

CITY OF RANCHO CORDOVA



CITY COUNCIL

Monday, April 01, 2019

4:00 PM – Special Meeting/Closed Session

5:30 PM – Regular Meeting

AGENDA

Robert J. McGarvey, Mayor

David Sander, Vice Mayor

Garrett Gatewood, Council Member

Donald Terry, Council Member

Linda Budge, Council Member

CITY OF RANCHO CORDOVA



CITY COUNCIL MEETING

City Hall
2729 Prospect Park Drive, Rancho Cordova

Monday, April 01, 2019

4:00 PM – Special Meeting/Closed Session
American River Room North

5:30 PM – Regular Meeting
David B. Roberts Council Chambers

AGENDA

1. SPECIAL MEETING - CALL TO ORDER/ROLL CALL

Council Members Budge, Gatewood, Sander, Terry and Mayor McGarvey.

2. PUBLIC COMMENT

At a special meeting, citizens wishing to address the Council for any matter on the agenda may do so at the time the matter is discussed. Under the provisions of the California Government Code, the City Council is prohibited from discussing or taking action on any item not on the agenda.

3. SPECIAL MEETING ITEM

3.1 **Subject:** Receive Presentation on Smart Cities.

Recommendation: Receive presentation on what it means to be a smart city and current trends.

Result of Recommended Action: To provide staff direction on whether the City Council is interested in further pursuing any smart city initiatives.

Staff Report: Kim Juran-Karageorgiou, Administrative Services Director.

Advances Goals: 1, 2, 5 and 6.

4. ADJOURNMENT OF SPECIAL MEETING

Mayor McGarvey will adjourn the special meeting to regular meeting in the David B. Roberts Council Chambers.

5. REGULAR MEETING - CALL TO ORDER / ROLL CALL

Council Members Budge, Gatewood, Sander, Terry and Mayor McGarvey.

6. METRO CABLE TV TELEVISION ANNOUNCEMENT

The Clerk will announce the meetings video recording and playback schedules.

7. PLEDGE OF ALLEGIANCE

The Mayor will call on someone in attendance to lead the Pledge.

8. INVOCATION

A Representative with The Church of Jesus Christ of Latter-day Saints will give the invocation.

9. PRESENTATIONS

- 9.1 Linda Budge's Birthday on April 10th.

10. PUBLIC COMMENT

Citizens wishing to address the Council for any matter not on the agenda may do so at this time by completing and submitting a Speaker Card to the City Clerk. For items on the agenda, speakers will be called up to the podium by the Mayor at the point on the agenda when the item will be heard. Speakers are encouraged to keep comments to three minutes or less and to state name and community of residence.

Under the provisions of the California Government Code, the City Council is prohibited from discussing or taking immediate action on any item not on the agenda unless it can be demonstrated to be of an emergency nature or the need to take immediate action arose after the posting of the agenda.

11. COUNCIL REPORTS

12. CITY MANAGER'S REPORT

13. CONSENT CALENDAR ITEMS - ROLL CALL VOTE

- 13.1 **Subject:** Meeting Minutes from the March 18, 2019 Regular City Council Meeting.
Recommendation: Approve the Minutes.

- 13.2 **Subject:** A Resolution Declaring the Results of Mail Ballot Election for Rancho Cordova Transit -Related Services Special Tax Area Zone 23 for the Gold Valley Center Project.
Recommendation: Adopt the Resolution.

Result of Recommended Action: Adoption of the Resolution will declare the result of the mail ballot election concerning Transit-Related Services Special Tax Area Zone 23 establishing a special tax for transit services for the Gold Valley Center Project.

Staff Report: Elizabeth Sparkman, Community Development Director and Jeanette Cervantes, Management Technician.

Advances Goal: 5.

- 13.3 **Subject:** A Resolution Approving Submittal of an Application to Cal Fire for the Urban Forestry Grant Program in the Amount of \$369,500 to Fund the Rancho Cordova Shade Tree Expansion Continuum.

Recommendation: Adopt the Resolution.

Result of Recommended Action: Adoption of this Resolution will allow the City to submit a grant application to Cal Fire for the Urban Forestry Grant Program. If awarded, the grant proceeds in the amount of \$369,500 would fund the preparation of an Urban Forest Master Plan and the planting of 750 trees over three years.

Staff Report: Albert Stricker, Public Works Director and Steve Harriman, Operations and Maintenance Division Manager.

Advances Goals: 1, 2 and 5.

- 13.4 **Subject:** Support the 2020 U.S. Census and Affiliated Outreach Events in the City of Rancho Cordova and State of California.

Recommendation: Approve the Resolution of support for the 2020 U.S. Census and affiliated outreach events.

Result of Recommended Action: Action on this item will confirm the City Council's Support for the 2020 U.S. Census.

Staff Report: Megan Siren, Senior Management Analyst & Stefan Heisler, Reinvestment Analyst.

Advances Goals: 2 and 3.

- 13.5 **Subject:** Support the Sacramento Area Council of Governments Green Means Go Pilot Program.

Recommendation: Approve the Resolution of support for the Sacramento Area Council of Governments (SACOG) Green Means Go Pilot Program.

Result of Recommended Action: Action on this item will allow Staff to submit the support resolution to SACOG to aid their efforts in securing state funding for this pilot program.

Staff Report: Stefan Heisler, Reinvestment Analyst.

Advances Goals: 1, 2, 3 and 5.

14. CONSENT PUBLIC HEARING ITEMS - ROLL CALL VOTE

NONE.

15. PUBLIC HEARING ITEMS

NONE.

16. REGULAR CALENDAR ITEMS

- 16.1 **Subject:** Update on the Fiscal Year 2019/2020 Community Enhancement Fund Grant Applications Received and Internally led Initiatives for Council Consideration.

Recommendation: Staff to introduce and provide an update on the fiscal year

2019/2020 Community Enhancement Fund grant applications received and the City department led initiatives for Council consideration.

Result of Recommended Action: Council will receive a summary of Community Enhancement Fund grant applications, copies of all applications and supplemental documents received, and a summary of internally led initiatives for Council consideration. Staff will return with an update at the next City Council meeting and provide Council with an adjusted summary of the grant applications received including evaluation of each application for compliance with the established criteria and an overall recommendation.

Staff Report: Stacy Delaney, Community Enhancement Analyst II.

Advances Goals: 1, 2, 3, 5 and 6.

16.2 **Subject:** Code Enforcement Goals and Priorities.

Recommendation: Receive information and provide direction.

Result of Recommended Action: Staff will be seeking Council input and direction on code enforcement goals, priorities and property maintenance standards, policies and best practices.

Staff Report: Kerry Simpson, Neighborhood Services Manager.

Advances Goals: 2, 3 and 5.

16.3 **Subject:** Appointment of Real Property Negotiators: Cyrus Abhar, City Manager and Albert Stricker, Public Works Director; Property: 069-0120-008, 11541 Folsom Boulevard.

16.4 **Subject:** Appointment of Real Property Negotiators: Cyrus Abhar, City Manager and Micah Runner, Deputy City Manager; Property: City Hall, 2729 Prospect Park Drive, Rancho Cordova, CA Suite 117.

17. COUNCIL REQUESTS FOR FUTURE AGENDA ITEMS

18. ADJOURNMENT

Mayor McGarvey will adjourn the regular meeting to closed session in the Community Board Room.

19. CLOSED SESSION - CALL TO ORDER/ROLL CALL

Council Members Budge, Gatewood, Sander, Terry and Mayor McGarvey.

20. CLOSED SESSION

Council may adjourn to Closed Session to discuss the following item(s):

CONFERENCE WITH REAL PROPERTY NEGOTIATORS: Pursuant to Government Code Section 54956.8: City Negotiators: Cyrus Abhar, City Manager and Albert Stricker, Public Works Director. Negotiating Party: Nolasco 2007 Family Trust and Outfront Media: Assessor's Parcel Numbers: 069-0120-008, 11541 Folsom Boulevard. Under Negotiation: Price and Terms of Payment.

CONFERENCE WITH REAL PROPERTY NEGOTIATORS: Pursuant to Government Code Section 54956.8: Property: City Hall, 2729 Prospect Park Drive, Rancho Cordova, CA, Suite 117. Agency Negotiators: Cyrus Abhar, City Manager and Micah

Runner, Deputy City Manager. Negotiating Party: Chamber of Commerce. Under Negotiation: Price and Terms of Payment.

21. OPEN SESSION - REPORT FROM CLOSED SESSION

The City Attorney will report on action taken in Closed Session.

22. ADJOURNMENT

ADDITIONAL INFORMATION

SPECIAL MEETINGS LISTED BELOW ARE SUBJECT TO CHANGE/CANCELLATION WITHOUT FURTHER NOTICE.

UNLESS THE COUNCIL ADOPTS A MOTION TO EXTEND THE MEETING, ANY ITEM THAT IS NOT INITIATED BEFORE 11:00 PM WILL BE CONTINUED TO THE NEXT DAY AT 5:30 PM OR SCHEDULED ON THE NEXT REGULAR MEETING AGENDA OF THE COUNCIL.

Public documents related to items on the open session portion of this agenda, which are distributed to the City Council less than 72 hours prior to the meeting, shall be available for public inspection at the time the documents are distributed to the Council. Documents are available for inspection at the City Clerk's office located in Rancho Cordova City Hall.

The agenda items are accessible on the City's website at www.cityofranchocordova.org on Thursdays or Fridays prior to the Regular City Council Meeting.

CITYWIDE GOALS - (Adopted March 27, 2012)	
1.	Promote the Positive Image of Rancho Cordova
2.	Ensure a Safe, Inviting and Livable Community
3.	Empower Responsible Citizenship
4.	Establish Logical City Boundaries that Provide Regional Leadership and Address Financial Challenges
5.	Ensure the Availability of the Best Public Services in the Region while Practicing Sound Fiscal Management
6.	Drive Diverse Economic Opportunities

UPCOMING MEETINGS	
Monday, April 15	5:30 PM Regular Meeting
Tuesday, April 30	5:30 PM Special Meeting/Work Session
Monday, May 6	CANCELLED REGULAR MEETING
Tuesday, May 14	5:30 PM Special Meeting/Work Session
Monday, May 20	5:30 PM Regular Meeting
Tuesday, May 28	5:30 PM Special Meeting/Work Session
Monday, June 3	4:00 PM Special Meeting/Regular Meeting
Monday, June 17	5:30 PM Regular Meeting
Tuesday, June 25	5:30 PM Special Meeting/Work Session
Monday, July 1	4:00 PM Special Meeting/Regular Meeting
Monday, July 15	CANCELLED REGULAR MEETING
Monday, August 5	4:00 PM Special Meeting/Regular Meeting
Monday, August 19	5:30 PM Regular Meeting
Tuesday, August 27	5:30 PM Special Meeting/Work Session
Tuesday, September 3	4:00 PM Special Meeting/Regular Meeting
Monday, September 16	5:30 PM Regular Meeting
Tuesday, September 24	5:30 PM Special Meeting/Work Session
Monday, October 7	4:00 PM Special Meeting/Regular Meeting
Tuesday, October 8	CANCELLED SPECIAL MEETING
Tuesday, October 15	5:30 PM Special Meeting/Closed Session

UPCOMING MEETINGS	
Monday, October 21	5:30 PM Regular Meeting
Tuesday, October 22	CANCELLED SPECIAL MEETING
Tuesday, October 29	5:30 PM Special Meeting/Work Session
Monday, November 4	4:00 PM Special Meeting/Regular Meeting
Tuesday, November 12	5:30 PM Special Meeting/Work Session
Monday, November 18	5:30 PM Regular Meeting
Tuesday, November 26	5:30 PM Special Meeting/Work Session
Monday, December 2	4:00 PM Special Meeting/Regular Meeting
Tuesday, December 10	5:30 PM Special Meeting/Work Session
Monday, December 16	5:30 PM Regular Meeting

If you have any technical questions related to the agenda items, please contact the appropriate department as follows:

DEPARTMENTAL GENERAL TELEPHONE NUMBERS	
Building and Safety Division	(916) 851-8760
City Attorney's Office	(916) 556-1531
City Clerk's Department	(916) 851-8720
City Manager's Office	(916) 851-8800
Communications Department	(916) 851-8791
Economic Development Department	(916) 851-8780
Finance Department	(916) 851-8730
Housing Division	(916) 851-8784
Human Resources Department	(916) 851-8740
IT Department	(916) 851-8700
Neighborhood Services – Animal Services	(916) 851-8770
Parks & Recreation (Cordova Recreation & Park District)	(916) 362-1841
Planning Department	(916) 851-8750
Public Works Department	(916) 851-8710
Rancho Cordova Police Department	(916) 875-9600
Redevelopment Department	(916) 851-8780
Sac Metro Fire District	(916) 859-4300

The Rancho Cordova City Council meeting will be videotaped in its entirety and will be cablecast without interruption on Metro Cable 14, the Government Affairs Channel on the Comcast, Consolidated Communications and AT&T U-Verse Systems. Closed Captioning will be available on the playback cablecast. A DVD copy is available from the City Clerk's Department and a webcast of this meeting will be available for viewing via video streaming from the City's website within 48 hours of adjournment of this meeting.

In compliance with the Americans with Disabilities Act, if you need a disability-related modification or accommodation, including auxiliary aids or services, to participate in this meeting, please contact the City Clerk's Office at (916) 851-8720 at least 48 hours prior to the meeting.

CERTIFICATION OF POSTING OF AGENDA

I, Stacy Leitner, City Clerk for the City of Rancho Cordova, declare that the foregoing agenda for the Monday, April 01, 2019 Regular Meeting of the Rancho Cordova City Council was posted and available for review on March 29, 2019 at City Hall of the City of Rancho Cordova, 2729 Prospect Park Drive, Rancho Cordova, California, 95670. The agenda is also available on the city website at www.cityofranchocordova.org.

Signed March 29, 2019 at Rancho Cordova, California.



Stacy Leitner, City Clerk

MEMORANDUM

DATE: April 1, 2019
TO: Honorable Mayor and Council Members
FROM: Kim Juran-Karageorgiou, Administrative Services Director
SUBJECT: Receive Presentation on Smart Cities



RECOMMENDATION

Receive presentation on what it means to be a smart city and current trends.

RESULT OF RECOMMENDED ACTION

To provide staff direction on whether the City Council is interested in further pursuing any smart city initiatives.

BACKGROUND

The City has engaged the firm of Madaffer Enterprises to provide the City Council with an overview of what it means to be a smart city. Madaffer Enterprises has worked with a number of cities throughout California to develop Smart City Strategic Plans and Roadmaps.

The purpose of the study session is to educate the City Council and staff on best practices and challenges in building smart and connected community strategic roadmaps. This information is intended to give the City Council a greater understanding of ways in which Rancho Cordova could further pursue smart city policies and initiatives, if desired.

FISCAL IMPACT

None – Information Only

ATTACHMENT

1. PowerPoint Presentation

Recommended Reading

2. What Works Cities Standard Certification Criteria
3. Smart City Strategies: A Global Review
4. GovEx First Things First

SMART CITIES

Smart Ideas for Smarter Cities

Sitting on a smart idea for your city?
Share it at people4smartercities.com



Defining a “smart and connected” city

- “A smart city uses information and communication technology to enhance livability, workability and sustainability.”
— *Smart Cities Council*
- “For the City of Chula Vista, being a smart city means using technology and advanced data analytics tools to grow the economy, engage the community, improve government efficiency, and enhance quality of life.”
— *City of Chula Vista Smart City Strategic Action Plan*
- “A smart city optimizes systems by using technology and data to improve service delivery and customer satisfaction while creating new opportunities for engagement and problem-solving for better shared outcomes.”
— *City of West Hollywood Smart City Strategic Plan*

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Digital



Digital Equity

The outcome in which all citizens and communities have the information technology capacity needed for full participation in our society, democracy and economy, necessary for digital access to essential services, civic and cultural participation, lifelong learning, employment, entrepreneurship, and economic mobility



Digital Divide

The difference between those who have access to the Internet and connected technologies and those who don't



Digital Inclusion

The activities necessary to ensure that all citizens and communities, including the most disadvantaged, have access to and use of Information and Communication Technologies



Citizen Engagement

The interaction between individuals, community organizations and government to create opportunities for active communication and participation in community initiatives.



The strategic roadmap model

Cities

- Chula Vista, CA
- Carlsbad, CA
- West Hollywood, CA
- Pismo Beach, CA
- Austin, TX
- Pittsburgh, PA
- Saratoga Springs, NY
- Montréal, Québec
- Birmingham, England

“If you don’t know where you’re going, you’ll never get there.”

1. What outcomes do we want to achieve?
2. What do we need to put in place to achieve it?
 - Physical infrastructure, governing policies, staffing, outreach and engagement
3. How do we prioritize in a constrained environment?
4. Who is responsible for what activities along the way?
5. How do we measure progress?

Safe City

Better
Public
Services

Saratoga Springs has approximately 12,000 homes and businesses. The population of 28,000 soars more than 250% in the summer. The Saratoga Public Safety Division is responsible for protecting residents, businesses, and visitors from crime, disorder, fire, hazards, and natural disasters. In today's rapidly changing world, it is increasingly important that the infrastructure and technology needed to support public safety initiatives are in place to support day-to-day functions.

Goals

- Ensure crime rates remain low
- Continue to make Saratoga Springs a safe environment
- Utilize technology to support first responders
- Engage the community in public safety improvements
- Increase broadband speeds to support transfer of data and other critical communications



TIMEFRAME		
IMPLEMENTED	SHORT TERM	LONG TERM
• CCTV surveillance monitoring (ongoing) • Police bodysuit cameras (ongoing)	• Broadband improvements (police bodysuit cameras) • Online citizen awareness and education • GPS-enabled tracking • Streamlined first-responder tools and policies	• Sensor-based public safety applications • Increased use of cybersecurity tools • Public panic buttons and SOS mobile apps

SPONSOR

City of Saratoga Springs -
Public Safety Division

STRATEGY ONE: Create a culture of data for a smart city hall that's ready for the future.			LEAD PARTNERS	INITIATIVE DEPENDENCIES
1.1	Build capacity for data analytics.	Policy + Program	Innovation Division + New Data Lead	
1.2	Develop dashboards to track progress on key city priorities.	Program	Innovation Division + New Data Lead	1.1
1.3	Establish a mobility data management program for WeHo.	Program	Dept. of Public Works + Long Range & Mobility Planning	1.1
1.4	Expand the curbside management pilot.	Program	Dept. of Public Works	
1.5	Adopt a Smart City privacy policy.	Policy	Innovation Division	
STRATEGY THREE: Automate processes for an exceptional customer experience.			LEAD PARTNERS	INITIATIVE DEPENDENCIES
3.1	Launch a public safety pilot.	Policy + Pilot	Dept. of Public Safety	1.5, 2.2
3.2	Implement critical connected infrastructure back-ups.	Program	Information Technology Division	
3.3	Develop a smart city sensor (and building) program.	Policy + Pilot	Innovation Division + Long Range & Mobility Planning	1.5
3.4	Upgrade street light infrastructure.	Program	Dept. of Public Works	3.2, 3.5
3.5	Adopt and IoT approval process.	Policy	Innovation Division	3.2

GOAL 1: CONNECTED CITY



Objective 1.2: Ensure universal internet and technology access for all communities

1.2: Initiatives

- Work with ISPs to promote affordable internet service plans for residents at all income levels.
- Work with ISPs to further develop fiber internet and other high-speed options.
- Fund and promote technology access and training opportunities through the library and through other city departments, programs and initiatives.

1.2: Background and Context

As more public services, business transactions, social

through AT&T, or 4G LTE service through cellular telephone carriers, every residential property in the City has the technical capability to connect at least one form of internet service.

The fact that internet service is available to every property, however, does not mean that every resident can afford it, or that every resident has a device that allows them to use it, or that every resident has the technical knowledge or comfort level necessary to use it. (In a few cases, older residential buildings lack the modern networking needed to bring internet service from the street into individual units.) The City must recognize that not every resident uses the internet, and that these residents generally fall into three categories: those who cannot afford any internet service; those who are unaware that low-price plans exist for households that meet certain income criteria; and those who are not comfortable using the internet.

The City should consider tailoring its efforts specifically to each of these three groups. For example, the City should
City of Chula Vista – Smart City Strategic Action Plan

1.2: Performance Indicators

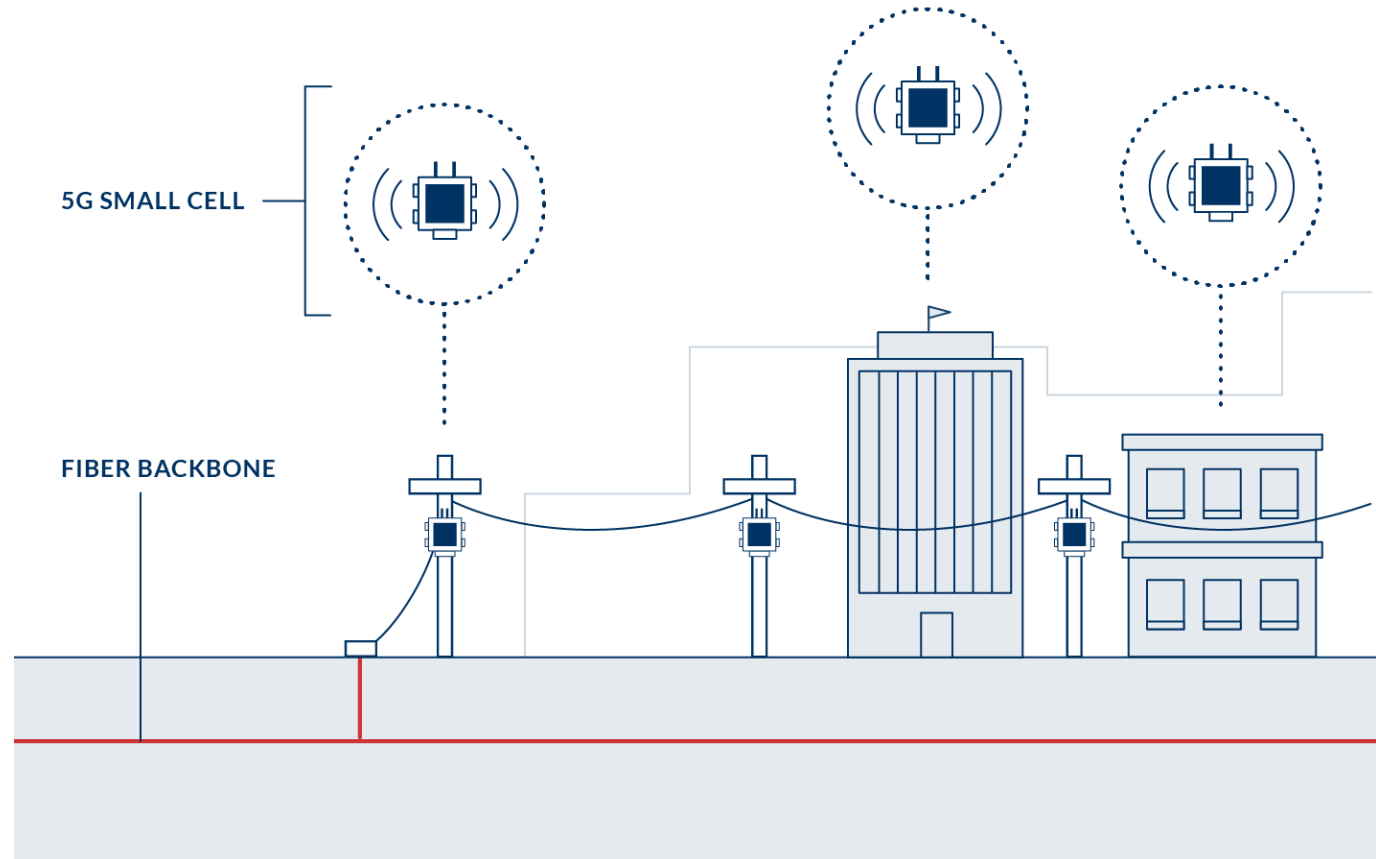
- Percentage of households subscribing to internet service
- Percentage of households and business that have access to fiber-optic or other high-speed internet service
- Number and circulation of library devices per capita
- Number of hours of technology training available to the public

1.2: Outcomes

- All residents can access information and engage with the City using the internet.
- All residents and businesses have access to high-quality, high-bandwidth internet service.
- Residents who do not have internet-enabled devices to use at home have access to them elsewhere.

