney General's Office presented the Utah Open and Public Meetings training to the Utah Transparency Advisory Board. Mr. Tonks explained that it is by statute that

the training is presented annually to Boards and Committees that are subject to this law. It's important to let people know what is going on in State Government.

The Open and Public Meetings Act is located in the *Utah Code Ann*., § 52-4-1. The power point presentation, presented at the meeting today, will be attached to this transparency meeting that is posted on the Public Notice Website.

4.   Elect new Chair and Vice Chair.

The election of a new Chair and Vice Chair, will need to wait until the next board meeting when a quorum is present.

The Board moved to agenda item #5.

5.   Subgroups Discussions.

John Reidhead explained the assignment from the last board meeting on the subgroups.

The Board voted at the last meeting to create 3 subgroups, *Financial Transparency, Open Records, and Open Data,* and invite members of the board to attend the subgroup meetings. They were tasked to meet in the interim before this meeting, to come up with their top five priorities for their subgroup, and present them to the board at this meeting.

   a) Financial Transparency

Financial Transparency Subgroup: John Reidhead, Rick Little, and Jonathan Ball attended the Financial Transparency Subgroup meeting held on May 27, 2016. Senator Deidre Henderson, and Representative Eliason, are members of the subgroup but did not attend the meeting.

Jonathan Ball provided a summary of the Financial Transparency subgroup priorities for the board, and Rick Little provided a short briefing of the meeting. He explained that there is a responsibility to represent the Board, and also the constituents beyond the board.

Within the financial transparency subgroup they raised a list of issues, and summarized issues into categories. Those categories included, Long-Term Viability, Speed and Access, Data Richness, Public User Interface, and Function. Within each of the categories there are a number of priorities.

The subgroup members discussed the categories with their constituents to get feedback of their priorities in each of these categories. Jonathan Ball assembled the priorities into a single list. The list provided is a weighted prioritization based on the scores submitted from the subgroup members.

The assignment was to bring back to the Board the top five priorities. The list provided lists all the priorities that received significant numbers of votes. Top five priorities are:

> Speed and Access – Move power users to new environment give direct access
> Long term viability – Application service provider
> Long term viability – Developer
> Data Richness – Tax incentive information

Long term viability – Platform (MySQL, MS-SQL, Sybase, Oracle, etc.)

More information will be provided on the list of priorities for Financial Transparency if requested. John Reidhead thanked Rick Little for presenting the priorities to the Board for Financial Transparency. He was a big help to the subgroup.

Mr. Reidhead mentioned some things they are working on with Utah Interactive. They are working on a new environment for power users and have improved the notification of upload status. Better search capabilities is one of Senator Henderson priorities for the website. The subgroup is aware that the search capabilities need to be improved on the site.

b) Open Records

Open Records Subgroup: Patricia Smith, Michelle Larsen, Gary Williams, and Renee Wilson, the Open Record Portal Administrator. Senator Henderson and Jason Williams, were unable to make the meeting.

Patricia Smith-Mansfield reported for the Open Records sub-group. They discuss two parts for Open Records.

1) Open Records Request or GRAMA portal. They are integrating special service districts and local districts. The committee recommended a common naming convention that matches the other 3 websites: Transparency Website, Open Records Website, and the Public Notice Website. They are working to get the Public Notice Website's web address to align so that it follows the same naming convention.

   The committee gave suggestions on how to reach the districts. They have been difficult to contact. They started with having 690 districts on the website, and 111 of those were duplicates. The committee would like to align the list together, and coordinate with the State Auditor's list. They also need to match the records officers with the Special Districts because they are required to be certified but it's not happening.

   The committee decided that the public records that should be put online first are websites that can provide an overall link a website where you can get access to their records online, ordinances, policies, and required reports.

   The portal administrator has been gathering information, since their meeting with the subgroup. There is not a website, vendor, or other state, that has done what they are doing. So there is not a product they can just go and get. The functionality that they put into the site for this purpose certainly needs work. So they need to look at the current vendor or other vendors to see if they can get better functionality. They need to address that this year. Ms. Mansfield would like the subgroup to focus on the functionality and usability of the open records website.

c) Open Data

Open Data Subgroup: Mike Hussey, Scott Peterson, Drew Mingl, Rick Little, Dave Fletcher, Stephanie Weteling.