Transportation as a smart city platform

- Robust network required
 - Wireless communications built on a fiber backbone
- Traffic signal synchronization project adds to that fiber backbone



Transportation as a smart city platform

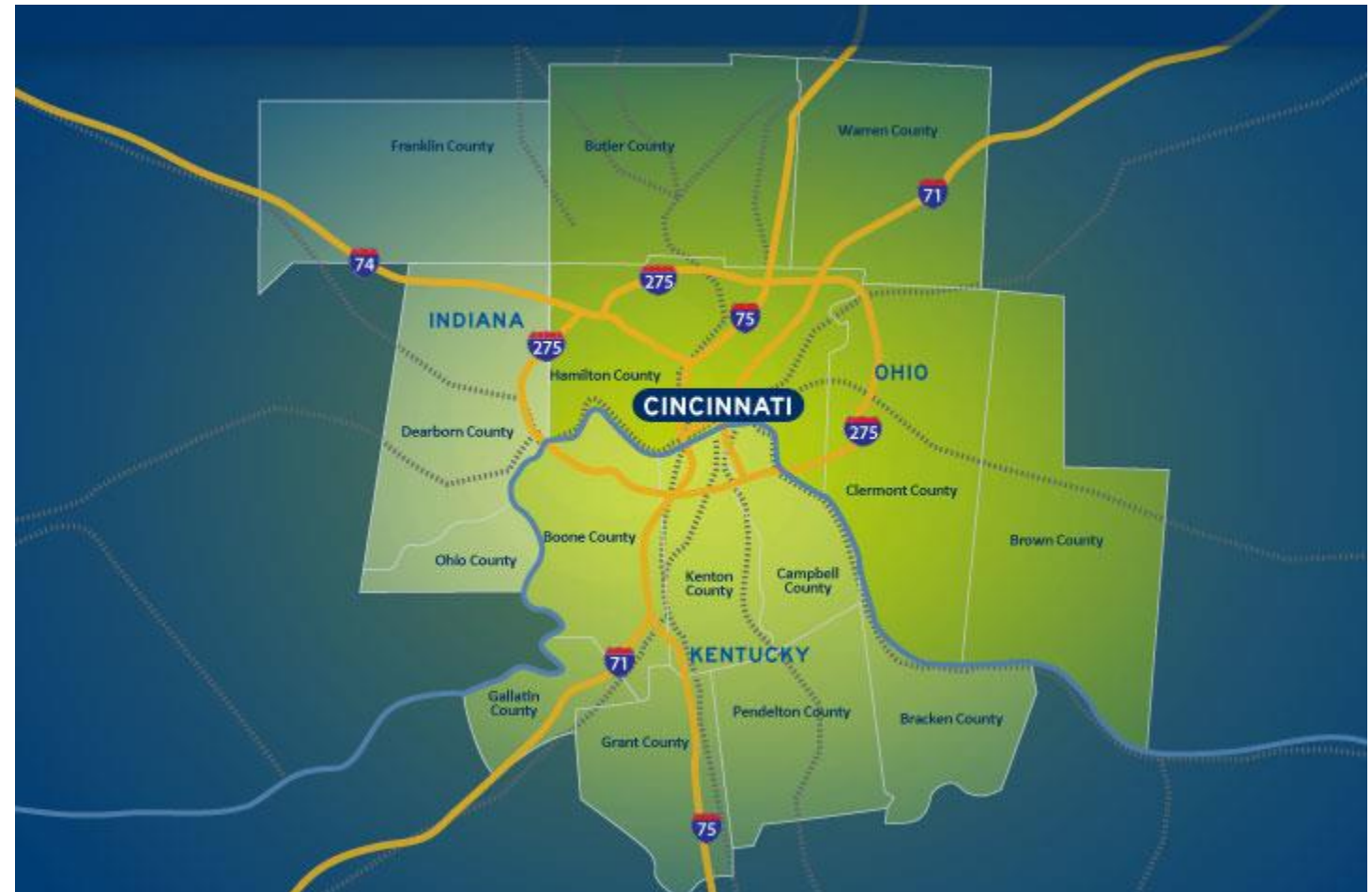
- Smart city fiber network add-ons:
 - Public safety
 - Surveillance cameras
 - License plate readers
 - Environment
 - Pollution / air-quality sensors
 - Smart irrigation control and sensors
 - Traffic management
 - Bluetooth scanners for traffic monitoring
 - Parking sensors
 - Bike/pedestrian counters
 - Equity / Quality of Life
 - Public Wi-Fi hotspots

Items to address in strategic planning

- **Policy Framework**
 - Governance
 - Privacy
 - Cybersecurity
 - Procurement
- **Risk identification / mitigation**
- **Data strategies**
 - Collection
 - Management
 - Implementation
- **Internet of Things (IoT) assessment**
 - Current IoT applications & outcomes
 - Emerging IoT applications & outcomes
- **Cost, budget and funding**
- **Partnership opportunities**
 - Other public agencies
 - Private enterprise
 - Nonprofit organizations
- **Metrics for success**
 - Outcome targets
 - Performance indicators

Regional approaches to smart city planning

- Smart Cincy (P3)
 - City of Cincinnati
 - Ohio-Kentucky-Indiana Regional Council of Governments
 - University of Cincinnati
 - CVG International Airport
 - Cintrifuse
 - Venture Smarter



Smart Cincy focus areas

- Defeating the digital divide
- Cyber Security And Public Safety
- Social Mobility and Economic Development
- Connected and Autonomous Transportation
- Education and Workforce Development
- Environmental Impact and Sustainability

Greater Phoenix Smart Region Initiative

- Arizona State University – Center for Smart Cities and Smart Regions
- Arizona Institute for Digital Progress (nonprofit)
- Greater Phoenix Economic Council



WHAT WORKS CITIES CERTIFICATION ASSESSMENT GUIDE

What Works Cities Certification is the standard of excellence for data-driven local government. The program's 45 criteria outline the people, processes, and policies foundational to a well-managed city. The questions in the Certification assessment are grouped by eight foundational practices:

- Data Governance
- Evaluations
- General Management
- Open Data
- Performance & Analytics
- Repurposing
- Results-Driven Contracting
- Stakeholder Engagement

All 45 Certification criteria are listed in this document and are grouped by each foundational practice listed above. For each criterion, there is a description of what merits a “yes” for the question and a place for you to upload the Supporting Documentation to verify the current state of practice in your local government.

As you complete your Certification assessment, use this guide to better understand the value of each practice, what is required to be able to answer “yes” to each question, and what supporting documentation will be required to verify your responses.

I. Data Governance

The active presence of an authoritative body to lead and oversee data inventory in alignment with citywide technical, privacy, and strategic objectives.

	DG1. Your local government maintains a detailed and comprehensive data inventory that makes its data more discoverable and accessible.
	Checklist (must meet 3 of the 4 below): ☐ Your local government has a documented methodology for routinely collecting and updating the data inventory. ☐ In the past 12 months, the inventory has been updated. ☐ The inventory covers datasets from more than 80% of the departments in the local government. ☐ A version of the data inventory is published online.
	Requested validation during the assessment for “Yes” responses: ☐ A copy of your local government’s data inventory.
	Should we need to follow up, we may request the below additional documentation: ☐ None.

	DG2. Your local government maintains a documented list of data governance responsibilities and meets at least quarterly to carry out those responsibilities.
	Checklist: ☐ Your local government has a designated leader (e.g., chief data officer) and/or data governance team responsible for developing and implementing data governance activities and policies. ☐ Your local government maintains a written list of data governance responsibilities and who is assigned to carrying them out.

	☐ Your data governance process is guided by a statement of purpose or documented set of goals and objectives. ☐ Committees engaged in data governance meet to carry out data governance responsibilities at least quarterly.
	Requested validation during the assessment for “Yes” responses: ☐ Minutes or agenda of your most recent data governance meeting.
	Should we need to follow up, we may request the below additional documentation: ☐ Open data or data governance documents that describe the roles and responsibilities of the data governance team. ☐ Statement of purpose, relevant clauses of enabling policy that identify the goals and objectives of a data governance body, or other official documents identifying the goals of your data governance process. ☐ A schedule of your past year of data governance meetings.

	DG3. Your local government has and carries out documented policies or practices to improve data quality.
	Checklist: ☐ Your local government identifies data quality problems by conducting a data quality audit. ☐ Your local government implements processes to improve identified data quality problems. ☐ Your local government documents standards for internal data so that certain common fields (e.g., street address) are consistent across the organization. ☐ Your local government establishes feedback channels for data users to identify data quality issues.
	Requested validation during the assessment for “Yes” responses: ☐ A summary of your local government’s process to improve data quality.
	Should we need to follow up, we may request the below additional documentation: ☐ Documents that describe what happens when local government staff identify a low-quality dataset and the process for improving the dataset before it is published. ☐ An example of a dataset that has been improved through this process.

	DG4. Your local government has documented policies or practices to protect the privacy and confidentiality of government-held data.
	Checklist: ☐ Your local government has a documented process to reduce the possibility of inadvertently releasing private or confidential data. ☐ Your local government offers staff information or training about how to assess and reduce security risks associated with your data. ☐ Your local government has a process for engaging residents and other external stakeholders in the government’s security risk management program.

	Requested validation during the assessment for “Yes” responses: ☐ A summary of your local government’s practices to protect private and confidential data.
	Should we need to follow up, we may request the below additional documentation: ☐ Internal memos or training materials that inform local government staff who manage and use data about how to protect the privacy and confidentiality of residents.

	DG5. Your local government has a documented and user-friendly process to expedite the sharing of data—including protected data—both cross-departmentally within the local government and with trusted outside partners.
	Checklist: ☐ Trusted outside partners can include academic researchers, contracted service providers, vendors, etc. ☐ Your local government has a written process documenting how to share data internally or with trusted partners. ☐ Your local government has a user-friendly method of collecting requests to share data and requires data-holders to respond in a timely way. ☐ Your local government limits data-sharing agreements to datasets that are non-eligible for open data; otherwise, datasets are publicly shared. ☐ Where there is a risk of liability, your local government uses data-sharing or data use agreements.
	Requested validation during the assessment for “Yes” responses: ☐ Link to an online channel to request or apply for data sharing.
	Should we need to follow up, we may request the below additional documentation: ☐ Copy of relevant policy or process document. ☐ An inventory of data sharing agreements.

II. Evaluations

Systematic assessments using standard research methods to help local governments gain insights into the design, implementation, or effects of a policy, program, or practice, and make continual improvements.

	EVAL1. Your local government has a policy or ordinance that encourages the use of rigorous evaluation methods for practices, programs, and/or policies.
	Checklist: ☐ The policy or ordinance does not have to be publicly available. ☐ The policy or ordinance does not need to require rigorous evaluation in all cases. ☐ The policy or ordinance allows the local government to adopt a “comply or explain” approach, requiring justification of why a program should be evaluated or why a program should not be evaluated. ☐ Policies around the use of audits only qualify if the language includes the use of quasi-experimental evaluations.

	Requested validation during the assessment for “Yes” responses: ☐ Documents containing the policy or ordinance.
	Should we need to follow up, we may request the below additional documentation: ☐ None.

	EVAL2. Your local government has defined standards, methodologies, or tools to help staff rigorously evaluate practices, programs, and/or policies.
	Checklist: ☐ The standards, methodologies, or tools support local government staff in conducting rigorous evaluations.
	Requested validation during the assessment for “Yes” responses: ☐ Documented defined standards, methodologies, or tools to help staff rigorously evaluate practices, programs, and/or policies. ☐ Documents around the use of audits only qualify if the language includes the use of quasi-experimental evaluations.
	Should we need to follow up, we may request the below additional documentation: ☐ Playbooks. ☐ Checklists. ☐ Protocols for conducting experimental evaluations. ☐ Software and code libraries to conduct statistical analysis.

	EVAL3. Your local government requires that, as a condition of funding, new or renewed programs will be rigorously evaluated.
	Checklist: ☐ Requirement can be formal or informal. ☐ Your local government should articulate a rigorous method for how it will determine whether a program is effective.
	Requested validation during the assessment for “Yes” responses: ☐ Budget memo or other relevant document that demonstrates new or renewed programs will be rigorously evaluated as a condition of funding.
	Should we need to follow up, we may request the below additional documentation: ☐ None.

	EVAL4. In the past 12 months, your local government has launched two or more experimental or quasi-experimental evaluations.
	Checklist:

	☐ Experimental or quasi-experimental evaluations can be launched with or without the support of external organizations (e.g., academic institutions, vendors). ☐ The evaluation has been launched if the intervention has been implemented or if analysis of evaluation results has been completed.
	Requested validation during the assessment for “Yes” responses: ☐ A brief summary of two experimental or quasi-experimental evaluations that your local government has launched.
	Should we need to follow up, we may request the below additional documentation: ☐ If evaluations are conducted in-house, examples and evidence of evaluations (e.g., report summarizing the evaluation and results) should be provided. ☐ If evaluations are conducted with external organizations (e.g., academic institutions, vendors), formalized documentation that defines how the scope of the evaluation aligns with the goals of the local government should be provided.

	EVAL5. In the past 12 months, your local government has used the results from experimental or quasi-experimental evaluations to make different, or to newly justify, decisions.
	Checklist: ☐ Decisions include different or newly justified changes to activities or policies.
	Requested validation during the assessment for “Yes” responses: ☐ An example of a different, or newly justified, decision and how it was informed by evaluations.
	Should we need to follow up, we may request the below additional documentation: ☐ None

III. General Management

A strong foundation for the effective use of data and evidence to drive decision-making in local governments starts with the chief executive and local government leadership explicitly communicating and demonstrating to staff that governing with data and evidence is an organizational expectation.

	GM1. Your mayor and/or chief executive communicates and demonstrates to staff that governing with data and evidence is an organizational expectation.
	Checklist: ☐ In the past 12 months, your mayor and/or chief executive has required data analysis, evaluation findings, or other evidence to inform at least two of her/his major decisions. ☐ In the past 12 months, your local government’s mayor, chief executive, and/or executive team has communicated to staff, at least twice, the commitment to data-driven governance on at least 2 separate occasions.
	Requested validation during the assessment for “Yes” responses:

	☐ Provide one example of an internal staff email or memo or council presentation that clearly states leadership's commitment to data-driven governance and establishes it as the organizational expectation.
	Should we need to follow up, we may request the below additional documentation: ☐ Multiple examples of internal staff emails, memos, council presentations, etc. that clearly state leadership commitment to data-driven governance and establish it as the organizational expectation. ☐ Memos, reports, PowerPoints, recommendations made to the mayor and/or chief executive for action.

	GM2. Your mayor and/or chief executive uses data and evidence to publicly communicate the work and impact of government.
	Checklist (must meet 4 of the 6 below): ☐ The mayor or chief executive communicated at least one such example in the most recent State of the City or equivalent address. ☐ In the past 12 months, the mayor or chief executive has shared unique examples at least three times on her/his social media channel(s). ☐ In the past 12 months, there have been at least two unique instances of the mayor or chief executive publicly engaging residents about the local government's data and evidence work. ☐ In the past 12 months, the mayor or chief executive has communicated unique examples via two or more pieces of owned media (e.g., a blog post, a video, a public newsletter, etc.). ☐ In the past 12 months, the mayor or chief executive has communicated unique examples via two or more pieces of earned media (e.g., a news clip, a TV spot, an op-ed, etc.). ☐ In the past 12 months, the mayor or chief executive has referenced unique examples in at least two public appearances other than the State of the City (e.g., at conferences, panels, presentations to local groups, etc.).
	Requested validation during the assessment for "Yes" responses: ☐ A link to the most recent State of the City or equivalent address during which the mayor and/or chief executive used data and evidence to publicly communicate the work and impact of government. ☐ Handles for the mayor's and/or chief executive's social media pages (Twitter, Facebook, Instagram, LinkedIn, YouTube, etc.). ☐ One earned or owned media piece from the past 12 months in which your mayor and/or chief executive used data and evidence to communicate the work and impact of government.
	Should we need to follow up, we may request the below additional documentation: ☐ Multiple examples of major speeches and other public appearances. ☐ Additional earned and owned media pieces from the past 12 months.

	GM3. Your local government regularly uses public communications to share examples of how it is governing using data and evidence and/or stories of progress made as a result.
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	Checklist (must meet 4 of the 7 below and examples must be different than the ones provided to support GM2): In the past 12 months, the local government can demonstrate unique examples of the following public communications: ☐ Four or more posts on its social media channels. ☐ Two or more pieces of owned media (e.g., a blog post, a video, a public newsletter, etc.). ☐ One or more pieces of earned media (e.g., a news clip, a TV spot, an op-ed, etc.). ☐ Three or more public presentations or speeches (e.g., at conferences, panels, presentations to local groups, etc.). ☐ One example of a resource created to help residents understand how to use a municipal data tool (e.g., announcing the launch of an interactive site that breaks down the municipal budget, releasing a video on how to use the municipal open data portal, etc.) and/or public communications about the availability of said tool. ☐ One example of a public announcement (e.g., via a press release, social media posts, earned or owned media, etc.) that complemented a major data achievement (e.g., the launch of an open data portal, data-informed improvements to a program, resources saved as a result of using data, etc.). ☐ One example of how community members have used municipal data and/or achievements made as a result.
	Requested validation during the assessment for “Yes” responses: ☐ Handles for the local government’s most prominent social media pages (Twitter, Facebook, Instagram, LinkedIn, YouTube, etc.). ☐ One earned or owned media piece from the past 12 months in which your local government publicly communicated how it is governing using data and evidence and/or stories of progress made as a result.
	Should we need to follow up, we may request the below additional documentation: ☐ Multiple examples of communications from the past 12 months in which your local government publicly communicated how it is governing using data and evidence and/or stories of progress made as a result.

	GM4. Your local government has a designated leader and/or team responsible for developing and implementing citywide performance management practices.
	Checklist: The performance management team should include people who fill the following roles: ☐ Principal: The Mayor, City Manager, or another (typically elected or appointed) leader who has the desire to manage a government, or a branch of a government, utilizing an evidence-based approach ☐ Agency or department heads or their representatives ☐ Stat lead: An appointed member of the principal’s team who is responsible for overseeing departments through the performance management process ☐ Analyst: The person responsible for collecting and managing the data used in the performance management program, and preparing analyses and reports of departmental data ☐ Department contact ☐ Data experts ☐ Community members (optional).

	Requested validation during the assessment for “Yes” responses: ❑ Names, titles and email addresses of the designated leader and/or team responsible for developing and implementing citywide performance management practices.
	Should we need to follow up, we may request the below additional documentation: ❑ Performance management documents that describe team members and their roles and responsibilities. Designated team members should also be able to clearly articulate the role they play in the local government's performance management efforts. When possible, organizational charts and job descriptions could suffice.

	GM5. Your local government has a designated leader and/or team responsible for developing and implementing citywide data governance practices and policies.
	Checklist: The data governance team typically includes the following people: ❑ Deputy Mayor, Assistant City Manager, or another senior executive, who serves as the committee chair ❑ Council members or designees (if a law or ordinance was passed and sponsors expect to be engaged on an ongoing basis) ❑ Chief counsel ❑ Press or communications manager ❑ Chief Information Officer, Chief Technology Officer, or Chief Data Officer ❑ Project manager ❑ Agency or department heads or their representatives ❑ Data managers from all relevant agencies and departments ❑ Community members.
	Requested validation during the assessment for “Yes” responses: ❑ Names, titles and email addresses of the designated leader and/or team responsible for developing and implementing citywide data governance practices and policies.
	Should we need to follow up, we may request the below additional documentation: ❑ Data Governance documents that describe team members and their roles and responsibilities. Designated team members should also be able to clearly articulate the role they play in the local government's data governance efforts. When possible, organizational charts and job descriptions could suffice.

	GM6. Your local government has a designated leader and/or team responsible for helping departments conduct experimental or quasi-experimental evaluations.
	Checklist: ❑ Your local government has one or more individuals with appropriate skills to lead the design, implementation, and evaluation of experimental or quasi-experimental evaluations. ❑ Alternatively, your local government has established effective relationships with external organizations (e.g., academic institutions, vendors) with the appropriate skills. Further,

	the leader or team within the local government manages the evaluation projects that the external organizations help plan and conduct. ☐ There is a process to match their expertise with evaluation topics that enable the leader or team to work on priority projects across the local government (i.e., across departments).
	Requested validation during the assessment for “Yes” responses: ☐ Names, titles and email addresses of the designated leader and/or team responsible for helping departments conduct experimental or quasi-experimental evaluations.
	Should we need to follow up, we may request the below additional documentation: ☐ Roles and responsibilities of relevant staff identified. Designated team members should also be able to clearly articulate the role they play in the local government's evaluation efforts. When possible, organizational charts and job descriptions could suffice.

	GM7. Your local government has a designated leader and/or team responsible for applying results-driven contracting strategies to its portfolio of upcoming key procurements, contracts, and/or grants citywide or within departments.
	Checklist (must have 1 of 2 below): ☐ Designated leaders and/or the team will be in a senior position in a centralized office (e.g., Procurement Office, Budget Office, Innovation Office, Mayor’s Office, etc.), OR ☐ Designated leaders and/or the team within departments have succeeded in broadly applying results-driven contracting to their most important procurements with assistance from a centralized office.
	Requested validation during the assessment for “Yes” responses: ☐ Names, titles and email addresses of the designated leader and/or team responsible for applying results-driven contracting strategies.
	Should we need to follow up, we may request the below additional documentation: ☐ Job descriptions of the designated leader and/or team members identified. ☐ A description of strategic procurement at the citywide or department level. ☐ Example meeting agendas or datasets/dashboards for strategic procurement system meetings.

	GM8. Your local government provides access to trainings for all local government staff on how to use data and evidence to make decisions.
	Checklist: ☐ Trainings can be both internal or external, virtual or in-person, or offered through a data academy, etc. ☐ Your local government communicates inside and outside of government about newly available data or opportunities to get involved with its data program. ☐ Your local government holds in-person or online events that feature organizational data or insights from organizational data. ☐ Your local government seeks relationships with external researchers who might be able to use organizational data to provide the local government with useful insights. ☐ Your local government conducts internal training to ensure that staff can make good use of organizational data in their daily work.

	Requested validation during the assessment for “Yes” responses: ☐ A summary of the trainings held for local government staff as described above
	Should we need to follow up, we may request the below additional documentation: ☐ Sample agendas and presentations from trainings, curricula, and feedback from participants.

	GM9. Your local government has documented and carried out strategies to embed, deepen, and/or spread the strategic use of data within and across your government.
	Checklist: In the past 12 months, the local government has done the following: ☐ Drafted and made accessible to staff and/or residents a value proposition for its strategic use of data alongside a scope of services. ☐ Developed an internal strategy for spreading strategic data use that accounts for behavioral shifts, culture preferences, and norms. ☐ Provided opportunities for key users to incorporate their feedback into the design of those services. ☐ Developed an internal communications strategy to educate staff on the value proposition of key data informed practices. ☐ Developed strategies to upskill key local government staff and users on leveraging data and evidence to make decisions. ☐ Documented strategy for maintaining data capacity across administration transitions.
	Requested validation during the assessment for “Yes” responses: ☐ Narrative on how your government has spread the use of strategic data within and across the government.
	Should we need to follow up, we may request the below additional documentation: ☐ Culture building, change management, and/or internal communications strategy documentation. ☐ Links to or documentation of defined value proposition and scope of services for data and analytics practices. ☐ Documentation of internal training opportunities, such as a data academy. ☐ Program transition planning documentation or incorporation into workflows. Examples of user/stakeholder feedback informing design of local government’s data practices.

IV. Open Data

The practice of proactively making electronic data records publicly available - in whole or in part - and legally open without restriction on use or re-use. Included in this practice is the creation of sustainable open data systems that promote informed decision-making, transparency, and robust citizen engagement.

	OD1. Your local government has a publicly available, codified open data policy that commits to data transparency and proactive public disclosure of local government data and data practices.
	Checklist: ☐ The policy creates a governance structure for the proactive release of public information.

	☐ The policy requires at least annual public reporting. ☐ The policy provides opportunities for public input. ☐ The policy ensures periodic review of policy language and implementation practice. ☐ The policy commits to public disclosure of decision-making pertaining to collection, prioritization, storage, use, analysis, and publication of public data and information, including explanation for sensitive, protected, or other information ineligible for release.
	Requested validation during the assessment for “Yes” responses: ☐ Link to the publicly available open data policy.
	Should we need to follow up, we may request the below additional documentation: ☐ None

	OD2. Your local government has a documented process for publishing open data.
	Checklist: ☐ The process includes ensuring consistent metadata. ☐ The process forces local government employees to review data quality before it is published. ☐ The process prevents the inadvertent release of protected data. ☐ The process includes mandated opportunities for public comment or feedback collection.
	Requested validation during the assessment for “Yes” responses: ☐ Open data governance documents that detail the open data publishing process.
	Should we need to follow up, we may request the below additional documentation: ☐ None.

	OD3. Your local government publishes open data to a central, public online location.
	Checklist: ☐ The central online location should be appropriately contextualized with clear language, contact information, relevant policies and/or reports, and other documents. ☐ The publicly available data should be machine-readable, downloadable, and freely available.
	Requested validation during the assessment for “Yes” responses: ☐ Link to your local government’s open data portal
	Should we need to follow up, we may request the below additional documentation: ☐ None

	OD4. Your local government adopts Civic Data Standards.
	Checklist:

	☐ Your local government uses at least one common data standard (e.g., GTFS). ☐ In the past 12 months, your local government has explored an application of at least one additional civic data standard.
	Requested validation during the assessment for “Yes” responses: ☐ Name the Civic Data Standard your local government uses.
	Should we need to follow up, we may request the below additional documentation: ☐ Sample dataset, along with naming the conforming standard.

V. Performance & Analytics

The practice of studying how to perform better and inserting those insights into the operational decision-making process, solving local government problems through performance management systems, and creating a culture of accountability.

	PA1. Your local government identifies strategic goals, aligns a diverse set of measures with those goals, and uses data to evaluate progress toward them.
	Checklist: ☐ Your local government documents its key citywide priorities and/or goals (e.g., strategic plan, visioning statement, etc.). ☐ Your local government has assigned targets, metrics, and a timeframe for measuring progress toward the achievement of a publicly stated strategic goal(s).
	Requested validation during the assessment for “Yes” responses: ☐ Link to strategic goals that are citywide, time-bound, specific, and measurable.
	Should we need to follow up, we may request the below additional documentation: ☐ None

	PA2. Your local government holds performance management meetings during which it reviews data, discusses insights, and makes decisions about its strategic goals at least quarterly.
	Checklist: ☐ Senior leadership regularly attends performance management meetings. ☐ Your local government has a designated process for conducting analysis, preparation, and follow-up for each performance management meeting. ☐ Performance management meetings are used to review data to spur critical thinking about the achievement of shared goals. ☐ Your local government has a set schedule for performance management meetings.
	Requested validation during the assessment for “Yes” responses: ☐ Minutes or agenda of your most recent performance management meeting.
	Should we need to follow up, we may request the below additional documentation:

	☐ Schedule of upcoming performance management meetings. ☐ Stat memos or presentations. ☐ Video of or minutes from previous meetings.
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	PA3. Your local government regularly shares its strategic goals, performance measures, and progress toward achieving those goals with the public.
	Checklist: ☐ Your local government documents its key citywide priorities and/or goals (e.g., strategic plan, visioning statement, etc.). ☐ Your local government has assigned targets, metrics, and a timeframe for measuring progress toward the achievement of a publicly stated strategic goal(s).
	Requested validation during the assessment for “Yes” responses: ☐ Link to to where progress toward strategic goals is publicly shared
	Should we need to follow up, we may request the below additional documentation: ☐ Strategic plans posted online. ☐ Text, audio, or video of major speeches (e.g., State of the City, etc.) and/or other public appearances. ☐ Links to social media posts (e.g., Twitter, Facebook, etc.).

	PA4. Your local government has documented policies or practices to manage the risk of data breach, loss, or unauthorized manipulation.
	Checklist: ☐ Existence of a Chief Information Security Officer or similar role and/or function. ☐ An audit mechanism, even if the audit is done by a third party or other independent agency and/or authority. ☐ Training to update city staff on policies and procedures.
	Requested validation during the assessment for “Yes” responses: ☐ Name, title and email address of the Chief Information Security Officer or similar role and/or function for your local government.
	Should we need to follow up, we may request the below additional documentation: ☐ Copy of relevant documented policy and/or practice. ☐ Job Descriptions. ☐ Evidence that trainings to city staff on policies and procedures took place.

	PA5. Your local government has documented policies or practices aimed at harnessing the benefits of artificial intelligence (AI) while reducing associated risks.
	Checklist:

	☐ Your local government documents where and how automated decisions are taking place, what risks they present, and the strategies in place to mitigate those risks. ☐ Your local government routinely engages with residents to gather feedback and concerns about how data is used by the local government and its partners. ☐ Your local government has documented policies or practices to attempt to reduce the impact of demographic or geographic bias.
	Requested validation during the assessment for “Yes” responses: ☐ A summary of the practices used by your local government to reduce risks associated with automated decisions and artificial intelligence (AI).
	Should we need to follow up, we may request the below additional documentation: ☐ None

	PA6. Your local government leaders have the ability to access and incorporate data analysis when necessary for strategic decision-making.
	Checklist: Local government leaders have the ability to access some of the following when necessary for data-focused or performance management meetings: ☐ Descriptive analysis (averages, counts, maximums/minimums) ☐ Diagnostic analysis (regression, correlation, data mining) ☐ Geospatial analysis ☐ Prescriptive analysis (algorithms).
	Requested validation during the assessment for “Yes” responses: ☐ An example of data analysis that was utilized to make strategic decisions.
	Should we need to follow up, we may request the below additional documentation: ☐ Sample performance management memos and/or presentations, Excel spreadsheets, R code and output, or results from complete projects.

	PA7. Your local government uses analysis produced as part of your local government’s performance and/or analytics program to inform decisions about resource allocation, hiring, and/or service delivery.
	Checklist: ☐
	Requested validation during the assessment for “Yes” responses: ☐ An example of a specific instance where policy decisions were made as a result of your local government’s performance and/or analytics program.
	Should we need to follow up, we may request the below additional documentation: ☐ Examples of analysis conducted, including memos and presentations from performance management meetings. Local governments should point to specific instances where policy decisions were made.

VI. Repurposing

A strategic process that local governments use to shift funding and resources from ineffective programs and services, to those that are evidence-based and resident-focused.

	RP1. Your local government uses data to align its budget process with its strategic priorities.
	Checklist: ☐ The process requires budget proposals, requests, and/or renewals to be tied to strategic priorities, performance, data, and/or evidence.
	Requested validation during the assessment for “Yes” responses: ☐ A budget request form, budget renewal form, or budget memo
	Should we need to follow up, we may request the below additional documentation: ☐ None

	RP2. Your local government has a documented process, informed by data analysis and resident feedback, for determining when a program should be discontinued.
	Checklist: ☐ None
	Requested validation during the assessment for “Yes” responses: ☐ A summary of the process that is used to determine when a program should be discontinued.
	Should we need to follow up, we may request the below additional documentation: ☐ Internal process or external policy, resolution, and/or ordinance (e.g., budget, performance management).

	RP3. Your local government has made a different or newly justified budget decision about a practice, program, or policy based on analyzed data.
	Checklist: ☐ Your local government documents its key citywide priorities and/or goals (e.g., strategic plan, visioning statement, etc.). ☐ Your local government has assigned targets, metrics, and a timeframe for measuring progress toward the achievement of a publicly stated strategic goal(s).
	Requested validation during the assessment for “Yes” responses: ☐ An example of a different or newly justified budget decision that was made based on analyzed data.
	Should we need to follow up, we may request the below additional documentation:

	☐ None
	RP4. In the past 24 months, your local government has shifted (or begun the process of shifting) funding away from a program that has failed to achieve its desired outcomes toward a new program.
	Checklist: ☐ Outline the process the local government is pursuing, or has pursued, including identification of the particular practice, program, or policy that is being affected. ☐ Program is shown to be ineffective through data analysis or evaluation, and resident feedback.
	Requested validation during the assessment for “Yes” responses: ☐ An example of when funds were shifted away from a program that failed to achieve its desired outcomes toward a new program.
	Should we need to follow up, we may request the below additional documentation: ☐ None

VII. Results-Driven Contracting

A set of strategies to structure, evaluate, and actively manage contracts strategically, using data to help local governments leverage procurement as a tool to make progress on their highest priority goals.

	RDC1. Your local government defines strategic goals and desired outcomes for key procurements, contracts, and/or grants.
	Checklist: ☐ Outcomes and desired outcomes should be specific, clearly stated, and should make sense in the context of the good or service being acquired. ☐ Examples provided should be for at least three different types of key procurements, contracts, and/or grants.
	Requested validation during the assessment for “Yes” responses: ☐ One example of either a procurement (e.g., RFPs, RFQs), contract, or grant to acquire a good or service.
	Should we need to follow up, we may request the below additional documentation: ☐ Two additional unique examples of either procurements (e.g., RFPs, RFQs), contracts, or grants to acquire two different goods or services (i.e., they cannot be two contracts for shelter services, but could be an RFP for shelter services, an RFP for supportive housing, and a contract for transitional housing).

	RDC2. Your local government measures outcomes, impacts, and/or cost-effectiveness for key procurements, contracts, and/or grants.
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	Checklist: ☐ The performance tracking system should be aligned with the strategic goals and desired outcomes of the key procurements, contracts, and/or grants, and should allow your local government to track progress toward those goals. ☐ Your local government should be able to use the performance tracking system to flag when vendor performance is off-track during the course of the contract.
	Requested validation during the assessment for “Yes” responses: ☐ Evidence must be supported by the same example provided to verify the first Results-Driven Contracting criteria.
	Should we need to follow up, we may request the below additional documentation: ☐ Evidence must be supported by two additional examples provided to verify the first Results-Driven Contracting criteria.

	RDC3. Your local government has mechanisms in place to compare the performance of similar contractors and determine which are most effective.
	Checklist: ☐ Your local government should provide materials used to track data for comparing performance (e.g., vendor report cards, dashboard/reports with process and outcome metrics, etc.) for at least one product or service type. ☐ Your local government should provide contracts of similar vendors to make sure consistent metrics are outlined, given the goals of the contract. Contracts may include additional metrics that are specific to a contractor that are not also used to measure performance of similar contractors. ☐ If your local government compares performance using administrative information (i.e., not reported by contractors), you should provide copies of performance reports of similar contractors. Examples of similar contractors include contractors providing waste collection services, contractors providing architecture services, or contractors providing workforce development services to a high needs population. ☐ Note that when comparing performance of social service providers, it is important to account for the differences in target populations as well as potential external factors that could influence observed outcomes.
	Requested validation during the assessment for “Yes” responses: ☐ Vendor score cards/report cards or dashboards comparing vendors across a consistent set of metrics
	Should we need to follow up, we may request the below additional documentation: ☐ Examples of contracts with similar vendors that outline consistent metrics and/or performance reports of similar vendors.

	RDC4. Your local government structures procurements, contracts, and/or grants to align the vendor's incentives with the local government's strategic goals.
	Checklist:

	☐ To qualify, you may demonstrate structuring the procurement, contract, and/or grant in terms of any of the following, based on desired outcomes: ☐ Procurement vehicle (e.g., problem-based, agile, or design build structures) ☐ Contract type/Payment mechanism (e.g., fixed-price, cost-type, performance-based, etc.) ☐ Vendor selection criteria ☐ Scope of work ☐ Your government should provide examples of the most important procurements in which your local government thought carefully about the objective and how to structure the contract and payment type to best achieve desired outcomes. ☐ Your government should explain how procurement/contract structure is setting the local government up for success. ☐ Your government should explain how decisions on the right procurement structure for each vendor are made.
	Requested validation during the assessment for “Yes” responses: ☐ Evidence must be supported by the same example provided to verify the first Results-Driven Contracting criteria.
	Should we need to follow up, we may request the below additional documentation: ☐ Evidence must be supported by two additional examples provided to verify the first Results-Driven Contracting criteria.

	RDC5. Your local government actively manages contracts, using performance data to troubleshoot challenges and achieve desired outcomes, by engaging with contractors at least monthly during the course of the contract.
	Checklist: ☐ Your local government has examples of how performance data was used to identify a challenge and how the local government then engaged with the vendor to design a course correction during the contract term. ☐ Your local government collects and shares performance data with contractors. ☐ Your local government uses performance data to identify challenges. ☐ Your local government engages contractors at least monthly to course correct when challenges are identified. Meetings for compliance purposes do not qualify.
	Requested validation during the assessment for “Yes” responses: ☐ Examples of how performance data was used to identify a challenge and how the local government then engaged with the vendor to design a course correction during the contract term. Evidence must be supported by the same example provided to verify the first Results-Driven Contracting criteria.
	Should we need to follow up, we may request the below additional documentation: ☐ Evidence must be supported by two additional examples provided to verify the first Results-Driven Contracting criteria

	RDC6. Your local government reviews vendor performance data to inform future contracting decisions, including the selection of vendors, renewal of contracts, and/or expansion of existing scopes.
	Checklist: ☐ Evidence that allocation of expansion of an existing scope of work is informed by performance, RFPs that specify that the selection of the vendor/service provider will be decided in part by past performance, and evidence that past performance data of similar contractors is shared across departments. ☐ Three examples of Evidence may be supported by the same three examples used in the first Results-Driven Contracting question.
	Requested validation during the assessment for “Yes” responses: ☐ An example of when vendor performance data informed future contracting decisions.
	Should we need to follow up, we may request the below additional documentation: ☐ Contracts that specify contract renewal depend (in part) on using clearly defined process and outcome metrics and possibly some qualitative information (i.e., was the vendor responsive?, a good collaborator?) ☐ Examples and/or evidence that allocation of expansion of an existing scope of work under current contracts is informed by performance. ☐ RFPs that specify that the selection of the vendor will be decided in part by past performance of that vendor. ☐ Past performance data of similar contractors across departments.

	RDC7. Your local government proactively shares data, documents, and information about contracts, procurement, and/or vendor performance, in order to increase bid competitiveness and strengthen procurement transparency and accountability.
	Checklist: ☐ Your local government shares data on contracting using as much of the Open Contracting Data Standard requirements as possible. ☐ Your local government shares a list of procurements set to expire or upcoming in the next 6-12 months. Data fields: project name, project description, estimated timing, estimated dollar size. ☐ Your local government shares previous contracts that are downloadable and machine readable. .
	Requested validation during the assessment for “Yes” responses: ☐ Link to shared data, documents, information about contracts, procurement and/or vendor performance.
	Should we need to follow up, we may request the below additional documentation: ☐ None

VIII. Stakeholder Engagement

Stakeholder Engagement, including Tactical Data Engagement, is designed to help local governments go beyond open data policies and portals, to facilitate opportunities for the community use of open data to improve residents' lives.

	SE1. Your local government tracks and documents insights about open data users and open data applications, and incorporates user needs into the design and implementation of its open data and transparency practices.
	Checklist: ☐ Your open data team analyzes data download statistics, website usage statistics, public records request counts, or other existing internal datasets to inform open data releases or open data portal design. ☐ Your local government has established online channels for residents to provide questions or comments around open data, including online feedback forms or crowdclaw platforms. ☐ User personas or use cases for open data are developed based on design research on examples of internal or external data use, or by using collaborative workshop techniques.
	Requested validation during the assessment for “Yes” responses: ☐ Link to an online feedback form for your local government’s open data.
	Should we need to follow up, we may request the below additional documentation: ☐ Results of analysis or demand-signal datasets, online feedback form or crowdclaw platforms in use, and a written explanation of primary use cases for City open data.

	SE2. Your local government provides clear how-to guidance to help residents access and use city data.
	Checklist: ☐ Your local government’s how-to guidance or open source code helps residents analyze, engage, or apply specific datasets for at least one dataset or tool. ☐ Your local government staff have been present for at least one in-person and/or online training to support local data users in accessing, understanding, or using publicly available datasets. ☐ Your local government partners with local open data experts to fill additional capacity for public "help desk support" for open data use or community training for local data users.
	Requested validation during the assessment for “Yes” responses: ☐ A link to your local government’s how-to guidance to help residents access and use city data.
	Should we need to follow up, we may request the below additional documentation: ☐ Evidence that public guidance on how to use data was published or that public data training took place, including contact information for participating community partners. ☐ Open source documentation for online open data tools.

	SE3. Your local government provides a clear process for partnership and collaboration with data users for the purpose of inviting community members to use public city data to solve pressing community issues. (must have 1 of 3 below)
	Checklist: ☐ Your open data team makes public calls for partnership or collaboration on their website or through a structured, formal channel.

	☐ Your local government provides application-based grant funding for projects that are required to use open data. ☐ Your local government regularly collaborates with community members on hands-on coding or data use projects.
	Requested validation during the assessment for “Yes” responses: ☐ Link to online partnership application or online call/announcement.
	Should we need to follow up, we may request the below additional documentation: ☐ Grant requirements to use open data ☐ Results of community-driven collaboration using city open data

	SE4. Your local government supports efforts to educate, activate, or upskill partners (e.g., civic groups, vendors, service providers) to better understand and utilize administrative and performance data to deepen community impact.
	Checklist: ☐ Your local government facilitates meetings of stakeholders or dedicates open data team staff to participate in community-run events or non-open data department events to find ways to generate community impact from city data. ☐ Your open data team user-tested at least one open data product and/or tool in the past 12 months. ☐ Your open data team conducted in-person demonstrations of at least one open data product or tool in the past year using local government resources, local government space, or local government financial sponsorship for the demo.
	Requested validation during the assessment for “Yes” responses: ☐ A summary of efforts made to educate, activate, or upskill partners to better understand and utilize administrative and performance data.
	Should we need to follow up, we may request the below additional documentation: ☐ User testing results (synthesized feedback/summary of results from user testing) ☐ Evidence of open data demonstrations.

SMART CITY STRATEGIES

A Global Review 2017

CATAPULT
Future Cities



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FOREWORD

A GLOBAL REVIEW OF SMART CITY STRATEGIES

For many years I have seen cities around the world embrace the idea of becoming a smart city, but struggle with the transformations that it requires. The most beautiful visions and the most intricate plans fall down when they are confronted with the messy reality of living cities.

Nonetheless numerous demonstrators, including our own, have shown how smarter services can make cities better, from digital tools for planning, to intelligent transport systems for faster emergency response. And as this report suggests, if cities do not engage with this issue, then technology will disrupt them regardless.

At Future Cities Catapult we believe that creating positive, impactful transformation on the ground requires strategies for dealing with the reality of cities. To this end, we help create smart city strategies led by cities and citizens.

This report is a step towards providing that support for any city that wants to become a smart city or wants to innovate. It surveys the journey that 21 cities have taken in creating their smart city strategies, looking for trends and lessons that others can learn from. We hope that it will help you to forge a path towards a vision for your citizens and your city's future.



Jarmo Eskelinen
Chief Innovation & Technology Officer
Future Cities Catapult

EXECUTIVE SUMMARY

The 'smart city' was popularised as a concept in the early 2010s to describe how advances in technology and data could allow us to plan and run our cities better. Since then interest in the idea has exploded, attracting influence, investment, and criticism across the world.

This study aims to provide a global overview of why cities engage in the smart cities agenda, what challenges they meet along the way and how they are attempting to solve them. We studied 21 cities during this research, based on a mix of geography, population size, maturity of smart city strategy and capacity to contribute to the project.

This report lays out some of the principles and patterns that we have seen across smart city strategies today. These are structured around

- (i) How the smart city concept is changing
- (ii) What smart city strategies are trying to do and why
- (iii) How smart city strategies are being made
- (iv) How smart city strategies are being implemented

Through this research we are building a richer knowledge base for cities that are embarking on their own smart city strategies, as well as a reference for those who are already some way through the journey.



EXECUTIVE SUMMARY



EXECUTIVE SUMMARY

(I) THE EVOLUTION OF THE SMART CITY

The 'smart city' rose to prominence in the public consciousness as a marketing concept from global technology companies that saw an opportunity to sell digital transformation and new technology into big city systems (water, energy, transport). 'Smart City' caught the imagination as smart phones and digital transformation spread across the world at a phenomenal rate.

But while the market opportunity was clear to technology companies, the proposition for cities was less clearcut, and voices from government and academia quickly questioned the value of the solutions coming from these companies from the city and the citizen's perspective. In the space of a few years the concept of a smart city shifted from a focus on technologies and systems, to a focus on citizens and services for them.

We are now witnessing a challenge to the vision of a citizen-centred smart city arising from the disruption brought by Silicon Valley companies. Digital transformation is allowing these companies to disrupt existing ecosystems, offering both challenges and opportunities to citizens and city stakeholders. For the most part, governments have been slow to consider whether their strategies and regulations are fit for purpose in the context of this rapid disruption.

(II) THE AMBITIONS OF SMART CITY STRATEGIES

Smart city strategies have broad ambitions that are often hard to pin down. They typically cover the range of economic, social and environmental outcomes that most cities strive for.

Over time, the emphasis of smart city strategies has shifted from ambitions to achieve efficiencies in service provision, to ambitions for higher quality of life for citizens and more sustainable living. Indeed, our interviews show that these ambitions are underpinned by a drive to improve quality of life, empower citizens and make cities safer. That shift has corresponded with the evolution of the smart city concept from a technology-led narrative on how service efficiency can improve, to a citizen-centric narrative on how services and infrastructure can be transformed to improve the lives of citizens.

While the narrative and ambition of smart city strategies has evolved over the years, ICT infrastructure and data analytics remain at the core of how these strategies are expected to have

their impact on the city. In most cases, regardless of the cities' goals, smart cities are primarily associated with the deployment of ICT solutions and collecting and analysing data to improve decision-making.

However in some cities, for example in Helsinki, the core enabler of the strategy is an innovation ecosystem. In these cities, a thriving innovation ecosystem is seen as critical to drive the creation and adoption of smart city solutions. Supporting such an ecosystem is then the major component of these strategies.

In developing countries like India, smart city strategies encompass the delivery of core infrastructure as well as the ICT and innovation. The smart city concept in this context is a signal of the aspiration to leap to the cutting edge of modernity.

(III) HOW SMART CITY STRATEGIES ARE MADE

In most regions that we observed, smart city strategies are made through collaborative stakeholder engagement with city stakeholders and citizens. The merits of such a collaborative approach are well-understood – it creates a better suited strategy that has more buy-in with the stakeholders that need to deliver it. However such an approach takes longer to complete, and more resources.

Governments in rapidly urbanising areas, particularly in China and South East Asia, opt for a top-down approach, which tends to limit consultation to internal stakeholders (i.e. departments). This approach allows for rapid decision-making in a context where cities are growing at unprecedented rates. Whilst this meets an immediate short-term need, there is an emerging desire to achieve a rebalancing towards a more collaborative approach to meet citizens' needs. The collaborative approach also ensures that citizens are engaged as innovators and thus a bigger pool of intellectual capital is harnessed.

(IV) HOW SMART CITY STRATEGIES ARE IMPLEMENTED**Presenting the Strategy**

Cities that are writing a smart city strategy for the first time usually create a separate strategy to start with. Twelve of the cities in our research fell into this category. This approach helps focus attention on a specific document and clarify thinking.

EXECUTIVE SUMMARY

Five of the cities in our research had embedded strategies. As strategies mature, there is evidence that they gradually become more embedded within the overall city vision, such as New York. This gives ownership of the smart city strategy to the service and budget owners that have the power to implement and scale.

Four of the cities in our study had limited, thin or no documentation of their strategy. This approach has allowed them to avoid the delay of a formal strategy process. However it is not clear whether the key benefits of a formal strategy (political weight, signalling to the market, stakeholder engagement and alignment) can be achieved through informal means.

Governance and Delivery Models

Smart city strategies generated through collaborative strategy formulation usually lead to the creation of an arm's length organisation or public-private partnership to deliver it. This is the natural successor to the networks that convene to bring city stakeholders together during the collaborative strategy process.

The other common model for cities to adopt is to create a smart city office within City Hall. This office can spearhead the smart city strategy within city government, connecting the aspirations of leadership with the various departments required for implementation.

Finance

Finance for smart city projects is intrinsically linked to the governance and delivery structure of the strategy as well as commitment from national administrations. Currently, funding primarily comes from public sector sources: the overall city budget, national government or in Europe, EU funding. In North America and Africa, private investment plays a larger role.

Smart city funding is still highly dependent on project financing, and is not often tied to core city funding. This reflects a failure to connect innovation and pilot schemes with large scale services and purchasing decisions. Where direct cost savings are available, e.g. smart lighting, support from core city funding may be easier to secure. This represents an opportunity for scaling solutions that generate savings or revenue streams. But as the ambitions of smart city strategies extend beyond service efficiency and cost savings, new modes of value capture may be required to tap into core city funding.

Implementation Challenges

There are a range of challenges that prevent cities from implementing smart city initiatives.

The key challenge highlighted in our research, however, is the lack of strong leadership, skills and capacity across all levels of local government. Political buy-in is essential for maintaining the momentum of the smart city agenda. That momentum can become unstuck as the political cycle turns, so strategies need to convert to impact that can be recognised across political divides. Further challenges include the lack of innovative procurement, cross-city collaboration, private sector engagement, and interoperability.

The cities in our survey are taking steps to deal with these challenges, from promoting more innovative procurement (e.g. Dublin) to creating city-wide networks that encourage collaboration (e.g. Berlin). Their experiences are what lead us to make the following recommendations.