Mike Hussey said their Open Data subgroup met on June 15, 2016. They discussed prioritization and what they wanted to see come from the open data subgroup. The following priorities were identified:

1) How to upload the data to Socrata. Make sure the open expenditure module is uploaded to the transparency website. They currently have 5 years of state data in the Socrata database, 8 years of school district data, and 3 years of county data. They first identified what was there.
2) They tried to improve they search ability by searching by key word terms. This was identified as a priority.
3) They looked at the option of including additional data, such as vendor data, in the open expenditure module of Socrata.
4) Identified ways to automate some of the data flows that have been done manually and get them into the portal. This was a large priority for them.
5) Digitalization is an important part of this. When you see the data things visually, you may see things you may not have seen before.

Those are the priorities the Open Data subgroup identified. They tried to identify some of the issues and how to validate some of the data.

Some of the challenges they have when they receive the data from the entities, is deciding if the data is valid. Understanding the contract rules from Socrata, and where they are going next. They are working with the State Auditor's Office, to make sure they are compliant with getting the data into the system. They are working on a process to make sure they have the right data coming in to the Open Data Portal. Drew Mingl is working with Finance to make sure the information is accurate.

John Reidhead asked that all the board members be invited to the subgroup meetings.

6.   Financial Transparency Website update.

Brenda Lee, Assistant Director of the Division of Finance, and Transparency Project Manager for the Transparency Website, presented an update of what has been done on the Financial Transparency Website since the last meeting.

The Balance Sheet Transaction type will be available in production next Wednesday. It was requested by the State Auditor's Office.

The email notifications to notify the users when uploaded files are processed or rejected is completed and working.

At the last board meeting, the South Davis Recreation District asked for an exemption from posting their employee compensation data for prior years due to a change in their accounting and payroll system. However, they have since complied and the data is now on the website.

The Division of Finance has signed an agreement with Utah Interactive to move the transparency database to Amazon servers. It will be completed in November and will allow power users to have better access to the transparency website database.

The Judicial Branch has discontinued their practice of protecting names of all judges.

At the last board meeting, protecting and unprotecting employee and vendor names on the transparency website was discussed. Currently the names are protected and unprotected for all records as employees go in and out of protection. This will be an issue if we want to select a new vendor or a new platform technology. Once the data is on the web, it is out there. Ms. Lee feels that it doesn't make sense to continue protecting and unprotecting names. The records should be loaded to the website with the current status (either protected or public) and this status should not be changed at a later date.

John Reidhead said they recently received information from Utah Interactive of the entities who are protecting records through this process. They have not contacted all of those entities yet. They did contact Public Safety and the AG's Office, and they verbally agreed to leave the records on the website in the original status.

Mr. Reidhead proposes to leave the record the way it was first published on the Financial Transparency Website. Mr. Reidhead asked the board if they were on track with the proposal.

Patricia Smith-Mansfield thinks that they are on track, the classification is at the time it was provided.

Utah State Auditor Jon Dougall, agrees with the recommendation. If they constantly change the record from protected to unprotected, the protection that was granted, is now being flagged. If a name of a police officer's is protected, and disappears, then reappears because it is unprotected, someone could figure out which police officers are undercover.

John Reidhead said that Senator Henderson had a bill last session that eliminated the budget threshold for determining which governments have to participate in the website. Finance was provided funding for a part-time transparency website coordinator and they have hired someone for the position. The local governments that currently have a budget under a $1,000,000 will be contacted to get their information on the website. The will be approximately 300 additional entities.

7.   Open Records update.

Reneé Wilson the Portal administrator presented the Open Records update.

Special / Local Districts

They have been working on local and special districts (districts). In October they will complete all the district updates, in November the updates will be tested. They will be present at the Utah Association of Special Districts convention to get more information and talk to people about the portal. In December the portal will be active.