RECOMMENDATIONS

Based on the challenges and best practices that emerged during our research, we would propose the following recommendations to cities embarking or already on a smart city journey:

- Establish **strong leadership to develop skills and capacity** within local government to deliver at-scale smart city projects. Go to page 28 to see how cities like Tel Aviv are appointing champions and upskilling their council staff.
- **Embed your smart city strategy** within existing statutory frameworks in order to ensure the strategy's implementation and funding. Go to page 23 to learn about how cities like Sydney and São Paulo are weaving their smart city thinking into their city plans.
- When creating your smart city strategy, **consider a collaborative approach**, coupled with strong political support, to ensure that you harness your citizens' and businesses' capabilities and respond to their needs. Go to page 20 to see how cities like Pune and Toronto are achieving this at scale.
- **Tap into core city funding** by regularly scanning your existing city assets and budgets in order to leverage these for smart city projects. Go to page 35 to see how New York carves pilot funding out of the city budget.
- Create a **plan for private sector collaboration**, as well as a designated person or team for communicating with businesses and investors. Go to page 27 to learn about how Chicago works with the private sector to run pilots and scale them to the market.

1

INTRODUCTION

1.1

WHY DO WE NEED A GLOBAL REVIEW?

The use of technology is changing everyday life for people in cities, and how the city is evolving to meet their needs. This is nothing new, we only need to see how the elevator made possible high-rise buildings, or how cars allowed cities to grow horizontally. But the pervasive nature of digital technology means that this change is impacting people's lives at an unprecedented pace.¹

As digital technology spread across the globe, the concept of a 'smart city' was popularised as a concept in the early 2010s to describe the use of these new advances in technology and data to make better decisions about governing cities and delivering services. Since then, interest in the concept has exploded, attracting influence, investment, and criticism across the world.

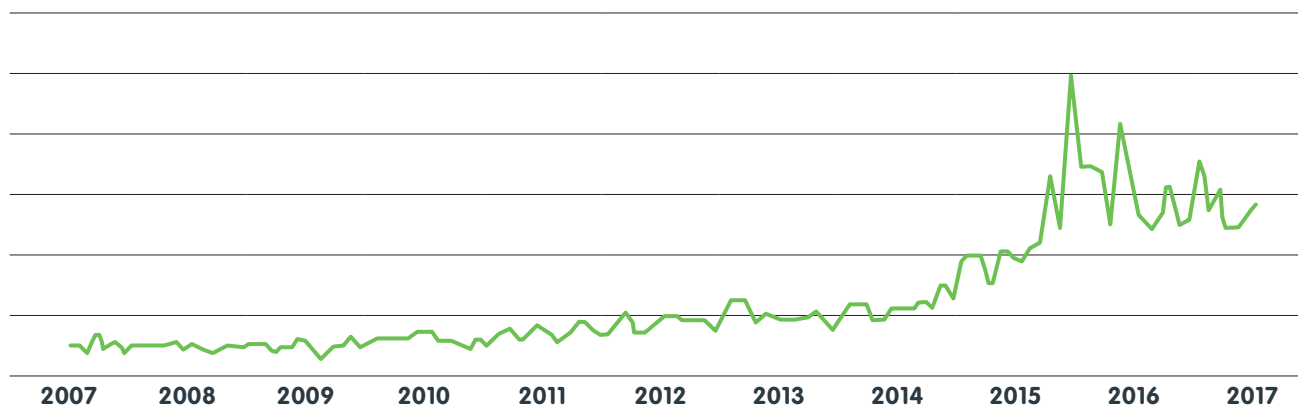
Governments and policymakers have struggled to match the promise of smart cities with the 'messy' reality of their cities. That messy reality has not deterred Silicon Valley tech companies, as they spread around the world at an astonishing pace, leaving policymakers and

regulators scrambling to understand and react to the digital disruption they bring. The rise of companies such as Uber, Airbnb, and Deliveroo is rapidly changing urban life. Local governments are now realising that they have a role to play in both protecting and furthering the interests of their citizens and businesses amidst this disruptive landscape.

It is in this context that a review of smart city strategies is critical. Strategies serve as a mechanism for cities to renew themselves. Understanding why and how cities are creating smart city strategies is vital when designing and improving future strategies. It is just as important to understand how these strategies are delivered because in most parts of the world, these strategies are not statutory. One potential impact of this is market uncertainty resulting in low levels of investment confidence.

For these reasons, Future Cities Catapult has embarked on an ambitious research programme to take stock of the rich experience of smart city strategies that are emerging on every continent. This study is the first output from that research.

GOOGLE TREND – WORLDWIDE INTEREST



Line depicts change in interest levels relative to peak, as represented by Google searches related to 'Smart city' as a topic.

Source: Google Trends⁴

INTRODUCTION

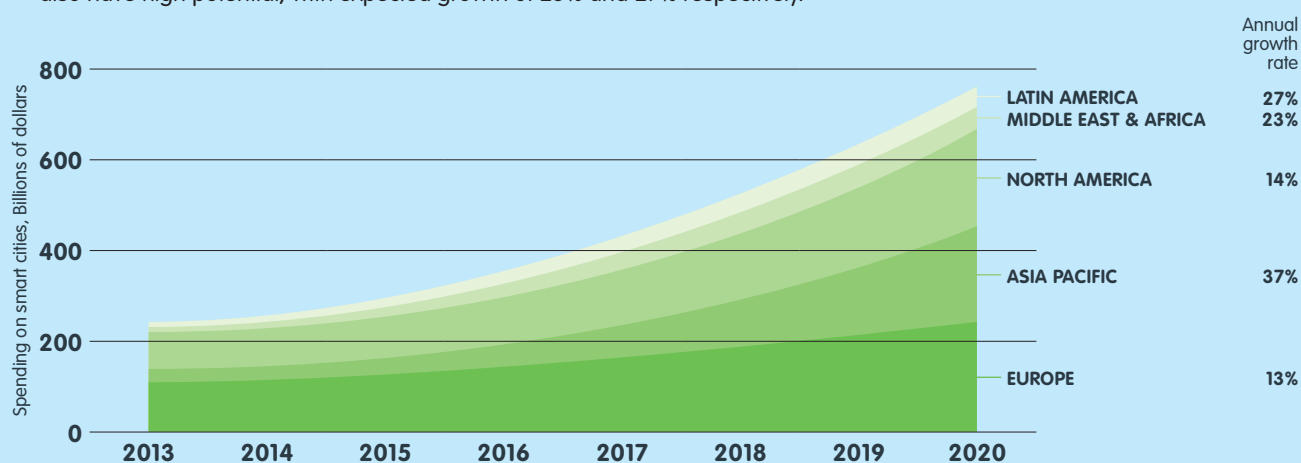
MARKET CONTEXT

The latest projections show that the smart cities market is expected to grow by 20% per year from over \$300bn in 2015 to over \$750bn in 2020.

The largest market currently is Europe with a size of close to \$130bn. The Asia Pacific region is expected to grow at the highest rate of nearly 37%, increasing the size of the market from around \$50bn to \$220bn.

The projected growth in the APAC region is fuelled by factors such as the launch of many new projects in China, South Korea, Japan, Singapore, Thailand, India, and Australia in 2015. These projects are often part of large scale development projects that involve significant capital spend.

Even though Asia Pacific is currently seen as having the highest potential, the Middle East & Africa as well as Latin America also have high potential, with expected growth of 23% and 27% respectively.



Source: Markets and Markets²

We aim to:

- Understand why and how cities are creating smart city strategies
- Explore how local governments are implementing these strategies
- Discover how the approach to creating the strategy relates to governance and implementation
- Draw out differences between strategy creation, governance and implementation across geographic regions globally
- Analyse the implementation challenges across regions

In **Chapter 2**, we will begin by revisiting the evolution of the term 'smart city' and how the perception of the term has changed over the years. **Chapter 3** will explore why cities are creating smart city strategies, what they are focussing on and what form these strategies take. **Chapter 4** will explore the process of creating strategies in different cities, and **Chapter 5** will present different governance models and implementation processes. The report then concludes with a set of recommendations, and appendices that explore four cities in detail.

INTRODUCTION

1.2

METHODOLOGY

21 cities were chosen for sufficient spread across:

- Geographic location
- Population size
- Maturity of smart city programme
- Data availability
- Capacity to contribute to the project

These criteria led to the following cities:

- **Africa:** Johannesburg, Nairobi
- **Asia:** Jakarta, Ningbo, Pune, Seoul, Tokyo, Wuhan
- **Australia:** Sydney
- **Europe:** Amsterdam, Barcelona, Berlin, Dublin, Ghent, Helsinki, Manchester, Tel Aviv
- **North America:** Chicago, New York, Toronto
- **South America:** São Paulo

We analysed the smart city strategy of each city. As part of this study, we carried out over 25 in-depth interviews with city officials and experts in the field of smart cities. We hosted a panel discussion at Smart City Expo Barcelona 2016, where we engaged four city and government officials from China, Manchester, New York and Tel Aviv. Our review also included practitioner literature and market studies. The desk research focused on understanding strategy development, governance and implementation models.

CITIE FRAMEWORK

The variety of the selected cities is reflected in their categorisation in the CITIE framework⁵, which assesses cities' capabilities to support innovation and entrepreneurship. Our selection includes:

- Five 'Front Runner' cities: Amsterdam, Barcelona, Chicago, Helsinki, New York – these cities build on the foundations of well-established innovation practices and mature entrepreneurial ecosystems
- Four 'Challenger' cities: Berlin, Seoul, Tel Aviv, Toronto – these are ambitious and dynamic cities riding a wave of technology-enabled growth
- Three 'Builder' cities: São Paulo, Sydney, Tokyo – these cities are at a stage of rapid transition, actively investigating policies to enhance their budding ecosystems
- Three 'Experimenter' cities: Jakarta, Johannesburg, Nairobi – these cities have yet to take decisive action to prioritise innovation and entrepreneurship
- Six cities that have not been categorised yet by the CITIE framework: Dublin, Ghent, Manchester, Ningbo, Pune, Wuhan.

SOME HIGHLIGHTS FROM THE LITERATURE

8 leading world cities created plans outlining their 'smart city' approaches in 2013-2015 alone: New York, Chicago, London, Barcelona, Singapore, Hong Kong, Dublin, San Francisco

240 cities in the EU-28 have "significant and verifiable Smart City activity" (European Commission, 2014)

4 types of strategic approaches: facilitative, learning, systems and interventionist (Townsend & Lorimer, 2015)

3 routes to becoming 'smart': anchor, platform, beta city (Machina Research, 2016)

6 typologies of city governance: commanding, implementing, providing, legislating, collaborating, facilitating (C40 & Arup, 2015)

5 criteria to assess successful execution: implementation, digital delivery, service delivery, environmental impact, community reach (Navigant, 2016)

6% of city budgets in the UK are spent on IT (Delivering the Smart City, Arup)

¹ Between 2011 and 2013, we generated more data than the total data accumulated in the history of mankind; ref: <https://www.sciencedaily.com/releases/2013/05/130522085217.htm>

² MarketsandMarkets (2016), *Smart Cities Market - Global Forecast to 2021*

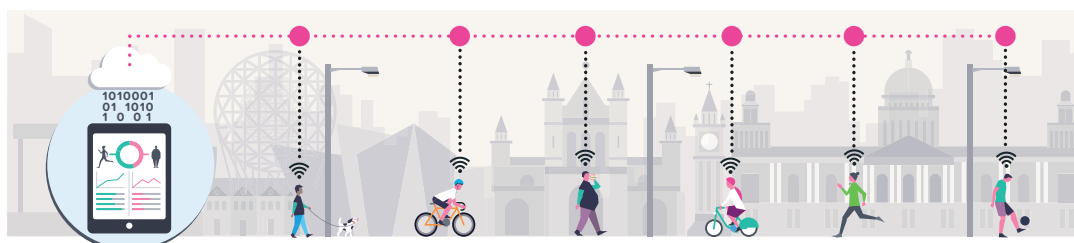
³ ibid

⁴ <https://trends.google.com/>

⁵ Citie.org

2

THE EVOLUTION OF THE “SMART CITY”



2.1

THE MARKETER'S SMART CITY

The term ‘smart city’ has been appearing in the literature since the 1990s⁶, but was popularised by IBM in 2010 through the Smarter Cities Challenge. In the wake of the global financial crisis, IBM targeted their technology offer at city infrastructure and local governments⁷, sending experts to cities to propose solutions that would make them “smarter and more effective”⁸. IBM defined a smart city as “one that makes optimal use of all the interconnected information available today to better understand and control its operations and optimize the use of limited resources.”⁹ Similarly, Cisco defines smart cities as those which adopt “scalable solutions that take advantage of information and communications technology (ICT) to increase efficiencies, reduce costs, and enhance quality of life.”¹⁰

This **first wave** of smart cities was thus driven by large technology companies. For these companies, “the technological component is the key component to their conception of smart cities”. Their focus was on big city systems (energy, water, transport), and the smart city definition focussed on the outcomes that the smart city would deliver through these systems, such as resource efficiency, improved decision-making, etc. Since then, the definition of a smart city has been vigorously debated.¹¹

Despite or because of its vagueness, the ‘smart city’ has served as a marketing and promotional tool for cities seeking to attract investment for pilot projects, particularly in Europe and the US. Now companies, especially in Europe, are starting to suffer from “pilot sickness”¹², caused by the unpreparedness of cities to scale pilots up

and roll solutions out. Smart city activities are carried out “on a project basis”, without a route to long-term or large scale operation. As a result, “few smart city projects are converted to full scale operating investments”¹³.

2.2

THE CITIZEN'S SMART CITY

In Western countries, the first wave of smart city initiatives saw the “smart city being defined more by the private sector than by government”. Cities deemed it essential to “put government back in the driver's seat”¹⁴ in order to rebalance the influence over the development of smart city projects. As policymakers, urban planners, academics and others took hold of the concept, the narrow technology-focussed conception of the smart city was criticised as incomplete and inappropriate to citizen needs.¹⁵

Broader aspects of city living came to form part of the conception of the ‘smart city’: aspects such as governance, education and inclusion.¹⁶ This broadening of the concept brought citizens into the frame and citizen engagement came to the fore as the **second wave** of smart cities. Local authorities, particularly in Europe, became more proactive in reaching out to citizens through digital platforms, open data portals, civic crowd-funding, co-design and living labs, hackathons, innovation competitions and more.

At the same time, national governments seized on the smart city concept as an elaboration of an urban development ethos. As early as 2005, South Korea unveiled its plan to build a smart city, then called “ubiquitous city”.

THE EVOLUTION OF THE “SMART CITY”



New Songdo City was envisioned as “a giant test bed for new technologies’ that would demonstrate the country’s technological prowess to help attract foreign investment”.^{17,18} The Chinese Government launched the National Smart City Pilot Programme in November 2012 and issued guidance on principles, objectives and security for smart cities. Singapore and India launched their national smart city programmes in 2014 and 2015 respectively. These programmes are aimed at using technology to improve life in cities, whilst attracting foreign investment to increase economic growth.

2.3

THE CONSUMER’S SMART CITY

In the **third** wave we are seeing ‘Silicon Valley’ companies using the city as a platform to create their own markets. Previously the smart city was conceived as a reimagining of city services through the technological transformation of large scale traditional infrastructure. But **transforming incumbent infrastructure and processes has proven to be extremely difficult.** In these circumstances, companies are disrupting old business models and bypassing old systems, often delivering directly to citizens, or in this context, ‘consumers’. Globally, tech companies are using the ubiquity of digital technology to rapidly achieve scale, and in so doing, they are transforming cities around the world. Start-ups are using the digital connectivity and infrastructure of cities as a platform for providing consumer-oriented services, such as taxis, food deliveries, travel planning, laundry, accommodation, etc.

Governments are waking up to the implications of the digital transformation of urban life, and some are taking measures to protect their citizens and their data in this newly created marketplace. In the West, concerns are rising as a result of recent incidents with security, including the Internet-of-Things ‘denial of service’ incident¹⁹

and ransomware on San Francisco’s public transit system²⁰. In Asia, over half a million Android accounts were breached between August and December 2016.²¹ All these attacks on cyber security and data privacy require government action to protect citizens from such incidents occurring in the future, when most of our daily activities will extend into the digital realm even further.

But the implications of the digital disruption go far beyond the digital world. There is strong evidence that Airbnb is driving up rental prices²², to which cities have responded in various ways: some have banned Airbnb altogether (e.g. Berlin, Santa Monica), while others have imposed limits such as maximum rent periods and run consultation sessions with communities.

Digital companies are realising that they now play a much bigger role in the urban context. Instead of reacting to regulations, some of them are proactively trying to communicate and collaborate with local authorities, while others are more resistant to this. Airbnb, for example, is trying to secure 700 tax deals with cities²³, while Niantic, the developer of Pokemon Go, is looking for ways to work with councils to activate public spaces²⁴. On the other hand, ride-hailing companies like Uber and Lyft are reluctant to share their data on passenger journeys to aid transport analytics in New York City.²⁵

Local and national governments are under growing pressure to play a more active role in enhancing the positive impact of technology and safeguarding against its negative effects. Smart city strategies, as they are currently conceived, are ill-suited to provide guidance on these issues.

THE EVOLUTION OF THE "SMART CITY"



Barcelona's smart city history vividly illustrates the waves of the smart city's evolution and the dramatic changes that they carry. The city's 2012 smart city strategy was well-publicised under Xavier Trias' administration as a means of attracting international investment and promoting the economy. Barcelona attracted big technology companies to develop and test their smart city solutions. But Barcelona's position as one of the world leading smart cities took a dramatic turn with the election of Ada Colau as mayor. She challenged the marketer's smart city directly, saying²⁶, "We have a real commitment to new technologies that go beyond just TV ads titled 'Smart City'.

What has followed is a shift towards a smart city strategy that emphasises citizen empowerment, open source principles and local innovation / industry. The strategy's emphasis on 'building the smart city from the ground up with citizens' reflects an evolution towards the citizen's smart city.

At the same time, the strategy consciously prepares for the implications of platform companies. As a global tourism centre, Barcelona has been a hotspot for debate on the effects of Uber and Airbnb and the city has had to wrestle with how to deal with the rise of the consumer's smart city. Barcelona's approach to this has been two-fold. First, the city is enforcing regulation from the top, insisting that platform companies must respect the law. Second, the city is funding and supporting alternatives to global platform companies, in the form of bottom-up digital social innovation. This is consistent with the strategy's focus on bottom-up transformation.

CONCLUSION

Despite all the developments in the smart city landscape, there is still little agreement on what the term 'smart city' means in 2017. Attempts have been made to standardise the definition (e.g. by the British Standards Institute). Nonetheless, our global review finds that the different conceptions of 'smart city' around the world have a shared emphasis on technology, data and connectivity, and innovation. A smart city strategy does not reflect so much the definition of the term but rather the vision and priorities of the city in question.

⁶ Albino et al, (2015), Smart Cities: Definitions, Dimensions, Performance and Initiatives, *Journal of Urban Technology*
⁷ Townsend A (2013), *Smart Cities*
⁸ <https://smartercitieschallenge.org/about>
⁹ Cosgrove M & al, (2011), Smart Cities series: introducing the IBM city operations and management solutions. *IBM*
¹⁰ Falconer G & Mitchell Sh (2012), Smart City Framework A Systematic Process for Enabling Smart+Connected Communities
¹¹ Arup (2014), *Delivering the Smart City*
¹² Arup (2016), *Growing smart cities in Denmark*
¹³ Copenhagen Capacity (2014) "Smart City - En styrkeposition i Region Hovedstad", available at: <http://www.copcap.com/newslist/danish/spi-samarbejde-lofter-smart-city-udfordringer-og-potentialer-i-region-hovedstaden>, p. 20.
¹⁴ Interview with Jeff Merritt, Director of Innovation at New York City
¹⁵ Greenfield (2013), *Against the Smart City*
¹⁶ Lombardi et al., (2012), "Modelling the Smart City Performance"
¹⁷ http://www.nytimes.com/2005/10/05/technology/techspecial/koreas-hightech-utopia-where-everything-is-observed.html?_r=0
¹⁸ Ibid.
¹⁹ <http://www.bbc.co.uk/news/technology-37738823>
²⁰ <https://www.technologyreview.com/s/602979/ransomware-took-san-franciscos-public-transit-for-a-ride/>
²¹ <http://www.cnn.com/2016/12/01/android-malware-breaches-security-of-more-than-1-million-google-accounts.html>
²² <https://qz.com/842996/what-happens-when-a-30-billion-startup-stops-being-nice-and-starts-being-real/>
²³ <https://www.ft.com/content/c87a1a0a-aecf-11e6-a37c-f4a01fb0fa1>
²⁴ <http://www.lgiu.org.uk/2016/08/04/pokemon-goes-local/>
²⁵ ref: <https://www.bloomberg.com/news/articles/2017-01-05/uber-doesn-t-want-to-give-nyc-or-anyone-more-data>
²⁶ <http://fortune.com/2015/07/29/barcelona-wired-city/>

3

THE AMBITIONS OF SMART CITY STRATEGIES

Sweeping digital transformation is changing all areas of life, government, and the economy. Local and national governments are looking for ways to respond to and leverage the digital transformation to stimulate the local economy, optimise city services, create a seamless dialogue with citizens and collect enough data to understand citizens' habits and needs. In this section, we unpack these trends and illustrate how they differ across regions and cities.

Our analysis distinguishes between the *ambitions* and *drivers* of strategies - ambitions are the objectives of a strategy, typically articulated in documents and public communication; drivers are the underlying factors that have induced a city to adopt that strategy.



São Paulo shows why a distinction between ambitions and drivers can be helpful. São Paulo views the smart city as one that provides opportunities for its citizens and simplifies everyday life through improved economic development and public management. The concept of smart city adopted by the Municipal Secretariat for Innovation and Technology focuses on the simplification of administration and on the promotion of e-services as a means to reduce the bureaucratic workload of the city government. Thus, while improving citizens' lives appears to be a significant ambition of the strategy, it is administrative and economic efficiency that are highlighted as key drivers.²⁷

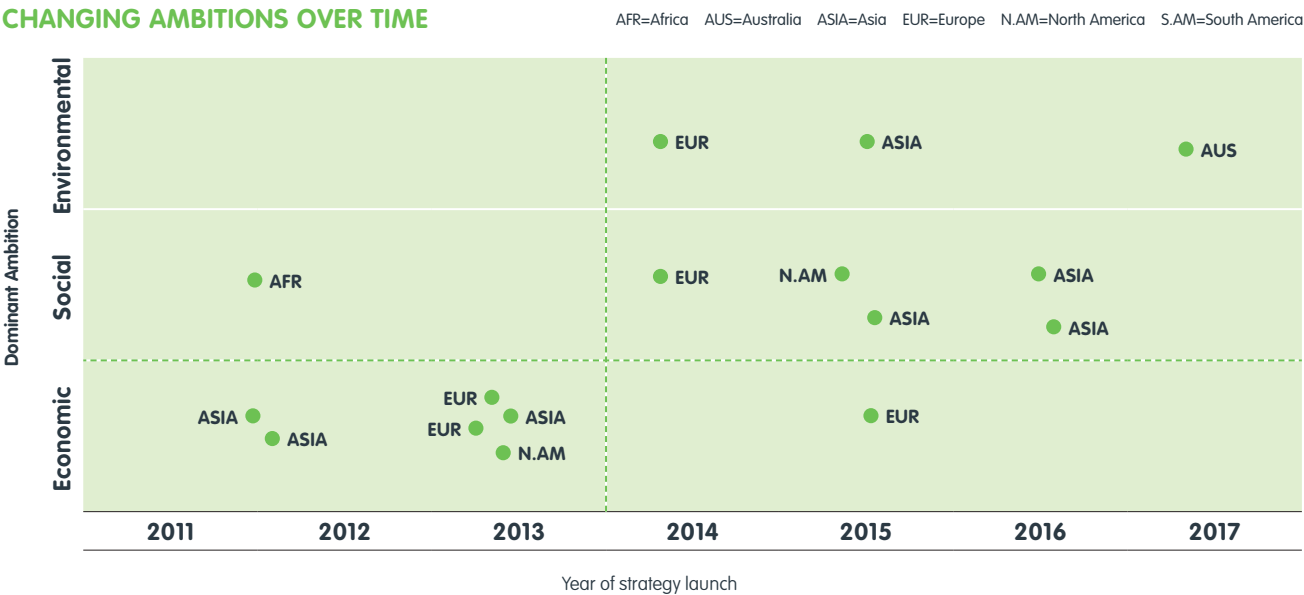
3.1

THE AMBITIONS OF SMART CITY STRATEGIES

We are accustomed to seeing smart city visions with broad ambitions, from economic development to improving quality of life. We have sought insight by highlighting the ambitions that strategies are focussing on. We analysed the published strategies of cities in our sample to find out what their main ambitions are. We categorised them under three headings:

- 1) **Economic ambitions** - Cities that seek to use technology to improve services and create efficiencies, while attracting investment and boosting economic development.
- 2) **Social ambitions** - Cities that want to encourage inclusivity, transparency, trust and empowerment of citizens.
- 3) **Environmental ambitions** - Cities that seek to achieve environmental sustainability.

CHANGING AMBITIONS OVER TIME



Our analysis shows that the main ambitions of strategies have changed over time. Before 2013, the focus of strategies tended to be economic, while after 2013, social and environmental ambitions were key for seven of the cities studied. This shift is aligned with the changing nature of a “smart city”. As described in Chapter 2, the first wave of smart cities was focussed on the benefits of deploying technologies to achieve efficiencies. As the smart city discourse moved towards a citizen-centric vision, the focus of strategies has shifted towards ambitions for citizen engagement and improving quality of life.

Our interviews with city officials shed light on the drivers behind these ambitions. During our interviews, we explicitly asked our interviewees what the drivers behind creating a strategy were. These drivers followed a similar pattern to the ambitions of the strategies: on four occasions, the drivers were economic (e.g. efficiency or economic development) pre-2013, while post-2013, eight of the interviewees cited social and environmental drivers (e.g. quality of life and citizen empowerment).

THE AMBITIONS OF SMART CITY STRATEGIES

3.2

DRIVERS OF ECONOMIC AMBITIONS

All cities that had a primarily economic focus in their smart city strategy were striving to achieve a better quality of life for their citizens, a thriving local economy and efficient services.

Technology as an enabler to improve city services and create efficiencies

Many cities see technological solutions as enablers to achieve their goals such as service improvement and efficiency as well as cost effectiveness. These are especially important in the face of rapid population growth, congestion and pressure on public services. Out of the eight cities that focused on city service efficiency, four are in Asia, and the rest in Europe and North and South America. These cities share a large and growing population that puts pressure on city services. Our interviewee from Berlin, for example, pointed out that the city is growing at such an unprecedented rate that it needs to use technology in order to increase the quality of life of citizens. Similarly, in Wuhan, technology is seen as the best cure for the biggest pain point of the city, traffic congestion.

The pressure to improve services is also coming from citizens themselves. City authorities are under growing pressure from their citizens to provide seamless services in line with what they expect as digital consumers. Seoul, for example, recognises the “need to provide easier and more convenient services to the public as the level of our citizens’ expectation is growing higher”.²⁸

Promotion and attracting investment

Some cities and politicians are using the ‘smart city’ vision to signify transformation, modernisation and innovation, for example in India or South America. European cities are also signing up to the ‘smart city’ concept as a way to access EU research funding. Our interview with Berlin’s economy development agency Berlin Partner, for example, showed that the city needed to create a smart city strategy in order to be able to also apply for the EU’s Lighthouse funding programme.

Besides attracting public funding, cities are aiming to lure private companies to invest in smart city projects. Professing an open and innovative smart city environment is seen as a way of signalling market opportunity. Dublin’s Smart City Program Manager, Jamie Cudden, stresses the importance of communicating with

industry and working closely with companies to demonstrate what the opportunities in Dublin Region are. Showcasing the region’s successes would put it on the map and attract investment from international companies.

3.3

DRIVERS OF SOCIAL AMBITIONS

From our analysis, social ambitions are driven by a variety of factors dependent on the local and national context. These include issues such as: crime and safety, citizen empowerment, quality of life, and economic growth. Quite often these are determined by the long standing economic and industrial legacy of the city. Post-industrial cities with significant pockets of deprivation, such as Manchester in the UK, seek to emphasise issues such as health, well-being and improved productivity. Where this is less pronounced, such as Amsterdam and Helsinki, the emphasis is often on citizen empowerment recognising the role which citizens can play as innovators. Barcelona’s new smart city strategy now falls into this camp as well (see page 13), having moved beyond its prior focus on economic promotion.

Creating an equitable, inclusive city

UN Habitat notes that “the prosperity generated by cities has not been equitably shared, and a sizeable proportion of the urban population remains without access to the benefits that cities produce.”³⁰ This is an issue that faces cities across the globe. With the rise in importance of digital skills, it is ever more important for cities to ensure that the most vulnerable in society can take advantage of digital solutions and avoid the negative impacts of digital exclusion.

Many cities recognise this need. Creating an equitable, inclusive city appeared to be the focus of the smart city strategies in four of the cities we studied across Europe, North America and Africa. This is a priority in many African countries, where governments need to ensure that funded projects are accessible to everybody and do not create further inequalities.³¹ The spread of connectivity is seen as a key priority for ensuring inclusion and reducing inequality. Johannesburg aims to utilise technology to enhance transparency and universal access. This commitment stems from the overall vision for Johannesburg: to create an “equitable, non-racial, prosperous, non-sexist and just society.”³²

THE AMBITIONS OF SMART CITY STRATEGIES

Creating an equitable, inclusive city is also the key aim of US cities we studied – New York City and Chicago. The latter aims “to realize Chicago’s potential as a city where technology fuels opportunity, inclusion, engagement, and innovation for all.”³³ Similarly, New York City’s smart city strategy underpins the overall city vision OneNYC for a “strong and just city”.³⁴ This is a key priority for New York since income inequality has surpassed the national average and “45% of New Yorkers are in or near poverty”.³⁵ To achieve this aim the city is investing heavily in broadband infrastructure with an emphasis on improving access to high-speed capability in its most deprived areas.

Citizen engagement and transparency

Out of the cities we studied, four across Europe, South America, Asia and Africa identified citizen engagement and transparency as the key priority of their smart city strategies. Seoul, for example, places significant importance on citizen participation in the process of policy development. This is achieved through an online portal with a staged process. Citizens can suggest ideas for resolving civic issues, departments are then able to select and develop the idea, while the citizen tracks progress. The aim is to empower citizens to participate in the policy making process and thus increase government transparency.

Smart initiatives that encourage open data are often seen as a way to improve transparency of certain government processes and to reduce the opportunity for corruption. In Kenya, the national government is digitising payment services, e.g. for utility bills, in order to reduce the danger of corruption and bring about transparency. The latter is a driver for South American countries as well.

3.4

DRIVERS OF ENVIRONMENTAL AMBITIONS

There are a few examples where smart city strategies are seen as a route to sustainability since some smart city technologies provide the opportunity to contribute towards environmental standards and targets. The hope that the smart city approach can help address some of the environmental challenges cities face today is in part a reflection of the evolution and development of digital technologies but also perhaps the inability of traditional instruments such as regulation to achieve these ambitions.

Environment and sustainability

Our research shows that environmental sustainability is the key driver for three of the cities we surveyed, namely Helsinki, Sydney and Tokyo. During our interview with Roope Ritvos, Director at Helsinki’s innovation unit, he stated that the key objective of the smart city strategy was to achieve reductions in CO₂ emissions.³⁶ Sydney’s smart city strategy is embedded in the overall “Sustainable Sydney 2030” vision for the city, while Tokyo’s reflects the city’s ambition to deliver a sustainable 2020 Olympic Games.

3.5

ENABLING THE STRATEGY

There are a range of enablers which cities have at their disposal to achieve the outcomes set out in their strategies. Although not all smart city strategies are prescriptive as to the steps for taking the strategy forward, we found three different core enablers that cities utilise to help them achieve their aims and objectives:

- Improving ICT infrastructure, data collection and analytics
- Innovation and crowd-sourcing solutions
- Improving core infrastructure (e.g. sanitation).

Our analysis shows that ICT infrastructure and data analytics are seen as the key enablers for smart city strategies in 14 cities, both pre- and post-2013. This focus proves that regardless of the cities’ goals, smart cities are primarily associated with the deployment of ICT solutions and collecting and analysing data to improve decision-making. On a few occasions, creating an innovation ecosystem to drive the creation of smart city solutions is the key enabler.

ICT & Data analysis

The first wave of smart cities was primarily focussed on the deployment of technology. Even though the focus has now shifted towards using technology as a tool, this is still the backbone of many smart city strategies. Berlin’s strategy explicitly states that ICT is a “key technology”:

“Data and ICT infrastructures are the technological backbone of a Smart City. Large pools of data and their analysis form the other basis and starting point of ICT to ensure the functioning and performance capability of a Smart City.”³⁷

THE AMBITIONS OF SMART CITY STRATEGIES



The Mayor's Office of Data Analytics (MODA) is **New York City's** civic intelligence centre. MODA aggregates and analyses data from across city agencies to more effectively address public safety, and quality of life issues. The office uses analytical tools to prioritise risk more strategically, deliver services more efficiently, enforce laws more effectively and increase transparency. For example, during Hurricane Sandy, which displaced an eighth of NYC's population, the city's response was managed through analytics. MODA integrated residents' responses to surveys to allocate disaster response resources to the most vulnerable residents.³⁸

BEYOND OPEN VS PROPRIETARY

Data and ICT infrastructure is a foundation for practically all smart city strategies. But there is huge variation in how cities build that foundation. Early examples of smart city initiatives were driven by large tech companies, who deployed large scale proprietary infrastructure, e.g. IBM's control centre in Rio de Janeiro. Tech companies have run into difficulties in trying to spread this model beyond single cities and pilot projects that they fund themselves. Cities are naturally wary of locking themselves into relationships with single providers.

In parallel, the open data movement has gained traction worldwide, prompting many city governments to release their data through open data portals as part of a transparency agenda. These initiatives are often the starting point for cities moving into the smart city domain, as they see the potential to leverage this data to stimulate innovation from the wider city ecosystem. But this movement has also run into difficulties in trying to reach the full potential of a 'data economy'. Much of the most valuable data in a city is held by asset owners with little incentive to provide this data for free, particularly as doing so comes with privacy and security risks.

These issues around proprietary and open systems are giving rise to technical and business model innovations that seek to encourage interoperability and open access and while providing incentives to innovate. For example, Manchester and Helsinki are partners in SynchroniCity, a European project to establish single digital market for internet of things through a shared, open source data architecture.

ICT is closely linked with data collection and analysis. ICT creates the infrastructure for services built on exploitation of data. New York's Mayor's Office of Data Analytics is a primary example of this (see example box).

Many more cities rely on ICT and data to implement their smart city strategies, including Chicago, Ningbo, Johannesburg, Ghent, and more. This signifies that deployment of smart technologies and the accompanying data analytics remain at the core of the smart city.

Innovation and crowdsourcing

'Softer' enablers such as an innovation ecosystem and crowdsourcing applications and solutions from citizens are being increasingly deployed to achieve strategic aims - an approach which is likely to increase as city authority budgets become more constrained. The Helsinki Smart Region strategy explicitly states the importance of innovation for achieving the region's economic, environmental and social goals:

"There is a need to create strong regional innovation ecosystems as platforms for collaboration, learning and co-creation, as well as testbeds for rapid prototyping of many types of user-driven innovations, based on transformative and scalable systems."³⁹

Tel Aviv's focus on innovation and crowdsourcing is also seen as a creative way to deliver smart city projects with limited budgets and finance. The Inter-American Development Bank recognises Tel Aviv's ability to deploy its start-up ecosystem in order to deliver solutions that do not require large public expenditure:

"One of the greatest strengths of Tel Aviv's smart city is its ability to harness the potential of its thriving, innovative start-up ecosystem to drive solutions to pressing needs. For example, the city is supporting at least three transportation apps. The benefits of this collaboration are threefold: it provides a great service to citizens, which is continuously improving due to market demand; it decreases public expenditure; and it supports and encourages new, innovative businesses"⁴⁰

Fostering and using the innovation ecosystem in smart cities is therefore used to both generate economic growth and stimulate local solutions that can be tested and scaled at a lower cost.

THE AMBITIONS OF SMART CITY STRATEGIES

Improving core infrastructure

For other cities, improving the quality of core infrastructure, such as sanitation and water supply, are at the core of their smart city ambitions. From our selection of cities, Pune focused on this enabler, reflecting the focus of India's Smart Cities Mission on core infrastructure. For Pune, this means investing in future-proof infrastructure that can provide greater quality of life:

"Pune aspires to become one of the most liveable cities in India by solving its core infrastructure issues in a "future-proof" way, and by making its neighbourhoods beautiful, clean, green, and liveable."⁴¹

CONCLUSION

Our study finds that the shift in the discourse around smart cities, from technology-led to city-led, has been mirrored in the ambitions of smart city strategies created over the last five years.

Furthermore, our analysis of their drivers shows that quality of life, citizen empowerment and safety are important to many of the officials that are leading smart city strategies. This suggests that the shift towards citizens is being championed by those charged with driving these strategies forward.

City authorities have at their disposal a raft of levers and enablers, which on analysis are not being fully utilised. These include those around procurement and spatial planning. City authorities procure millions of pounds of services on an annual basis, yet very rarely is much thought given to how the scoping of such services can be enhanced through digital technology. Similarly in spatial planning, little attention is given as to how planning policies can encourage developers to roll out digital infrastructure.



India's Smart City Mission is directing \$7bn of central government funding towards smart city initiatives in Indian cities. The objective of the programme is to 'promote cities that provide core infrastructure and give a decent quality of life to its citizens, a clean and sustainable environment and application of 'Smart' Solutions'. Core infrastructure here is defined as:

- i. adequate water supply
- ii. secure electricity supply
- iii. sanitation, including solid waste management
- iv. efficient urban mobility and public transport
- v. affordable housing, especially for the poor
- vi. robust IT connectivity and digitalization
- vii. strong governance, especially e-Governance and citizen participation
- viii. sustainable environment
- ix. safety and security of citizens, particularly women, children and the elderly
- x. health and education.⁴²

²⁷ Written interview with São Paulo officials in the Municipal Secretariat for Innovation and Technology

²⁸ Written interview with Younghoon Choi, Chief Information Officer for Seoul Metropolitan Government

³⁰ UN Habitat, 2012/2013 State of the World's Cities Report "Prosperity of Cities", mirror.unhabitat.org/pmss/getElectronicVersion.aspx?nr=3387&alt=1

³¹ Interview with Gartner specialist on technology in Africa

³² Joburg 2040 strategy, e.g. <https://thesa-mag.com/features/infrastructure/city-johannesburg-metropolitan-municipality-delivering-big-city-vision/>

³³ <http://techplan.cityofchicago.org/executive-summary/>

³⁴ <http://www1.nyc.gov/html/onenyc/index.html>

³⁵ Ibid.

³⁶ Interview with Roope Ritvos, Director at Forum Virium Helsinki

³⁷ Berlin strategy, http://www.stadtentwicklung.berlin.de/planen/foren_initiativen/smart-city/download/Strategie_Smart_City_Berlin_en.pdf

³⁸ <http://www1.nyc.gov/site/analytics/initiatives/disaster-response-resiliency.page>

³⁹ http://www.uudenmaanliitto.fi/files/14178/Helsinki_Smart_Region_Paper_2014_2nd_Edition_15.9.2014.pdf

⁴⁰ IADB report, <https://publications.iadb.org/handle/11319/7718>

⁴¹ <http://www.punsmartcity.in/?wicket:bookmarkablePage=:Com.SmartCityPage.Internal.Cityvision>

⁴² 'Smart Cities, Mission Statement and Guidelines', Ministry of Urban Development for India, June 2015

4

HOW SMART CITY STRATEGIES ARE MADE

In this chapter, we explore the approach towards creating a smart city strategy. The research showed that there are primarily two types of approaches – collaborative and top-down.

4.1

THE COLLABORATION APPROACH

The Collaboration Approach usually involves a wider stakeholder engagement process, which could also evolve into the creation of a public-private smart city network or working group, e.g. in Berlin, Dublin and Toronto. In the 21 cities we studied, those in Europe, North and South America, Africa and Australia produced their smart city strategy through a collaborative process, which we call the ‘Collaboration Approach’. It is the result of consultation across council departments and with other public sector organisations, private sector, academia, and to a limited extent citizens themselves.

In Toronto, which is currently creating its smart city strategy, a Smart Cities Working Group has been set up to consult over 35 organizations, spanning industry, academia and other orders of government, in order to determine what “smarter” could mean for them. This approach reflects Toronto’s long-standing culture of collaboration. The City has been working closely with its stakeholders and pioneered many “cluster initiatives” such as in Financial Services, Fashion and Design, Healthcare, etc. It is approaching “smart” as a similar cluster and is looking to better understand, leverage and strengthen its “smart ecosystem”.

Similarly, Dublin has set up an Advisory Network with a business focus, to advise on the creation of the Smart Dublin Strategy.

Both Toronto and Dublin started the process of creating a strategy by gathering information

about what’s already happening in the city to feed into the strategy. Integrating the great things happening in the city and identifying its strengths can form the basis and focus of the smart city strategy. Chief Data Officer of Ghent, Bart Rosseau explains, “You should start with the DNA of your city, what data and tech are there, and engage people”.⁴³ He goes on to stress the importance of shaping the goals of the strategy by engaging citizens, government and other stakeholders. In any case, the focus should not be on the technology but on the end goal: “technology is the tool to achieve wider city goals”.⁴⁴

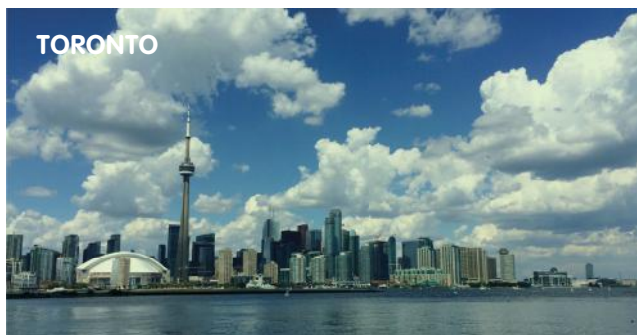
The largest scale of engagement during the strategy creation process we have witnessed is in Pune, where 3.5 million people were engaged through an innovative campaign over 45 days. Multiple channels were used, including online platforms for voting and door-to-door engagement with citizens.⁴⁵

4.2

THE TOP-DOWN APPROACH

The Top-Down Approach to creating a strategy is an internal process, focussing on the engagement of relevant city departments. In the Asian cities we interviewed, the strategy was developed by a special-purpose committee or government agency responsible for creating and guiding the implementation of the strategy. We call this the Top-Down Approach. This is usually related to a statutory requirement for a strategy. This top-down approach also enables cities to scale solutions more quickly and thus instil market certainty.

HOW SMART CITY STRATEGIES ARE MADE



In May 2016, **Toronto** organised a Smart Cities Summit to launch its Smart Cities Working Group (SCWG), a diverse group of leaders from the public, private, not-for-profit and academic sectors. The goal of the summit was to catalyse the vision of what 'smarter' means for Toronto, establish a forum to leverage local smart city events, and develop a survey of five city divisions to benchmark against international peers. These deliverables fed into a report and recommendations to stakeholders on how to take the Smarter Toronto agenda further, e.g. by creating a strategy and establishing a Smarter Toronto Board. This Call to Action paper was launched at Toronto's May 2017 Smart Cities Summit, attended by 250+ businesses, government and academia leaders.

In cities in Asia, strategies are usually created by a specific department within local government. In Jakarta, for example, the Jakarta Governor was responsible for the strategy creation but is currently working with the remaining government agencies to ensure implementation occurs. Similarly, in Seoul the strategy creation was led by the Office of the Chief Information Officer in cooperation with related departments. The Digital Strategy Committee consisted of IT experts, urban planners and professors.

CITY NETWORKS

The notion of creating a smart city strategy is novel to most cities. Strategy formulation requires more than taking inputs from stakeholders and balancing interests – it calls for learning and experimenting in ideas that are usually confined to theory. Officials and strategists are reaching out to each other through networks to accelerate and share their learning, and in so doing bring their city to the cutting edge. The list of city networks that cities are using to learn about smart cities is long.

City networks also form an important channel for encouraging standardisation across cities. Interoperability and standardisation are significant challenges for creating new solutions that can be sustained at scale. Networks like Open and Agile Smart Cities strive to establish principles and standards across cities that would allow solutions from one city to be deployed in another. It is likely that these networks will play a role in establishing the dominant technologies and standards of the future.

Examples of city networks with smart city coverage:

- C40
- CityNet
- City Protocol Society
- Eurocities
- ICLEI – Local Governments for Sustainability
- INTA – International Urban Development Association
- Leading Cities
- Project consortia networks, e.g. SynchroniCity
- Open and Agile Smart Cities
- Smart Cities Council
- Standards networks, e.g. City Standards Institute
- United Cities and Local Government
- 100 Resilient Cities

HOW SMART CITY STRATEGIES ARE MADE



NINGBO

Ningbo in China has a committee which develops the plan and establishes principles and focus areas every five years. The agencies under the city government have to follow the guidance and principles, with the support from the Smart Cities Development Coordination Office, to develop more specific initiatives and turn them into pilots or 'business-as-usual' services.

In another Chinese city, **Wuhan**, the development of the strategy was undertaken internally within the city authority. However, once completed its execution and delivery was given over to a specially commissioned body, the Wuhan Smart City Institute (WSCl). The WSCl is a joint venture, forming a limited company between the city government and universities, who provided initial resourcing.

The national government plays a key role in this top-down approach. In China, the Ministry of Housing and Urban-Rural Development (MoHURD) launched the National Smart City Pilot Programme in November 2012. In August 2014, the National Development and Reform Commission (NDRC) with another seven ministries jointly issued a guidance document, the Guidance on Promoting the Healthy Development of Smart Cities⁴³. The policy provides guidance to cities for smart cities development by setting out development ideas, principles, main objectives and information security concerning smart cities.



WUHAN

CONCLUSION

The process for creating a strategy needs to be tailored to the local and to a lesser extent the national context. A collaborative approach is more likely to result in greater long-term participation by the citizens as the process provides the basis to improve levels of awareness, ownership, transparency and credibility. More often than not this approach develops a strategy that is tailored more directly towards citizen needs and therefore has a greater chance of achieving improved outcomes for those who live and work in the city. Moreover, the collaborative approach can tackle one of the most important implementation challenges for smart city projects - the need for buy-in from multiple diverse stakeholders⁴⁷.

This collaborative approach will almost always take longer to complete and require greater levels of resources. In rapidly urbanising areas however, e.g. in China, the length of time involved with a more collaborative approach is seen as unlikely to meet the need for more rapid decision-making. Whilst this meets an immediate need, there is emerging concern that a rebalancing towards a more collaborative approach may be needed to ensure citizens' needs are more fully met. Citizen engagement, user-centred design methods and co-creation could help governments understand the most pressing issues better.

⁴³ Interview with Bart Rosseau, Chief Data Officer, City of Ghent

⁴⁴ Ibid

⁴⁵ http://www.business-standard.com/article/current-affairs/pune-on-a-smart-mission-after-3-false-starts-116061500918_1.html

⁴⁶ Written interview with São Paulo officials in the Municipal Secretariat for Innovation and Technology

⁴⁷ Frost and Sullivan's September 2016 "Smart City Pulse" identified 'Gaining consensus/buy-in from diverse stakeholders' as the #1 challenge for organisations fulfilling a smart city project, based on a survey of 60 organisations.

⁴⁸ http://www.sdpc.gov.cn/gzdt/201408/120140829_624003.html

5

HOW SMART CITY STRATEGIES ARE IMPLEMENTED

5.1

PRESENTING THE STRATEGY

Cities are, of course, complex. In a city like Toronto, there are over 80 arms-length organisations, including business improvement areas, agencies, corporations, and arenas, which deliver public services. The challenge in any city is to integrate service delivery around a single unified vision aligning stakeholders and partners. This creates the basis for improved information sharing between organisations as well as better decision-making.

But this may not require a formal smart city strategy document. Given the vibrancy of smart city activity across cities with or without a strategy, we have also considered in our study those cities that are operating without a smart city strategy.⁴⁹ We have therefore identified three types of strategy: stand-alone, embedded and unwritten.

Cities that are writing a smart city strategy for the first time usually create a separate strategy to start with. This helps focus the attention on a specific document and clarify the thinking around this new topic. As strategies mature, they could become embedded within the overall city vision.

Stand-alone

In most cases having a separate smart city strategy is associated with the existence of a single department or unit that is responsible for delivering the strategy and has an associated budget for smart city initiatives.

A stand-alone strategy can be more flexible and forward-thinking, since the strategy (in most cases) does not need to comply with statutory requirements. The risk, however, is that separate strategies might not be as well integrated with the rest of initiatives in the city, while the document itself might become a reference

material that is not incorporated into the overall city vision.

Out of the 21 cities which we included in our research, 12 had a separate smart city strategy. This trend was particularly evident in Europe and Asia, where five and six cities respectively had a stand-alone strategy. In Chinese cities, this stems from national government legislation, which require cities to create a smart city document. In Europe, having a smart city strategy is still a novelty. This usually leads to the creation of a separate strategy as a starting point.

Embedded

Embedding a smart city strategy into the overall vision document of the city is associated with linking the city's smart city goals to the broader commitments of the city. In our research, only five cities had made their smart city strategies part of the cities' overall vision. These cities were spread across all regions – Europe, Africa, North and South America and Australia. What they all had in common was the view that a city should have only one strategy and all “sub-strategies” should feed into this.