The districts' information has been gathered from many different sources including google and county websites. The districts have been contacted several times through email, telephone calls, and mailings, if needed, to find out who's in charge and who the records officer is.

There are 579 total districts, 412 districts have been contacted, and 167 have not yet been contacted. Of the 579 total districts: 378 districts have updated information, 106 districts have not replied to our emails, calls and letters, 80 districts don't have an email address, and 15 have no accurate contact information. Renee reported that 358 districts have posted to the Public Notice Website. There are 172 certified records officers for the special districts.

Many agencies have incomplete information, such as phone number or address. If any information is missing there will be a notice on the portal that the information is incomplete or out of date and there will be a link provided on the Portal so people can submit information and we can update our database. If there isn't an email the users of the website won't be able to submit a GRAMA request through the website because we won't be able to notify them electronically. If that is the case, and if the district has an address on the portal we will provide a link to our generic GRAMA form that could be submitted through physical mail.

Ms. Wilson then showed screen prints of the website and how the district information and links appear on the Portal. They haven't given up on the 15 districts without contact information and will go back to them.

Some of the local and special districts either don't have an email address or the records officer technically has an email address but does not want to use it because they don't have internet access and never check their email. One issue she has been thinking about is if we are putting up all these districts without their contact information and allowing people to submit the GRAMA form physically, why can't other entities say they don't want to be on the portal either and just have people submit the GRAMA requests through the mail? So we have some agencies that want to opt out, and we don't know what to do about that.

Ms. Mansfield said there special and local districts for which they will probably never be able to get full contact information from and those that will never respond so they can't be put them on the Portal. If they are shown as blank on the Portal, we already have other local governments who do not want to be part of this who will also not want to be on the website and just have their GRAMA requests mailed to them at a street address. They are worried about this issue.

John Dougall the State Auditor said that the auditor's office has some ability to withhold funds from governmental entities for noncompliance with the law.

Michele Larsen said that if a person is a records officer it is not an option to not respond, and there is a provision in GRAMA that says that if you knowingly withhold a record it is a Class B Misdemeanor. She is shocked and appalled at this opt-out thought process. Governments should be open and cannot choose to withdraw because it is not convenient.

Mr. Dougall says there are some governmental entities that don't think they are governmental entities. They want to be private companies. They also run into challenges with smaller entities because no one wants to serve on the boards or the board members don't know what the requirements are.

Mr. Reidhead asked if the special districts don't comply, can they go to the county for the information.

Mr. Dougall explained that if the special service districts are not compliant he is telling the creating entity such as a county or city for example, that they are ultimately responsible for the districts compliance with the law. This is a relatively new initiative in his office.

Links to Online Records (for all entities)

Ms. Wilson said they will be gathering URLs, including Archives digital assets, from agencies. They will then connect each URL to the agency, and if possible they will connect the URLs to record series within the agency. This will help to identify and preserve permanent records. The goal is to have agencies add and update their own URLs to help people better find records that the agency has online. They will be connecting to the Public Notice Website as well as agency websites. They have gathered 1,300 links so far. They are working to import all the links into the Open Records Portal. The functionality isn't working properly so some of the links aren't showing up. They are working with the vendor to fix the issue or may have to find another vendor.

8.   Open Data Website update.

Drew Mingl, Open Data coordinator, with the Department of Technology Services, presented an update of the Open Data Website.

They are in the process of creating a new application that they are starting to beta test. It is not public yet. He passed the board a handout with the URL, username and a password, so they could get some feedback on the new application.

They were able to get 5 years of county expenditure date from the transparency website, and loaded it up to the demo site. They found there were 1,443, unique entity types or departments, within the 29 counties in the state. They used a software called *Open Refine* to clean up the county data.

They used a software called General Regular Expression Language (GREL) that inspects the records and groups them together. They took 4 million rows of county data and uploaded them and used GREL to cluster it together. For now they call the application Open Checkbook Utah. There is 5 years of state agency data in it that looks good and they are cleaning up the county data. Mr. Mingl said they are collaborating with the transparency group at the state auditor's office because they have access to a lot of data. They are helping him extract the funds for each of the counties CAFR's. Each county has their own Chart of Accounts and they are taking the general ledger from the Transparency site and mapping it to a specific CAFR for each county. Their goal is to put all the school districts, state agencies, and municipalities into one single checkbook.