New York created a stand-alone strategy in the early 2010s but has now integrated its digital plans within the overall city vision in order to help think about technology more holistically. Every department and arm's length agency is driven by technology to achieve its goals. “Smart city” is a way to achieve goals rather than the goal itself.

For Ghent, it is important that digital needs are integrated in the overall city strategy because technology is only a tool used to deliver wider city goals. First, a city needs to understand what assets it has and what digital projects are already happening in the city. Then, it needs to identify related projects in a specific priority area and build on that. Making links between projects and making data-driven decisions ensure that the strategy is delivered coherently.⁵⁰

HOW SMART CITY STRATEGIES ARE IMPLEMENTED



Manchester has a history of digital innovation and success in the knowledge economy. When the smart city agenda rose to prominence, smart city ideas easily landed in the city's new urban strategy, "Our Manchester". But the city has not, to date, adopted a formal strategy specifically for smart city. Instead of waiting for formal adoption, the city has actively bid for and initiated large scale smart city projects, learning along the way. Manchester was able to do this because the city benefits from strong support for innovation from leadership, a productive local digital economy, and pre-existing networks of businesses that are engaged in the digital, innovation and smart city agenda. Thus, if a major function of a city strategy is to align and engage key stakeholders, in Manchester's case they were already aligned thanks to its legacy of innovation.⁵¹

Now Manchester has a portfolio of large, high-profile projects like CityVerve and Triangulum, and there is movement towards creating a strategy for pulling these projects together and building on them – a move from a pragmatic, opportunistic approach towards a considered, systematic approach. This step will allow Manchester to build greater collaboration across the city.

A similar process has been undertaken in Sydney, whereby 'smart' is woven into the overall Sustainability strategy for the city. And São Paulo's smart city strategy is also embedded in the current formulation of the Municipal Strategic Plan 2017-2020 (*Programa de Metas*).

Unwritten

Not every city has a written document that outlines their smart city strategy. In some cases, cities start with specific projects, e.g. open data to demonstrate value. Four of the cities that participated in our study did not have a strategy at the time of our research. While Dublin, Manchester and Toronto were in the process of creating a strategy, Amsterdam and Nairobi had no plans to create one. In Amsterdam, the smart city agenda is expressed through the Smart City Amsterdam online portal, which lists all smart city projects in the city and all partners involved in their delivery. Nairobi, on the other hand, has been guided by Kenya's national digital strategy and has deployed disparate projects.

Why cities choose to implement projects without strategies varies. One reason is the desire of certain departments to spearhead and develop smart city initiatives without necessarily waiting for an overarching vision to guide their smart city activities. In other cases, a strategy could be informal, i.e. not laid out in a strategy document but through meetings, minutes and agreed actions on different projects. The effectiveness of operating a smart city programme without a strategy varies across cities, depending on the commitment of the city leadership and departments to engage in this agenda.

HOW SMART CITY STRATEGIES ARE IMPLEMENTED



BERLIN

The Smart City **Berlin** Network leads the coordination of smart city initiatives across multiple departments, in conjunction with the Senate departments for Economic Affairs and for Urban Development. The network is led by Berlin Partner, a public-private partnership owned by private companies and the Senate for Economic Affairs and the Senate for Urban Development (responsible for implementing the strategy). Berlin Partner is responsible for managing smart city projects, making them visible and connecting them.



GHENT

In **Ghent**, smart city initiatives are linked to strategic objectives and ambitions. Each department is responsible for different aspects of those objectives, and reports accordingly. City managers on every level report on the progress of their initiatives. Responsibilities are linked to designated budget and personnel, who report on the progress of objectives against a set of criteria published as open data. This aids the transparency of the local government and creates a sense of accountability. Celebrating small successes is key to creating a sense of ownership of each project.

5.2

GOVERNANCE AND DELIVERY MODELS

The governance and delivery of each smart city strategy that we studied varied across and within regions, but two common models emerged:

- Smart City Unit or Technology Office
- Arm's length organisation or public-private partnership

Our data indicates that governance models adopted are related to the approach taken to create the strategy. When a collaborative approach has been used to create a strategy, this has usually led to the creation of an arm's length organisation that leads the delivery of the strategy. There appears to be a weaker link between having a Smart City Unit or Technology Office and using either a top-down or collaborative approach to create the strategy.

Smart City Unit or Technology Office

In ten cities, spread across Europe, North and South America, Africa and Asia, the governance and delivery of the strategy was the responsibility of a specialist Smart City Unit or a Technology Office. Most of these departments are newly set up and operate independently.

In cities in which the strategy is embedded within the overall city strategy, each department has to report against the success of its initiatives, and the use of data and technology to achieve these goals is at the discretion of the department.

Arm's length organisation or public-private partnership

For three cities, the implementation of the smart strategy is the responsibility of an external or an arm's length organisation. These organisations are usually managed with representatives from the local authority and their operations are divided into work streams. These work streams are agreed between the local authority and the private sector companies that take part.

Five cities, which are still developing their smart city strategies, have not defined the body that will be responsible for the strategy governance and delivery, and therefore are not included in the classification.

HOW SMART CITY STRATEGIES ARE IMPLEMENTED



JOHANNESBURG

In **Johannesburg**, the strategy is led by the Group Strategy Policy Co-ordinations and Relations department, commonly known as GSPCR. It has a strategic role to direct and facilitate overall strategy rather than implement individual interventions. GSPCR sets targets and approves project funding for projects that pursue these targets. Departments and municipally owned companies are responsible for implementation of specific projects and/or initiatives, e.g. smart meters are rolled out by Johannesburg City Power.



TEL AVIV

In **Tel Aviv**, the Computing and Information Systems Division (CIS) leads the implementation of the smart city strategy. The CIS division works with other departments to understand their main challenges and identify specific smart solutions. The Office of the Chief Knowledge Officer, in charge of data collection, management, and dissemination, is also involved in delivering many of these projects. A further participant in the process is the Chief Information Officer (CIO), who is in charge of the municipality's digital policies, tools, and vision. All activities are united by the political backing of the Mayor, who ensures that the smart city projects are aligned with the wider city goals.

In several cases, e.g. in Dublin and Manchester, the regional authorities create the smart city strategy for the local authorities in the region. From this perspective, the regional smart city team is responsible for creating toolkits and sharing best practice but local authorities ensure that implementation occurs as suitable in their area. 'Digital' champions are placed in some departments to ensure consistency.

We see an opportunity in using existing funding on new technologies that could improve efficiencies and achieve cost savings. Procurement practices geared towards procuring more innovative solutions could help leverage existing budgets to deliver smart city projects.

5.3

FINANCE

Finance for smart city projects is intrinsically linked to the governance and delivery structure of the strategy as well as commitment from the respective national administrations. In Asia, for example, where the four cities in our study had a dedicated smart city unit, they also had a dedicated budget associated with the delivery body. In Europe, funding primarily comes from national government or EU funding but smart city projects are not usually dedicated a specific budget; each is funded on a case-by-case basis. In North America and Africa, the interviewed cities relied more heavily on private investment.

Local government finance

Funding for smart city projects is still carved out of overall city or department budgets, either funding through existing spend, (IT, lighting contracts, etc.) or through designated 'smart city' spend, which is typically relatively small. It is therefore difficult to identify the exact amount local authorities allocate to such projects. Even though a lot of the finance for smart city projects comes from an overall city budget, cities have found it most beneficial to have a designated budget for innovation initiatives.

Often, cities that have a smart cities unit also have a designated budget for smart city activities. In Jakarta, smart city projects have a yearly budget of IDR 30 billion (USD\$3m), allocated from the local government fund and grants from universities.⁵² Similarly, in Johannesburg, smart cities funding is allocated by the Mayor in each 3-year budget, and departments submit proposals for smart city projects.⁵³

HOW SMART CITY STRATEGIES ARE IMPLEMENTED

Chinese cities receive designated budgets from the national government to deliver their smart city projects. Ningbo, for example, was allocated an annual budget of CYN 300 million (ca. £30 million) in 2014.⁵⁴

National government and EU funding

Many cities still rely on either national or in the case of Europe, EU funding. Several countries have launched or are considering launching Smart Cities competitions, including the UK, India, Australia, the US, and Canada. This demonstrates the increasing importance of the smart city agenda for national governments, which perceive smart cities as a growing market that can create export opportunities and attract foreign investment.

The European Commission has since 2011 invested nearly €550m in smart cities programmes. Dublin, for example, has so far secured €3-4m of European funding from four Horizon 2020 projects and INTERREG projects, and Manchester – £25m, excluding private sector leverage.⁵⁵ The availability of EU funding is a driver for creating a smart city strategy in the first place.

In the US, the Department of Transportation launched the Smart Cities Challenge in 2015, committing up to \$40 million to one winning city. Similarly, Australia is launching the country's Smart Cities & Suburbs programme in 2017. With total funding of \$AUS 50 million over 4 years.⁵⁶ Canada's federal government has also launched an 11-year \$300 million dollar smart cities challenge. India launched its Smart Cities mission in 2015 with total funding of US\$7.1 billion, to be allocated through competition to 100 cities.⁵⁷

Although competitions are a good source of funding, they usually instil a sense of competitiveness between cities. This precludes cities from sharing best practice and learning from one another's mistakes. Successes are more often shared than failures.

National governments are also encouraging or requiring that cities leverage public funding by increasing the participation of private sector in delivering smart city projects. This is particularly evident in the US, where the \$40 million Smart Cities Challenge was used by cities to leverage an additional \$500 million in private and public funding to implement their smart city visions.⁵⁸

Private sector participation

Businesses' experience with participating in the delivery of smart city projects has been dominated by pilot projects often utilising public sector grant funding. Research has found that both cities and companies are already suffering from "pilot sickness"⁵⁹. Local authorities need to make more strides towards scaling pilot projects and procuring large-scale solutions. The problem is the lack of awareness of the opportunities which digital could provide within cities, which has led to a level of inertia within many cities. In addition, existing procurement regimes do not allow businesses to innovate as they are focussed more on outputs rather than outcomes. It is important that the city is able to articulate clearly the challenges it faces and develop a more open way for the market to respond.

Second, the Council needs to send a clear message that it is open to engage with businesses and create a clear path for this engagement. In many cities, including Dublin and Chicago, the City has set up advisory networks to use as forums for communicating with businesses on a regular basis. At the same time however, cities have low level of "investment readiness" for digital technologies and therefore struggle to engage effectively with the market.

In Chicago, technology demonstrations are carried out by a consortium of local government and private companies. City Digital is responsible for identifying pilots that can bring value to the city and have potential to scale up. The mission of the consortium is not only to run pilots but also to develop solutions for the marketplace and export these to other cities.⁶⁰ The work of the consortium is also backed by \$70 million⁶¹ budget both from the Federal Government and in-kind contributions from corporate partners. Since both the City and companies are equity partners, it is in their financial interest to make pilot projects a success. The plan would be to export these solutions to a collection of 6-8 cities with previously identified problem statements.

5.4

IMPLEMENTATION CHALLENGES

Cities still face difficulties implementing their smart city strategies or individual projects. Sometimes this depends on the extent to which cities think about implementation when they are writing their strategy. We have identified a series of ongoing challenges both through our interviews with cities and our broader experience in implementing smart city strategies.

Procurement

Procuring solutions is an ongoing issue. Creating a tender document is a long process and sometimes the technology specified has already become obsolete by the time the tender is issued.

Innovative procurement practices are being trialled in some cities. In New York, for example, the City allocates part of its budget to trialling a new technology or new approach. For up to 3 years, a department can trial the technology without undergoing the normal tender process or competitions. At the end of the 3 years, the project is evaluated against a set of measurement criteria specified in the beginning of the demonstrator. If the technology trial is successful, it can be procured through traditional procurement practices.

Dublin is also encouraging alternative procurement through 'procurement by challenge' competitions. Funded by the Small Business Innovation Research (SBIR) funding, the local authority has launched competitions to source innovative solutions. Successful ideas can win up to €100,000 to develop and test their idea. The first round of the competition focussed on the challenge of increasing cycling on the roads of Dublin.⁶²

Changing traditional practices

Changing the way in which a local government operates requires strong leadership with commitment and skills to implement change within city departments. This along with capacity and resources to adopt new operational practices is at the heart of cities' implementation challenges.

Several cities have mentioned the importance of spreading the knowledge about the benefits of digital within councils themselves. According to Zohar Sharon, Chief Knowledge Officer of Tel Aviv, "in order to have good citizen engagement,

you need good government engagement."⁶³

Educating civil servants about the opportunities of digital is key. This includes teaching council staff how to share data, knowledge and resources safely, and how to leverage technology. Attitudes need to change as well in order to move from a reactive to an intelligently proactive governance.

Councils around the world have approached their workers' empowerment in similar ways. For example, many have appointed Digital Champions across departments to 'spread the word' about the technological or digital solutions that are available in those specific areas. They also serve as the 'ears' of City Hall in terms of understanding the attitude and concerns with regards to technology within these departments.

City networks

Cities too often share what they wish others to see – the success stories. Real gains, however, also come from sharing what went wrong in a more open manner. Industry typically remains closed to cross-industry sharing, assuming they are more unique than is often the case. Sharing knowledge about new ideas and technical solutions, what works on the ground and what does not, is vital to ensure a broad uptake of innovative solutions.

Several city networks have been created to facilitate knowledge sharing between cities, for example Open and Agile Smart Cities, City Protocol, 6Aika, etc. These can be international, regional, or national. Both national and regional governments could do more to support these, e.g. through nationally or regionally-led strategies. Finland's Six City Strategy (6Aika) enables cities to connect and share knowledge but also to gain the same level of international recognition as larger global cities and create a critical mass to engage the private sector and funding bodies.

Lacking local capability to coordinate activities

There is a tendency for local authorities to work in silos; local policies can conflict with smart city roll-out and therefore inhibit progress. Uncertainty within the private sector is caused by policy uncertainty. In addition current approaches are insufficiently agile to cope with a more entrepreneurial approach to planning, and to respond to the pace of change in demographics, societal expectations, and technology. One of New York's key objectives is to enhance local knowledge and capabilities in selecting and operating smart city projects. More details are available in Appendix A.



In **Dublin**, the Chief Executive Officer has set up a €0.5m innovation fund in the capital budget for the next 3 years. This is dedicated to small business innovation research (SBIR), which is crucial for experimenting with new ideas. This demonstrates to industry that the city is serious about 'smart'. SBIR funding can help the city trial innovative ideas; however, there also needs to be a long-term strategy on how such ideas will be deployed at scale.



Under existing federal law in **São Paulo**, government can use open call competitions to gather proposals for innovative solutions from the public. However, it has proven difficult to implement these solutions at scale. This issue may be addressed by the development of a new procurement option called technological order (*encomenda tecnológica*), which sits under the Federal Law for Innovation.⁶⁴ Once regulated, the instrument would allow the government to order innovative solutions that do not yet exist from specific companies with knowledge in the field. The contract would then be remunerated depending on the results delivered by the contractor.⁶⁵

Risk profile of investment

In most cases, new investments will be needed for uptake of smart city solutions. However, due to budget constraints and increased demand for public services, the public sector has limited finance. This means that new market-oriented strategies of public-private cooperation must be developed and cities must seek greater levels of external investment. The investment community seeks certainty, and scale. However, most cities, at an individual level, presently deliver neither of these. Chicago is one city that has managed to form a PPP that allows both the city and private companies to come together as equity partners, test solutions and export them in order to achieve a return on investment both for the city and for the private companies.

Interoperability and standardisation

There are various efforts to create smart city standards, including by the British Standards Institute and the International Organization for Standardization. However, there is a lack of agreed means to support interoperability across city systems. This is inhibiting cities from being able to, for example: optimise real-time multi-modal transport data; integrate renewable energy sources into the grid and enable more dynamic operations; reduce variation in building systems; really exploit location-based information; increase citizen participation, or provide common platforms for developers.

Standardisation can provide confidence in the market as it can support industrialisation of solutions; align approaches between city systems; speed up replicability, and help to create scale. As such, different forms of standards (guides, frameworks, protocols and technical specifications) must be employed. For smart cities, the variety of systems, the increased integration across them, and the dynamic and growing volumes of shared data, present a particularly challenging context.

⁴⁹ The European Commission has found that 240 cities in the EU-28 have "significant and verifiable Smart City activity"; ref: "Mapping Smart Cities in the EU", European Commission, 2014

⁵⁰ Interview with Bart Rosseau, Chief Data Officer for City of Ghent

⁵¹ Interview with Manchester City Council official

⁵² Interview with Jakarta city official

⁵³ Interview with Johannesburg city official

⁵⁴ Discussion with Ningbo city officials

⁵⁵ Interview with J Cudden, Smart City Manager at Dublin City Council

⁵⁶ <https://www.transportation.gov/sites/dot.gov/files/docs/Smart%20City%20Challenge%20Lessons%20Learned.pdf>

⁵⁷ <https://cities.dpmc.gov.au/smart-cities-program>

⁵⁸ <http://www.livemint.com/Politics/OBAdsQSOHayTH9FoYeW9VL/Narendra-Modi-launches-smart-city-projects-in-Pune.html>

⁵⁹ Arup (2016), *Growing smart cities in Denmark*

⁶⁰ <http://www.citydigital.org/>

⁶¹ <https://news.northwestern.edu/stories/2014/02/northwestern-helps-chicago-secure-lab/>

⁶² <http://smardublin.ie/smartchallenges/challenge-title-goes-here-14/>

⁶³ Interview with Zohar Sharon, Chief Knowledge Officer of Tel Aviv

⁶⁴ Federal Law 13.243/2016 http://www.planalto.gov.br/ccivil_03/_ato2015-2018/2016/lei/l13243.htm

⁶⁵ Written interview with São Paulo officials

6

RECOMMENDATIONS

The landscape of smart city strategies is still vibrant, and cities around the world are creating strategies, implementing projects and creating local government capabilities to govern and deliver smart city projects. Based on the challenges and best practices that emerged during our research, we would propose the following recommendations to cities embarking on a smart city journey:

1. ESTABLISH STRONG LEADERSHIP TO DEVELOP CAPACITY WITHIN LOCAL GOVERNMENT

The biggest issue that stops cities from advancing their smart city ideas or projects is the lack of leadership commitment to the agenda. Gaining political buy-in is key to developing capacity and skills within the council to initiate and deliver smart city projects at scale. For example, the Mayoral backing of New York's digital agenda by Mayors Bloomberg and de Blasio was key to the development of their data analytics capabilities. This political support should then be translated into a full programme of transformation that enables the change of traditional practices, such as procurement and siloed departments.

2. EMBED YOUR SMART CITY STRATEGY WITHIN STATUTORY FRAMEWORKS AND WIDER CITY PLANNING

Creating a separate smart city strategy is advisable when cities are creating such a strategy for the first time. This helps focus thinking and wider engagement on a distinct topic and create a vision. However, in the long-term, embedding the smart city strategy within the wider city plan will help embed the plan for using digital technology within each department, or cross-departmentally. In some cases, embedding the strategy within the wider city plan makes it statutory and thus ensures that it is implemented and funded. More fundamentally, the regulatory and policy framework of the city should proactively address the opportunities and challenges of the city - a city plan that proposes new smart city ideas without addressing the challenges raised by technological transformation is incomplete.

3. WHEN CREATING YOUR STRATEGY, CONSIDER A COLLABORATIVE APPROACH, COUPLED WITH STRONG POLITICAL SUPPORT

The approach to creating the strategy needs to be tailored to the local context. A degree of collaboration with citizens, businesses, third sector organisations and academia brings more value to the process. This approach will both help governments understand stakeholders' challenges, and what their expectations of the smart city strategy are. Stakeholders will also be able to contribute to the strategy creation process with their knowledge, talent and skills. This is a good way to enhance the capacity of the local authority, which often lacks the right resource levels to embark on such a wide programme.

RECOMMENDATIONS

4. TAP INTO CORE CITY FUNDING BY REGULARLY SCANNING EXISTING CITY ASSETS AND BUDGETS

City authorities procure millions of pounds of services on an annual basis, yet very rarely is much thought given to how the scoping of such services can be enhanced through the incorporation of digital technology. Tapping into core city funding budgets, e.g. for lighting, waste management, can allow departments to procure innovative digital solutions to help them reach their department targets. This also requires building capacity within each department to develop an awareness of the existence and benefits of smart city solutions within their areas of work.

5. CREATE A PLAN FOR PRIVATE SECTOR ENGAGEMENT AND LONG-TERM COLLABORATION

The smart city market is growing rapidly and companies are developing innovative solutions to tackle urban problems. However, cities are not always quick to adopt these. Our engagement with the market has shown that the route to local authorities is not always clear and in most cases there is no obvious person to approach with regards to smart city solutions. Creating a clear 'front door' for businesses and an accompanying private sector engagement plan is necessary if cities are to embrace private sector innovation and investment. That front-door is most likely going to be a dedicated person or team.

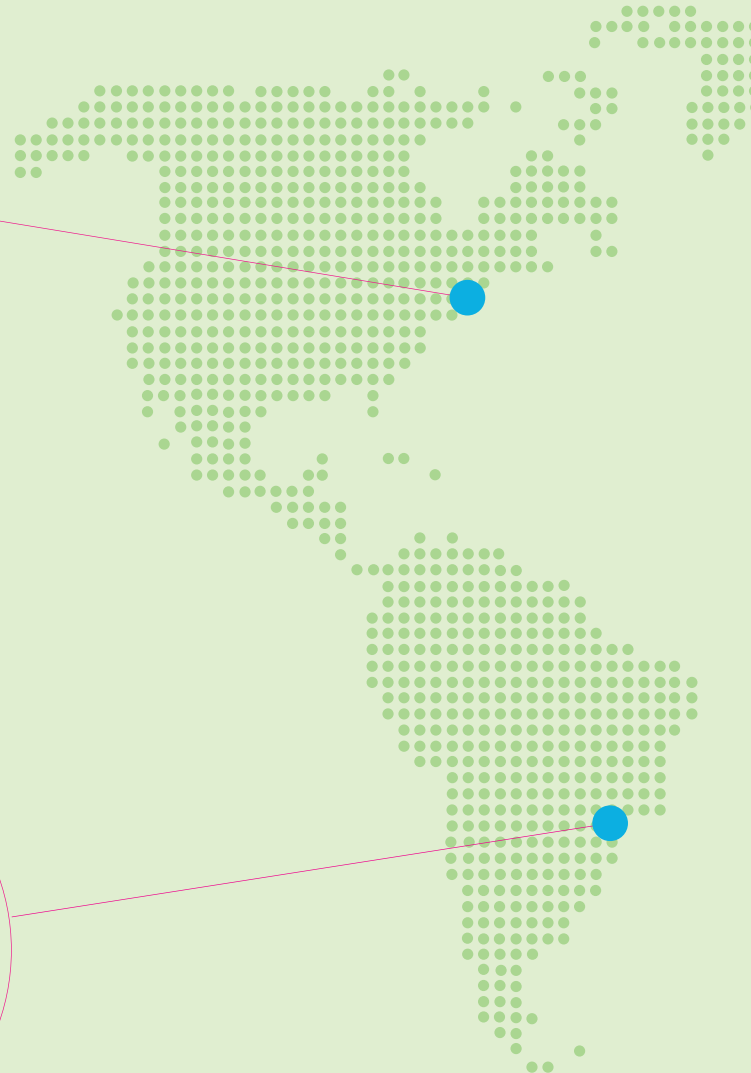
This report aims to help cities understand how their counterparts around the world are approaching the smart city agenda. We have seen how cities from very different settings have approached the creation and implementation of smart city strategies. We have seen some of the challenges they face and some of the steps they are taking to mitigate them. These findings will equip city leaders with the knowledge they need to make a start on their smart city journey. But building this knowledge base is an ongoing endeavour. For that reason, Future Cities Catapult is undertaking research in a variety of related areas, from impact assessment to large scale demonstrators. We will continue to do so as we seek to guide cities and shed light on the smart cities market.

APPENDICE

APPENDIX A: NEW YORK

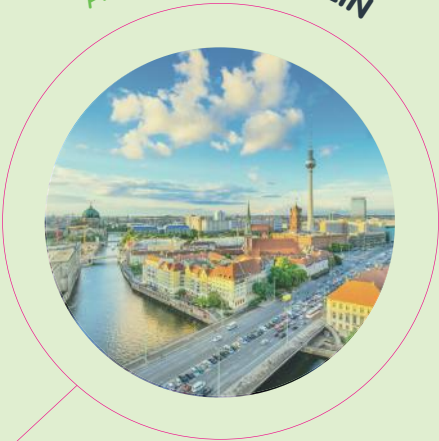


APPENDIX B: SÃO PAULO



ES

APPENDIX C: BERLIN



APPENDIX D: MANCHESTER



APPENDIX A: NEW YORK CITY

Main ambition	Social: Equitable, inclusive city
Drivers	Safety
Approach	Collaborative
Key enabler	Data analytics
Governance	Smart City Unit / Technology Office
Strategy type	Embedded



WHY CREATE A SMART CITY STRATEGY?

The smart city strategy, which is embedded within OneNYC – the city's overarching strategy, recognises that technology is an enabler of everything the government does. According to Jeff Merriitt, Director of Innovation at New York City, just as every company is becoming a technology company, every city government must become tech-enabled. However, smart city work is not only about this use of technology; it is about leveraging new IoT tech and database decision-making to create efficiencies, as well as creating a more proactive rather than reactive government.

The key rationale for New York in creating a smart city strategy is to ensure the safety of its residents and visitors. This is seen as the primary objective of government and critical to ensuring high quality of life. Creating efficiencies, creating jobs and attracting investment are also key motivations behind the creation of the strategy.

Most importantly, the strategy needs to support the overall city vision for balancing growth, sustainability, resilience and equity.

WHAT IS AT THE CORE OF THE STRATEGY?

The city is committed to using technology and data analytics to ensure that New York is an equitable, inclusive city.

New York aims to create a series of tools that empower experts within the city's agencies to improve the city in their day-to-day work. This includes (1) leveraging smart technology to improve data-driven decision-making, (2) ensuring that the city's agencies are using technology responsibly by understanding its complexity and engaging communities accordingly.

Key strategic objectives

New York's smart city strategy has three key objectives:

1. Education

Ensuring that city workers understand the complexity of smart city solutions and what it takes to deploy them effectively and responsibly;

2. Enabling

Effectively leveraging technological tools, procedures and processes as well as community engagement;

3. Economic development

Enabling the city to use these technologies to promote the city-as-a-platform and thus grow the local economy. There is an aim that this will also attract businesses to the city.

More specifically, the smart city strategy is broken up into various components, which have different processes. The strategy acts as an umbrella for a series of initiatives, each of which is targeted at various challenges associated and inherent within the smart city agenda.

Each component addresses a specific need:

1. Educating about complexity

This led to the creation of IoT guidelines and then Tools & Resources that include sample contract language, checklist, inventory of IoT systems, etc.

2. Marketplace

A recognition of the challenge that government is not fully aware of what smart city technologies are available

3. Neighbourhood Innovation Lab

Addressing government failure to do effective piloting and testing of these technologies

4. Calls for Innovation

A recognition that current procurement process did not enable government to procure the right types of technology; this stream of work aims to tackle the challenges with regards to the operationalisation of these technologies, i.e. procurement, private sector engagement, government capacity and knowledge, the way of testing and making decisions about technology.

APPENDIX A: NEW YORK CITY

HOW WAS THE STRATEGY CREATED?

New York's current smart city strategy is an evolution of the Digital Roadmap that the city published in 2013. This was a high-level document, recognising that technology is now playing a bigger role in government. However, it was not a strategy outlining how technology could be leveraged by government.

The Mayor's Office of Technology and Innovation led the creation of New York's smart city strategy in its current form. The consultation process around the creation and updating of the smart city strategy is part of a much broader public engagement programme that takes place annually to refresh and update the city's overarching strategy – OneNYC.

HOW IS THE STRATEGY IMPLEMENTED?

The key to implementing any city strategy is to understand where different city visions and objectives overlap and cut across siloes, rather than duplicate actions. According to Jeff Merritt, this has been an important focus of the De Blasio administration – strong effort to cut across traditional silos and take a holistic view. In 2014, Mayor De Blasio created an executive level document that explains where technology and innovation touch government regardless of agency or team. This was followed by weekly technology coordination meetings in which key figures representing different departments get together to give updates on technological developments within their work. Each quarter a high-level principal, e.g. Deputy Mayor or Commissioner, would also attend the meetings to ensure that they are in the loop.

The main challenge to coordination is scale – the City currently has 350,000 employees, it is therefore difficult to keep track of everybody who is working on the plan at all times. Smart city tools also need to be deployed to make sure that knowledge is spread and actions are coordinated. Each department has metrics for tracking and defining the goals within each plan. These are then incorporated into OneNYC.

HOW ARE SMART CITY PROJECTS FINANCED?

Smart city projects are mostly financed from the overall city budget, presented by the Mayor and approved by the City Council. A series of non-profit organisations also raise additional external funding. Public-private partnerships (PPPs) are also common, e.g. through contractual relationships, franchise of public assets use. However, any money that enters the City budget cannot be earmarked for specific purposes, and there is no smart cities revolving budget. There are a variety of mechanisms to incentivise companies to enter into cost-sharing and revenue-sharing agreements with the city.

The City has a \$85bn budget, which is focussed on growing the economy. Each agency has its own budget and they are required to define how they might achieve their individual goals, e.g. technology costs, personnel costs and adaptation over time. Once these costs have been set, all requests are sent to the Budget Office. City Hall can only set high-level goals and vision; but agencies make operational decisions on how best to achieve these within their budget constraints, e.g. whether they would deploy smart bins, or optimise processes.

PROCUREMENT

The City currently has a process for carving out budget for trialling a new technology or new approach. This is an attempt to formalise the piloting process in procurement by setting up a demo project for up to 3 years without going through the normal RFPs or open competitions. Pilots are evaluated based on measured progress, and if successful, undergo the traditional procurement process.

APPENDIX B: SÃO PAULO⁶⁶

Main ambition	Economic: Technology for service efficiency
Drivers	Quality of life, Empowerment
Approach	Collaborative
Key enabler	ICT infrastructure improvement
Governance	Smart city unit / Technology office
Strategy type	Embedded



WHY CREATE A SMART CITY STRATEGY?

In early 2017, São Paulo's new municipal administration created the Municipal Secretariat for Innovation and Technology (SMIT). The purpose of the new department is to develop and implement new methods, instruments and information and communication technologies (ICTs) to enhance the quality of citizen services and promote social participation in the development of a smart city. SMIT is responsible for some of the "Economic Development and Management" goals within the Municipal Strategic Plan 2017-2020.

Following our written interview with city representatives, the key drivers that influenced the São Paulo current public administration in establishing a smart city strategy were identified as Efficiency (reducing costs of infrastructure and service provision, understanding city dynamics in real time), Citizen empowerment (increasing transparency, citizen engagement and governance, digital skills, innovation, creativity), and Economic (creating jobs and attracting investment).

WHAT IS AT THE CORE OF THE STRATEGY?

SMIT was created to connect different public and private stakeholders in

order to advance creative partnerships between government, civil society and the public sector. It also aims to simplify administrative processes and promote e-services as a means to reduce the bureaucratic workload of the municipal government enabling the delivery of better services to citizens.

In practical terms, this means projects to provide digital public services such as online company registration. The city is also pushing ahead with digitisation of education, and more surveillance equipment for security.⁶⁷

Key strategic objectives

The strategy reflects the unique factors of São Paulo by addressing:

- The accessibility of technology to all city residents
- The integration of all services provided by municipal bodies
- The multiplicity and complexity of interests of public and private stakeholders
- The establishment of rules for ICT Governance
- The decentralised nature of the municipality
- The need to strengthen the cultural and creative activities already taking place in São Paulo to generate new economic opportunities and diversify the city's economy.

In order to respond to these needs, the city has set the following objectives in its smart city strategy:

- To ensure public authorities' responsiveness to citizens' needs by adopting an evidence-based decision making process for public policies
- To articulate and integrate the different governmental stakeholders to implement multi-sectoral citizen-centred projects
- To develop open data platforms enabling a diversity of solutions for public problems
- To establish partnerships between the government, private sector and the innovation ecosystem for implementing innovative solutions in service delivery and creating new businesses
- To raise citizens' and public officials' awareness of innovation – including from a technological perspective – so they can engage actively in the construction of a smarter city.

HOW WAS THE STRATEGY CREATED?

Creating a smart city strategy received considerable political support by the current Mayor. This agenda received wider political backing in search for greater efficiency in public management and economic competitiveness for the city.

APPENDIX B: SÃO PAULO

The implementation of innovative technologies and smart city projects is being advocated and led by SMIT, which is responsible for the inclusion of the smart city agenda into the city's strategy (*Programa de Metas*) and leads the consultation with other departments and city stakeholders.

SMIT is helping and guiding the initiatives that already exist within the municipal administration and is in charge of establishing new multi-sectoral collaboration and projects for fostering innovation in São Paulo.

HOW IS THE STRATEGY IMPLEMENTED?

SMIT is responsible for gathering all policies aiming at improving IT and innovation in the city, establishing guidelines and a common vision for those policies in order to create synergies and avoid the fragmentation of efforts in the implementation of strategic projects for a smart city. Thus, SMIT shall be responsible for strengthening governance arrangements that already exist – such as the Municipal Council for Science, Technology and Innovation – and for creating new forums to align initiatives and projects undertaken by multiple public stakeholders – such as a committee for the city's innovation labs.

SMIT innovation units engage with technology companies, the entrepreneurship ecosystem, cultural collectives and makers.

In order to ensure the implementation of the strategy, the following principles have been adopted:

1. Government as a platform

The municipal government has to provide the enabling conditions and mobilise society to innovate in a collaborative way while ensuring transparency of the processes. It has to make its activities and resources available to the society so people can contribute in the search of new solutions.

2. One citizen = one government

The municipal administration has to integrate its different databases and digital platforms in a whole-of-

government approach as a means to offer customised services that can respond to citizens' real demands leading to a more efficient use of public resources.

3. Responsive Government

The municipal government has to act in an efficient and rapid way to respond to the requests and real needs of its citizens. It also has to develop strategic intelligence – through technological and organisational innovation – in order to anticipate its actions.

4. Government as an innovation hub

The municipal administration has to bring together the different stakeholders in the innovation ecosystem as a means to provide solutions and new opportunities for economic development.

In order to monitor the programme's progress, the development of innovation indicators for the city of São Paulo is foreseen amidst the activities to be undertaken by SMIT's innovation units. Those indicators include: openness to technological innovations, citizens empowerment resulting from innovations, the strengthening of the entrepreneurial ecosystem, efficiency rate of citizen service regarding public services.

HOW ARE SMART CITY PROJECTS FINANCED?

The total budget committed from 2014 to 2016 for projects commenced under the previous municipal administration amounts to \$115m.

Further funding sources include central government's fund for the Renovation of the Municipal Public Schools' ICT equipment, public agency funding through innovation challenges, and partnerships with research institutions for developing pilot projects are foreseen as well.

São Paulo is enjoying investment from large private partners like Cisco, which is donating \$90m to the city to go towards digitisation in schools.⁶⁸

⁶⁶ The content of this appendix is largely based on a written interview via e-mail with São Paulo representatives.

⁶⁷ <http://www.zdnet.com/article/sao-paulo-mayor-outlines-smart-city-plan/>

⁶⁸ Ibid

APPENDIX C: BERLIN

Main ambition	Economic: Technology for service efficiency
Drivers	Quality of Life
Approach	Collaborative
Key enabler	ICT infrastructure improvement
Governance	Arm's length org / PPP
Strategy type	Separate



WHY CREATE A SMART CITY STRATEGY?

Berlin is a fast-growing city with the population increasing by 50,000 people per year⁷¹. Such growth requires the city to adapt to its new infrastructure needs in order to maintain a high quality of life for its residents. The key objective behind creating a smart city strategy was to deliver cost-savings and improve the efficiency and usability of services. This calls for the city to create a strategy for the use of digital initiatives across departments. The city has therefore created an overarching smart city strategy whilst integrating smart city elements within wider city strategies, including the Energy Concept 2020, Urban Development Strategy 2030, Innovation Strategy, and Berlin Open Data Strategy.

Within this context, Peter Siebert, Project Manager of the Smart City Unit within Berlin Partner, explained that the key drivers behind creating a smart city strategy for Berlin were: (1) Quality of Life; (2) Environment; (3) Connectivity due to digitisation; and (4) Safety & Security.

WHAT IS AT THE CORE OF THE STRATEGY?

The strategy aims to achieve higher quality of life by delivering better, more efficient services through technology.

It is about using the competences of innovators and citizens in the city and benefiting from the opportunities of digitisation. Berlin is a fast-growing, young, creative city with start-up capital and is aiming for a post-fossil fuel future. This context underpins Berlin's smart city strategy and opens up smart city opportunities such as test-beds for innovative technologies, especially around smart mobility.

Key strategic objectives

The smart city strategy is underpinned by five areas of action:

1. Smart administration and urban society
2. Smart housing
3. Smart economy
4. Smart mobility
5. Smart infrastructure

HOW WAS THE STRATEGY CREATED?

Berlin undertook a comprehensive consultation process to create its smart city strategy. In 2013, a smaller group from the city authority came together to discuss the benefits of a smart city strategy, how to start the process of creating it and position Berlin as a smart city. This is also when the idea to create a separate strategy emerged.

In 2014, 100 stakeholders were involved in interviews and workshop to define the major issues and challenge for Berlin as well as what the city's 'unique selling point' is. A year later, in April 2015, the city published its smart city strategy, which was also submitted as part of a successful Lighthouse project application to attract EU funding.

The result of this bottom-up approach for creating the strategy saw the growth of a Smart City Network, reaching over 100 stakeholders.

HOW IS THE STRATEGY IMPLEMENTED?

The Smart City Berlin Network, within Berlin Partner for Business and Technology, leads the coordination of smart city initiatives across multiple departments, in conjunction with the Senate departments for Economic Affairs and for Urban Development. Berlin Partner is a public-private partnership owned by private companies and the Senate for Economic Affairs (responsible for coordinating the network) and the Senate for Urban Development (responsible for implementing the strategy).

This collaborative delivery approach ensures strong coordination across multiple departments. As an overarching

APPENDIX C: BERLIN

organisation, Berlin Partner is responsible for managing smart city projects, making them visible and connecting them across sectors and departments.

Delivery channels

The Smart City Network Berlin works in collaboration with six working groups, aligned with the six focus areas of the smart city strategy. The Network identifies integrated projects that are aligned with the objectives of the strategy.

As part of the city's smart city efforts, the Mayor has established the Centre for Knowledge & Innovation Conference. Fifty professors globally are invited to set up new digitisation qualifications and R&D at the Einstein Foundation

Projects include the Smart City Districts, Urban Platform, 5G Testbed, and EURES. The 5G testbed is a consortium between the Berlin Senate, Cisco, university, telecoms and technology companies. 3D-printed autonomous buses are being tested at the 5G testbed. These were procured through an open challenge on future public transport. A Living Lab in Aldershof also demonstrates, in collaboration with technical universities, how to live together while using new technologies such as e-mobility.

EURES is a science park with a smart city focus; members of the Senate are engaged, with a continuous dialogue taking place between industrial and R&D players, e.g. eGovernment law.

HOW ARE SMART CITY PROJECTS FINANCED?

The smart city projects are funded through a variety of sources. Berlin Partner has budget to run the Smart City Network, organise workshops, meetings, and complete studies.⁷² Members of the Smart City Network contribute with their time and resources, including Cisco, Oracle, utilities, and SMEs. Specific budgets are dedicated to Digitalisation, 5G, and other initiatives. National funding is available through different Calls from the Ministry for Economic Development, as well EU funding and public agency funding. Berlin Partner is responsible for identifying further possible budget lines, as well as potential PPP projects.

APPENDIX D: MANCHESTER⁶⁹

Main ambition	Unformalised
Drivers	Quality of life; promoting & attracting investment
Approach	Unformalised - pragmatic
Key enabler	Innovation ecosystem
Governance	Technology Office
Strategy type	Unwritten



Manchester does not have a formalised, stand-alone smart city strategy, and while the city has adopted smart city principles, the city is largely operating as a smart city through action, rather than on paper. Manchester is home to many smart city projects with national and European scale, such as CityVerve, SMARTImpact and Triangulum. The city's success in bidding for and running these projects reflects the strength of Manchester's legacy, ecosystem and leadership, which was able to take a pragmatic approach to getting results on the ground.

WHY CREATE A SMART CITY STRATEGY?

For Manchester, 'smart city' is a natural extension of the city's focus and enthusiasm for the knowledge economy and digital transformation. The city is recognised as a hub for the digital creative sector and sees the digital agenda as a route to economic growth. The smart city agenda takes this further, by offering Manchester a way of addressing big issues like urban mobility, demographic change and climate change.

WHAT IS AT THE CORE OF THE STRATEGY?

Harnessing the local innovation ecosystem is the core enabler for

Manchester. That means building and procuring locally rather than buying off the shelf or through expensive service offers. This is consistent with Manchester underlying drive to support local economic growth. Enabling the ecosystem requires taking a collaborative approach across the city. As the city seeks collaboration with neighbouring local authorities, a more formalised smart city strategy is seen as a desirable next step.

Key strategic objectives

In the absence of a formalised strategy, Manchester is guided by its community strategy, which sets an overarching vision for the city. Out of the strategy's many objectives, those that relate closely to the smart city agenda are:

1. Digital skills
2. Digital infrastructure investment
3. Citizen centred services

HOW WAS THE STRATEGY CREATED?

As described, Manchester has been operating a large smart city programme without a formally adopted strategy, through pragmatically delivering large projects. This has served the council well as a way of quickly getting results that build on the city's legacy and strengths in the digital sector. However there is a recognition that the city could benefit

from a smart city strategy that ties to the wider agenda of the Greater Manchester region, and builds a coherence around existing and new projects. To this end, Manchester is currently lead partner in the EU's SMARTImpact project, which is expected to generate the beginnings of a smart city strategy for the city

HOW IS THE STRATEGY IMPLEMENTED?

In keeping with the city's lean, pragmatic approach, Manchester's smart city agenda has been pursued as part of the city council's programme management, as part of business as usual. That has given smart city project managers easy access to levers within the council.

However, without a city-wide strategy, it can be difficult to have the same leverage among external stakeholders. External partnering and collaboration is likely to be made easier by the formation of working groups at the Greater Manchester level.

Delivery channels

At a project level, Manchester City Council works in partnership with national and European partners. As an example, the UK's large scale IoT demonstrator, CityVerve, is operated as a consortium of 21 organisations.

APPENDIX D: MANCHESTER

HOW ARE SMART CITY PROJECTS FINANCED?

The majority of funding for smart city projects in Manchester has come from external funding, either EU (e.g. SMARTImpact) or from the UK Government (e.g. CityVerve). This funding mix reflects the resource constraints facing local governments across the UK. Going forward, this mix may shift as devolution brings more budget to the local level.

⁶⁹ The content of this appendix is largely based on an interview with Adrian Slatcher, Principal Resource and Programmes Officer at Manchester City Council.

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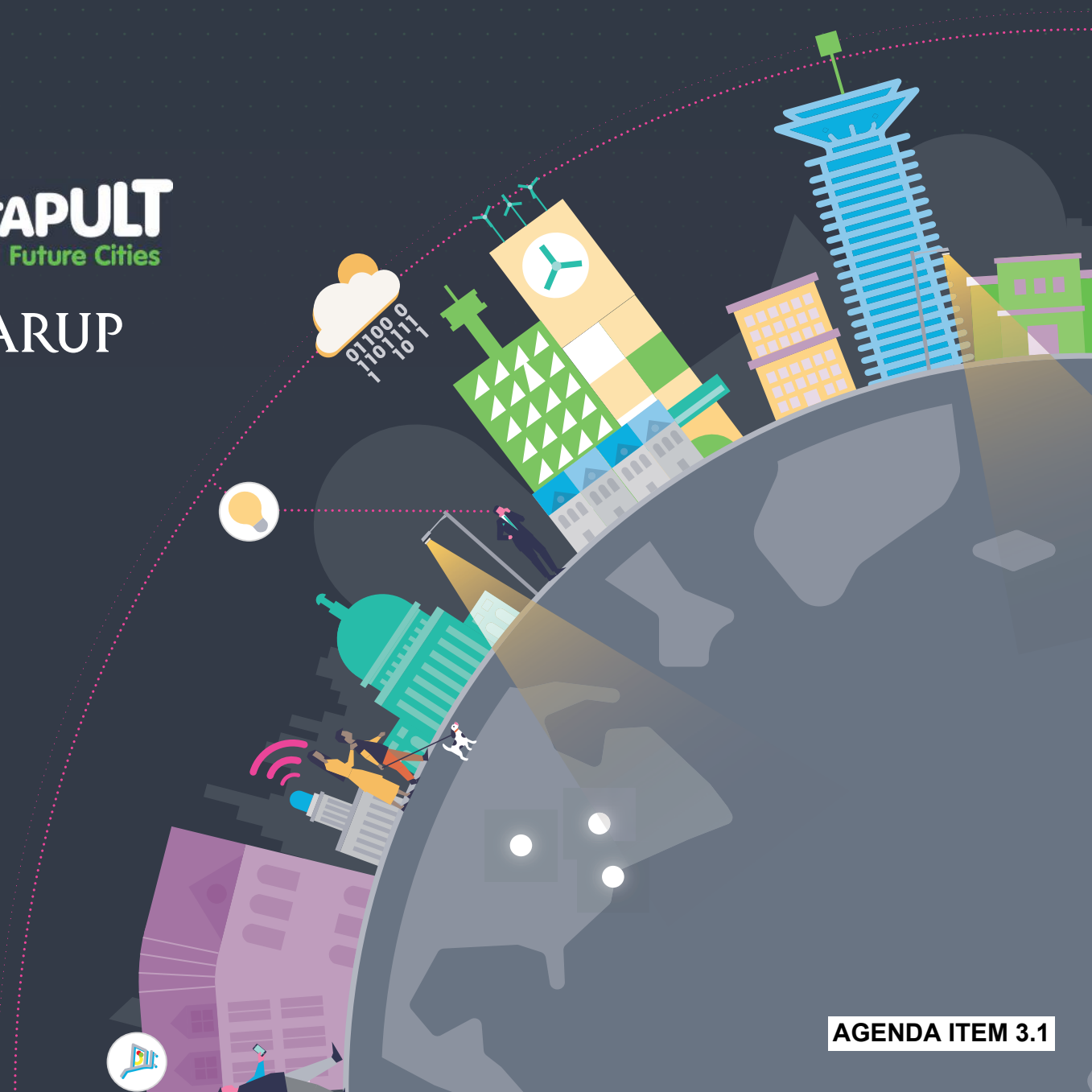
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Introduction

This guide is the product of a [National Science Foundation \(NSF\)](#) funded research collaborative composed of [University of Maryland](#), [Morgan State University](#), the [Center for Government Excellence \(GovEx\)](#) at Johns Hopkins University, and [University of Baltimore](#). Since October 2017, these research institutions have worked together to determine how data and technology can meet the needs of residents in West Baltimore communities. This guide captures the experience of these partners in Baltimore and other cities around the country in laying the foundation for a Smart Cities project that meets the needs of residents and improves city service delivery. In addition to participating in the Baltimore project, GovEx interviewed key stakeholders from Portland, OR; Columbus, OH; and Louisville, KY, to gather their insight and expertise into key aspects of Smart Cities planning and implementation. The guide is divided into sections based on the necessary steps to establish the strong data management and use practice that are necessary for any Smart City.

Imagining a Smart City

For the purposes of this guide, think of Smart Cities as cities that respond to the needs of residents by using data and technology to transform government services. As this field evolves, GovEx will update this guide to reflect the current definitions, examples, and practices. Although discussions of Smart Cities often focus on technology, it's also important to think before the project starts about how residents lives will be improved. For instance, imagine a city that leverages data and technology to improve infant mortality outcomes. That's Mayor Ginther's vision for Columbus, OH, which won of \$40 million in grant funding from the federal [Department of Transportation \(USDOT\)](#) to improve mobility for residents. [Reducing infant mortality](#) by 40 percent by 2020 is an urgent priority for the mayor, as county-wide infant mortality among black infants (16 per 1,000 live births) is twice as high as white infants (9 per 1,000 live births). Mayor Ginther views mobility as the "great equalizer," giving citizens power to improve their lives through access to transportation. In Columbus, the Mayor believes equitable access to transportation is an effective way to address infant mortality by providing reliable and flexible trips for low-income mothers.

City staff worked with academic and nonprofit partners through techniques like surveys and community conversations to consult on the changes they implemented. Through this study, staff learned from expectant mothers that the current system of providing transportation is cumbersome and unreliable. This lack of reliable transportation in Columbus is a [health factor](#) that can contribute to stress and missed appointments, which affects health outcomes like infant mortality. Based on this research, the city included prenatal trip assistance for expectant mothers who are eligible for Medicaid as a key project for [Smart Columbus](#). This new funding will support initiatives such as the Columbus-Franklin County [Celebrate One campaign](#) and the

[Greater Columbus Infant Mortality Task Force](#) led by Mayor Ginther, which have identified transportation as a social determinant of health that affects infant mortality.

Columbus's plan illustrates how a city can harness data and technology in the transportation sector to improve quality of life. And the City is not alone in its desire to capitalize on the Smart Cities movement. According to a [2016 U.S. Conference of Mayors survey](#), cities of all sizes from around the country are planning or implementing Smart Cities initiatives including energy, physical infrastructure, governance, security, and healthcare solutions.