Mr. Mingl demonstrated and explained how to use the functionality of the new system and reminded the Board that it is not a public website yet. He encouraged the board to go into the system using the URL that was handed out to them and get a feel of the new application.

The data will have to be cleaned up and transformed before it is released to the public. Mr. Mingl said that a user will be able to drill down in seconds to get the information they want. There is also a master search capability for the master set. It is not turned on yet.

The goal is to have the website available to the public by the end of the year.

Dave Fletcher from DTS explained that they are under the jurisdiction of the Transparency Board and the Division of Finance, who owns the data. They wanted to demonstrate the process to the Board, using the tools they have, but it won't go public until the Board and the Division of Finance approves the tool. DTS is working with the Division of Finance to assure the data is represented accurately.

John Reidhead asked if this is Socrata.

Dave Fletcher stated that it is a module in Socrata.

Mr. Reidhead thinks that it is amazing what they have done but feels that Financial Transparency and Open Data need to work together. Open Data is moving over into Financial Transparency and it needs to merge together into one site.

Mr. Fletcher said they are in agreement with Mr. Reidhead.

Drew Mingl said he works with State Auditor John Dougall's transparency group and they are going down the same path. He would like to leverage all their skills.

John Reidhead is concerned because the Auditor's group doesn't report to the Board. They should be getting direction from the Board and not the State Auditor. Mr. Reidhead would like to merge the site. That would save them from having to purchase different software.

Dave Fletcher said that was why they were presenting this today, rather than previously, because it wasn't ready to be presented. He realize they need to work closely with the Division of Finance and the subgroups.

State Auditor John Dougall said that his group is working to make sure the data in the transparency site is more accurate.

Darrell Swensen, Financial Transparency Coordinator, explained when the data comes in it is coming out of an entity's chart of accounts and there is a cross walk where the State Auditor checks the chart of accounts to make sure the data is correct.

Mr. Swensen said if he see's something wrong with the uploaded data, he contacts the agency to fix it.

State Auditor Dougall said he appreciates all the hard work that Mr. Swensen does for the transparency website.

There were no other questions from the Board or public.

Board moved to #9 on the agenda.

9.   **Discuss response from Bryant Howe about posting the Utah Transparency Advisory Board Meetings on the Legislative Website, and Livestreaming the meeting.**

John Reidhead said he was told by Bryant Howe who works with the legislative management committee, that their contract would not allow them to livestream the transparency meetings. Jonathan Ball said he will continue trying to work on this with Senator Henderson and Representative Eliason.

10.   **Public Comment.**

Scott Stevenson from the Tax Commission, said they post all of their transactions to FINET and those transactions show up on the Transparency Website.

There are instances where large tax payers have tax payments going into specific funds in FINET. If you look at the transparency website you could possibly identify the tax payer if you know the tax type and anything about the business. As a general Rule the Tax Commission does not give out any information from your tax return. This information is confidential.

There are ways to show the total revenue but does not divulge the specific tax payer information.

Mr. Stevenson will be gathering information to support the fact that this is confidential information and he will submit the information to the Board.

John Reidhead asked Mr. Stevenson to come back to the next meeting with suggestions on how to post to the website but not divulge the individual tax information. John will also discuss the issue with Paul Tonks from the Attorney General's Office.

Patricia Smith-Mansfield explained that the Open Records subgroup discussed only records that were entirely public. They felt like these records should be put online first. Ms. Mansfield would like all entities ordinances if possible.

There were no other comments from the Board or the public.

If the Board has anything they would like on the agenda for the next meeting, please send them to John Reidhead, Patricia Smith-Mansfield, or Barbara Sutherland.

11.   **Discuss date for next Board Meeting.**

The Board will look at dates in November for the next meeting. The meeting was adjourned at 3:34 p.m.