Population	# Cities	# Implemented Projects	# Planned Projects
>1M	6	69	103
150K to 1M	25	168	225
<150K	23	98	131

The rest of this guide will explore Baltimore's people first approach to smart cities, followed by examples and recommendations to ensure that data is managed as an asset internally and kept secure, and that stewards of the data are accountable to the public.

Baltimore's Integrated Approach

The NSF proposal to work in Baltimore City focused on West Baltimore, which is a low-income section of the city where lack of access to transportation as well as education, jobs, and safe and healthy housing lead to poor health outcomes. For instance, in the West Baltimore Study Site neighborhoods of [Druid Heights/Upton](#), 63.7 percent of children live below the poverty line, and the median household income is \$19,038. Nearly 60 percent of households pay more than one third of their total household income on rent. A higher percentage of residents in these neighborhoods use public transportation to go to work (32.5) compared with the citywide average (18.4). Life expectancy is five years lower than the Citywide average (68 years compared with 73.2).

The purpose of the research grant is to determine whether and how Smart Cities efforts can improve equity in these neighborhoods. Equity means equal access to the same opportunities in education, employment, transportation, and housing as other neighborhoods in Baltimore. While the following sections of this guide lay out the practices that are necessary to ensure strong data management and use, this section reviews a key first step from the Baltimore experience -- start with the people.

Start with the people

The first step in any successful Smart Cities project is to ask residents about their problems. The Baltimore team began its Smart Cities project by meeting with city residents to identify

those needs and using the results to jointly design appropriate smart city solutions. [Faculty](#) and students from the University of Maryland conducted community conversations and surveys with residents of West Baltimore to understand the challenges and priorities of the communities, how residents use technology, and the vision of residents for improving the neighborhood. Through community conversations in locations that represent different demographics of the neighborhoods, and 116 written surveys, the Engagement team learned that job access and neighborhood safety and security are clear neighborhood priorities.

In addition, the team identified four main findings on the needs and wants of residents regarding data and technology:

- Residents in West Baltimore lack access to computers and do many computer-based activities on phones, such as searching for jobs and housing, and staying connected with friends.
- To address access to jobs and training, residents would like to have more ownership and control of technological resources that are provided in their neighborhood. For instance, if fiber optic cable is installed, there may be an opportunities to train and employ West Baltimore residents to work on these sites.
- In community conversations, residents repeatedly mentioned that they want and need access to data that be collected through Smart Cities sensors, in order to improve neighborhood conditions. For instance, sharing crime data collected on city cameras could facilitate greater relationships between police and residents, and potentially lead to enhanced community safety.
- Residents are diverse. Technology should address the limitations and opportunities for specific vulnerable groups, while meeting common needs across groups.

Understand the local context

When getting started with a Smart Cities project, it's important to take inventory of existing and planned Smart Cities initiatives in your city. During the course of the research grant in Baltimore, in March 2018, Baltimore City released its [Inclusive Digital Transformation Strategic Plan](#), which includes plans for a Smart City Council and a Data Analytics Hub. The Data Analytics Hub will house the City's operational data as well as data collected through Smart Cities initiatives such as Citiwatch crime cameras. According to the City's Deputy of Operations, "If we don't have data collection and storage infrastructure, and analytics, we don't have a Smart Cities strategy." As noted by Seema Iyer, Associate Director of the Jacob France Institute at University of Baltimore, "New technology should be adding to a synthesis of knowledge of how a city already works." This flips the traditional Smart Cities approach of solutions looking for problems on its head.

Strengthen Internal Data Management

Before getting started on any initiative that involves collecting new data, like a Smart Cities initiative, it's necessary to strengthen internal data management practices. The data that you will collect through a Smart Cities project must be treated as a strategic asset, just like any other data. The steps in this section will provide guidance on implementing foundational data management and use practices in the Smart Cities context. Although not exhaustive, links to resources are included for additional reading. This section will help you follow the necessary steps, which are:

- Create a data governance team and plan
- Inventory your existing data assets
- Develop a meaningful open data policy
- Understand the importance of investing in people

Data governance

In order to explore how data governance supports Smart Cities projects, consider the City of Louisville, KY, and its [IoT Smoke Detectors project](#), in which low-cost wireless smoke detectors were installed in vacant and abandoned properties in order to alert firefighters of a fire before flames spread to surrounding homes. To develop this project, the City first identified a problem that the community already faced -- a higher prevalence of fires in impoverished neighborhoods. Next, the City leveraged its relationship with the Fire Department and Department of Community Services to create a cross-functional team that also included the City's Office of Performance Improvement and Innovation. This team used data and analytics to create a plan to provide fire prevention education and smoke detectors to at-risk residents. Regarding residents as experts, starting with the community's needs, and leveraging existing relationships leads to the best and more impactful projects. Now, the city's [Smart Louisville](#) initiative houses projects online in order to increase transparency with its community members.

Convening governance committees

In Louisville, the data governance group lays the foundation for all current and future Smart Cities work. The governance group is building up skill sets to address the data and technology that will be part of future Smart Cities efforts, and to ensure that data and analysis skills and thinking are embedded into the culture of city government. According to a conversation with Ed Blayney and Michael Schnuerle from the City of Louisville, "There will be so much more data and tech in the future, if Smart Cities is really about using more data and tech in government. It won't even be 'Smart Cities' at that point, it will just be what's expected; data-driven government service delivery."

Data governance is critical to treat data as a strategic asset and a [data governance committee](#) is necessary for these practices. Key topics for a data governance committee may include data management and access, organizational strategy, and problem solving. Convening a governance body composed of representatives from deep within the organization with clear roles and responsibilities is an important first step.

The City of Louisville worked with staff to establish a data governance structure, team, and policy with an underlying goal of shifting its culture around data usage. In Louisville, there are about 50 people from almost every department and division that work with data that make up the Data Governance team. The projects, working groups, and training around data are in place to build culture of innovation, analysis, and data sharing. The data governance team's projects started initially as a way of getting data to open data portal, but over time, its scope expanded. Now, the team's goal is to take action and write policy on key components of data management like establishing data standards, conducting new inventories, and publishing findings on its open data portal. In Louisville, the data governance committee is laying the foundation for all current and future Smart Cities work by equipping city employees with the skills and tools needed to be able to be more involved.

Before taking action on developing a data governance committee, first get a holistic understanding of the major data governance milestones and determine which structure is best suited for your department. The GovEx resources linked here can help you and your core team think through key [data governance milestones](#) and the [data governance structure](#) that is best for your organization. Although these resources are more comprehensive, below are some key reminders.

Support open data leadership team in creating a collaborative environment that serves the City as a whole

With the Mayor's executive order driving them, the City of Louisville's department directors were asked to appoint two people from each department to be a part of the governance committee, which was initially tasked with creating an open data portal for the city. The team wanted to ensure that it was not working in silos, but rather with the intention of building relationships with the veteran city employees in order to change the culture around data and make progress in becoming a Smart City. The governance team knew that building relationships would be the most important factor in achieving those goals. The City also continuously reevaluated the makeup of its governance team. In order to both encourage employees to learn data skills and to identify the employees best fit for a role on the governance team, the City created a [badge incentive program](#) through which city workers could earn achievement badges in recognition of reaching data-related milestones.

During Louisville's monthly data governance team meetings, a volunteer from the committee presents or leads a session. Other teams in the City, like within the health department, are following suit. Many of the data governance committee practices, such as leading presentations

and the badge program, are becoming institutionalized throughout other departments, and they work interdepartmentally to rely on each other's goals. Because they're not working in silos and instead are collaborating in order to change the current culture and make progress on goals, Louisville is simultaneously developing the supports needed for the open data leadership team.

Below are key questions to consider when developing a data governance team:

- Who is involved in the data governance team? List team members, including names and position titles.
- What are the responsibilities of these team members?
- What if members aren't able to attend? Who will serve as a secondary representative?
- Will members of the community be allowed to serve on the organization's data governance team? If so, how will they be involved in decision making?
- Who must sign-off on decisions made by the committee?

Hold regular data governance meetings

Throughout its first two years of monthly meetings, Louisville's committee expanded its original scope and took action to write data standards and policies, execute new data inventories, and finally publish the data on the City's open data portal.

Your team should specify how many times it plans to meet each year. GovEx recommends the data governance team meets at least once a quarter. The frequency of the meetings are dependent on the types of projects adopted by your data governance team. For example, if the team is launching a city's open data program, it may make sense to meet once a month, or even once a week. A schedule for data governance meetings should be established at the beginning of the calendar year and distributed to the team.

Work with your governance committee to create a timeline, plan, and data collection instrument for your city's data inventory

A data inventory is a fully described record of the data assets maintained by your city. The inventory records basic information about a data asset including its name, contents, update frequency, use license, owner/maintainer, privacy considerations, data source, and other relevant details. The details about a dataset are known as metadata. Because your city may have thousands of datasets across multiple servers, databases, and computers, it's helpful to narrow down which datasets should be included in the inventory overall and how to plan for inventory updates in the future. The datasets worth inventorying are those which are considered assets to employees, departments, executive leadership, and the general public. Data assets can range from individual datasets that are connected to forms that people fill out, to integrated databases that track a city's operations in any given field (building permits, public safety responses, etc.). Remember to identify and manage risks related to new data collection efforts. Most importantly, as your team begins to look to implement a new data integration (bringing together data from several disparate, heterogeneous data sources to provide a unified view of the data) product, include someone who understands the architectures of differing platforms. It

is crucial that the team also builds relationships with database administrators across the city. As your team begins or continues the process of completing data inventories, it may be helpful to reference the [GovEx data inventory guide](#).

To cities that are just getting started on creating a data governance team, the City of Louisville recommends:

- **Bringing together a core group of people who are leading the effort, who are motivated to get things started.** If you have a small 2-4 person team, then you can start building events, trainings, and programs. A motivated group of people would be best to sell it to the internal directors, chiefs, and employees.
- **Building the community and the network.** Work interdepartmentally in order to gain momentum behind necessary culture changes and increase buy-in.
- **Having a stable, consistent team.** Make sure your team has clarity of focus; don't chase all the shiny things that come up as ideas or possibilities. Instead, have focused goals and team members who are consistently working towards them.
- **Being tenacious.** The most fun part of any project is when you sit down and talk about what the project could do. Know that the projects might take a long time to get done, and be willing to see them through the finish.

Open data policy

According to the Sunlight Foundation, an open data policy is critical to address “[what data should be public and how to make data public](#).” An open data policy is a hidden but very important part of the work towards building a Smart City. The ability of the public to have more information available and accessible to use in meaningful ways is predicated on a standard open data policy internally. An open data policy is a city's declaration of its intention to be more transparent and accessible by explicitly outlining what it needs to do to open its data to the public to increase communication and collaboration.

The City of Colorado Springs, CO, established an online initiative called SpeakUP, which is an online platform that allows community members to engage directly with the local government through providing feedback and input on areas and issues for which the City solicits. The City used the SpeakUP platform to upload its draft open data policy, and provided 2-3 questions for the public to respond to. Many of the comments were more about the open data program in general, which helped shape the policy as well as open data program development. The comments from the public affirmed that the City was headed in the right direction.

In Colorado Springs, OpenDataCOS is one of the City's Smart Cities projects, which are captured on the City's SmartCOS platform. Although its development was underway before the SmartCOS strategy was constructed, OpenDataCOS and a formal open data management program for internal City data were identified as crucial elements of any future-learning strategy

for City government. As the City looks to multiply the numbers of connected devices in its community, it is crucial that it establishes an intelligent stance toward data management.

Cities like Colorado Springs that successfully developed open data policies have followed the tenants discussed below. Because this list is not exhaustive, we recommend you review the [Sunlight Foundation Open Data Guidelines](#) and [GovEx's Policy Components For Open Data Program](#).

Identify formal and informal standards for opening data

When Colorado Springs was positioned to pursue open data, the city began by reaching out to others who had already done so. Using resources like Twitter, the What Works Cities network, and other city leaders, Colorado Springs was able to balance information from subject matter experts and data stewards with its own circumstances in order to best determine how to contextualize findings and follow suit.

Because open data bears a strong relationship to public records, organizations or departments should specifically consider how it relates to their general public records access laws. At the same time, it is useful to talk through with internal stakeholders how open data is also different from public records: it is the proactive publication of information to everyone at once, which means that your team should discuss how it might distinguish the data it commits to publish online from data which can be requested through public records request. For example, maybe voter registry can be requested through a public records request, but your team might also develop a privacy policy which restricts it from publishing it in unaltered form on the department's website.

Review existing policy measures and consider alternatives

Review other open data policies before drafting. Note what your department or team especially likes about existing open data policies and what it would like to bring over into its own. Try cutting-and-pasting from existing policies to collect all of the components that you like into a single draft.

Work closely with city officials

The data governance team in Colorado Springs formed a relationship with the deputy chief of staff early on. Getting the deputy involved in the open data process while in its beginning stages made the employee a natural internal champion in the political realm. Because of this, the committee was able to message to the internal stakeholders and gatekeepers the more tangible objectives and potential real-world results of an open data policy, like the reduction of repetitive work and better measurements to achieve better outcomes. Working closely with city officials helped the committee ensure their investment, and thus the success of the open data policy.

Whatever form of policy your team ends up developing, most open data policies contain:

- Definitions (what is open data?)
- Commitment to open data
- General governance structure & responsibilities
- Location for open data (portal or site)
- Commitment to review and improve

Revise publication prioritization to reflect new levels of internal interest and shift some internal sharing to open data portal

In constant collaboration with numerous community stakeholders, Colorado Springs identified a number of outcomes that the city would like to achieve, leveraging Internet of Things, gigabit speeds, prolific sensors, and other technology. The treatment of the data generated by these sensors, controllers and devices will be useful for the City, and much of it can be a valuable asset for the community. As Colorado Springs moves forward with other SmartCOS projects, it will be useful to 1) have a formal data management program, specifically the publication of Open Data, and 2) have the OpenDataCOs program managed in the same team that PMs the other SmartCOS efforts. This will make sure that the City can “default to open” as much as possible as it leans into its SmartCOS projects, and also that it can depend on an intentional data management program that has been constructed to treat data with the appropriate sensitivity and accountability.

Make sure your data governance committee has rights of final sign-off on the draft before it goes to the approving authority to ensure that it lines up with their capacities and established areas of responsibility. Finally, make the policy announcement the kick-off of your department’s open data program. Plan internal trainings and external events to follow on from the policy’s launch in order to take advantage of the interest and momentum.

Ensure Security and Accountability of Public Data

The sections above have addressed data management practices, but smart cities initiatives require additional data collection, sometimes at the individual level. So how does a city go about collecting and managing data in a manner respectful to civil liberties and rights? How does a city guarantee that external actors won’t use their data for inappropriate and nefarious purposes? Portland, Oregon’s practice of collecting data from sensors can be a case study for protecting public data. Through careful and deliberate contracting with vendors, transparency with the public, and a steadfast commitment to citizen privacy, the City offers an example for other Smart Cities to emulate. This section will help you:

- Work with vendors
- Assess sensitivity

- Consider cybersecurity risk mitigation strategies

Working with vendors

Vendors and city governments have different goals, and while working with a vendor can be a helpful way to acquire a technical service that the city cannot provide, it's important to consider whether your problem needs technology to be solved. For instance, would adding a million dollars worth of sensors in a high-need neighborhood provide more value than investing a million dollars in home repair? This is a question that can only be answered by clearly articulating the outcomes that you wish to achieve. Smart Cities should be about solving problems, not purchasing technology. If moving forward with a vendor makes sense, consider building those outcome based goals into a vendor contract in order to ensure accountability to the same goal, which goes beyond simply installing sensors.

Through its [Traffic Safety Sensor Project](#), Portland has been using sensors to understand how and when vehicles, pedestrians and bicycles use street infrastructure; monitor and analyze vehicle speeds; and track supply and demand of parking spaces, in order to design better streets. In order to protect the privacy of residents, the City worked with the project vendors to ensure that photos are not saved and are recorded over, and that any information is anonymized. Portland City Council must approve any changes to these terms.

Anticipate challenges and address use and ownership of data

The City of Portland worked with the American Civil Liberties Union (ACLU) and vendors on the traffic safety sensor project - which included AT&T, Current by GE, Intel and Portland General Electric - to ensure that data would not be used in ways that would encroach on citizen privacy. For instance, the City's contract with AT&T included language around data ownership and use. Under the agreement, all rights to the data, including all intellectual property rights, belong solely to the City, and the City retains that ownership at the end of the project. An excerpt of the language on Use and Ownership of Data from this contract is below:

Use of Data.

City Data may be used and distributed by the City with no restrictions. Contractor has a limited, non-exclusive license to Access and Use Contractor Data and City Data solely for performing its obligations under the Contract. Unauthorized Use of City Data or Contractor Data by Contractor or third parties acting on behalf of Contractor is prohibited. For the purposes of this requirement, the phrase "unauthorized use" means the data mining or processing of Data, stored or transmitted by the Service, for unrelated commercial purposes, advertising or advertising-related purposes, or for any other purpose other than security or Service delivery analysis that is not explicitly authorized by the Contract.

Ownership of Data.

Notwithstanding anything to the contrary elsewhere in the Contract, the Parties acknowledge and agree that Contractor and/or the respective Alliance Members own all Contractor Data.

Contractor will provide the City access to City Data. City Data is owned by the City, and all rights, including all intellectual property rights, remain the exclusive property of the City. The City will retain ownership of all City Data following the conclusion of the Project. Any and all Data other than City Data is Confidential Information subject to Master Terms and Conditions. In addition, the Parties acknowledge and agree that any Data in the form of live video is and will remain owned by Contractor, and is not being made available to the City under this Project.

In engaging with the vendors and addressing these concerns from the start, the City is setting a precedent on how to approach this technology and methodology going forward. The contract is public, and formed the beginning of the City's open data policy around IOT.

Address personally identifiable information

Their contracts help ensure that Portland and its partners use the data legally and responsibly, and protect confidentiality and personally identifiable information (PII). Their contracts also stipulate policies, requirements, and specifications for edge processing of data for its sensors. After the City draws the data from the monitors, the video is deleted after approximately one second, maintaining privacy and assuaging concerns that the City might keep the surveillance. Any capability to connect to that video connects to that sensor, but it deletes video after it is converted to a data format, so none of it is stored in the long run. An excerpt of language from the video storage and access section of the AT&T contract is below:

"The Parties acknowledge and agree that live video captured by the Nodes will be retained only for the time needed to process the video and convert it to City Data, a period of approximately one (1) second. After the video is processed, it will be permanently deleted. The Parties also acknowledge and agree that Access to the live video via the Situational Awareness API will be disabled, and that the City, the Contractor and/or the respective Alliance Members or any other parties will not, under any circumstances, be granted Access to live or recorded video."

The City knows that transparency is crucial for the process to engineer trust, and incorporates this principle into their practices. The contracts also provide that hardware, peripherals, and software upgrades can be made as technology changes and improves, and continues to meet privacy and security requirements.

Assessing sensitivity

When opening your data to the public, you have to be cognizant of security and privacy risks as you prepare it for release. The City should classify its data according to its sensitivity based on risk factors, potential impacts, and legal/compliance requirements. Typically there are three levels: "Public/Open," "Sensitive," and "Restricted." Classifying data as Public/Open automatically qualifies it as being suitable for opening. Data that is not at this level yet should have thorough analysis and scrutinization.

Your data needs a complete overhaul and double-checking before you publish it. You should properly aggregate your data, anonymize it (make any personal data anonymous), and redact data when necessary. This ensures sensitive data isn't released or reconstructible. While classifying your datasets, you should aim to be as granular as possible (e.g., making sheets/tabs within spreadsheets documents, tables within databases, or groups of tables in enterprise systems).

Protecting citizen privacy in the release of your data should be one of your highest priorities. When protecting privacy, consider whether you are sharing data that at least some citizens might consider private. Don't share anything that puts your citizens at risk from unnecessary targeting of any kind. Always present citizen data in terms of being part of a group or demographic so as to make their shared data less personal. If you experience a breach, you must work immediately to secure your information and prevent further breaches.

While you're collecting and storing your data, you'll need to focus on a couple of factors: Data and documentation ownership, standardizing processes, and how long it'll take to hold on to data of different types. How much storage, redundancy, and security is necessary for your data? Is degrading quality (e.g., for visual, geographic, temporal, categorical, and other types of data) for the sake of space acceptable? Should the highest level of access be maintained for data in perpetuity? Who should maintain this access and how are those decisions made?

On the question of whether to collect or store data and which data to collect or store, what level of privacy is expected by the community in exchange for what benefits? Is some data more risky in the event of a breach than it's worth for analyses? Is some sensitive data permissible to collect, but not to store? When protecting your data, have you considered privacy concerns and back-ups? Addressing these sorts of questions will bolster your security and prioritization. Oakland's City Council adopted a [resolution](#) establishing a [Privacy Advisory Committee](#) to advise the City on best practices to protect the rights of residents as the City purchases and uses surveillance equipment and other technology that collects or stores data.

Considering cybersecurity

Networked computers are everywhere these days, from our cars to our thermostats. However they are vulnerable to cyber attacks if not configured properly. As Smart City initiatives deploy new sensors and networked devices, they have to plan for security in ways they may not have considered previously. Morgan State University has launched a [research lab](#) focused on security for the Internet of Things to help communities navigate this discussion. Through this program MSU is able to educate cities and residents about common ways that these devices are compromised, and strategies for overcoming cybersecurity challenges while managing an expansive network.

Cyber security challenges in Smart Cities: safety, security, and privacy

The evolution of Smart Cities creates new economic and social opportunities but also [challenges in security and expectations of privacy](#). These challenges deal with illegal access of information and attacks resulting in service disruption. Particularly, privacy protecting systems face technological challenges when it comes to gathering data and triggering emergency responses. Here we provide some general considerations for you and your city going forward.

Locational data, privacy, and a citizen's relationship with the state are key cybersecurity concerns that require deep legal and technical security measures. However the benefits of having a Smart City generally outweigh the risks. As long as you can find an acceptable paradigm for your security apparatus, you can mitigate the risks.

One applicable security paradigm for a Smart City, according to IBM, is the [IN3](#), which entails how staffers should be using their devices in an acceptably secure way for the City:

- Instrumented
 - Give devices to city officials that respond to sensor network
- Interconnected
 - Devices must pass information into a network
- Intelligent
 - Have information available for decision-making
- Areas that need to be secured with computing systems
 - The “privacy” and confidentiality of the information
 - The integrity and authenticity of the information
 - The availability of the information for its use and services

How should a city start developing a cybersecurity strategy? Datasmart at Harvard University offers [six ways cities](#) can make cybersecurity a top priority. These recommendations address funding, attracting and fostering talent, partnering with the public sector, collaborating with an open data program, developing a strong response policy, and proactively creating a culture that values and supports risk management.

Opening and sharing data

As discussed above, it's critical to work with vendors to understand who owns the data and where it will live. Data collected from communities should be accessible by residents of those communities, and one way to do this is to host it on an open data portal. This section will help you:

- Develop open data portal requirements
- Determine dataset publication priority
- Ensure accessibility of data

Develop portal requirements

It is crucial to keep track of key roles in the open data process. A **consumer** is anyone who visits the portal to find, access, and use data. A **publisher** is a government employee who is responsible for publishing or updating data and other content on the portal. Finally, an **administrator** is a government employee who manages the technical and configuration options of the portal, such as visual themes, metadata requirements, etc. Generally, a publisher can do anything a consumer can do, and an administrator can do anything a publisher can do. For technical details on procuring or developing an open data portal, see the [GovEx guide](#). Below are some tips:

Community Features

Consumers should be able to provide comments and feedback on individual data resources, nominate data resources for public release, and provide comments and feedback on the data catalog. Publishers must be able to view consumer-nominated data resources, may be able to update the status of consumer-nominated data resources, may be able to respond to consumer-nominated data resources, may be able to view and respond to consumer comments and feedback, and may be able to review and approve visibility of consumer comments and feedback.

Administrators should consistently track and analyze consumer feedback. With accounts and profiles, consumers should be permitted to register for an account with an email address and create, edit, or remove profile information which may be accessible to other consumers. Publishers should be able to grant specific, registered consumers permission to access specific data resources that they own. Administrators must be able to manage permissions for other administrators and publishers and be able to disable consumer accounts (if consumer accounts are a feature of the portal).

Publishers should be able to add, edit, or remove catalog entries and mark them as private. They must be able to create new data resources to replace or update existing data resources. Administrators must be able to create, edit, and retire metadata categories, and configure global settings for the data catalog (see below), including color theme, branding/logo, titling, custom Cascading Style Sheets (CSS), homepage display elements and layout, displayed catalog elements, and more. Additionally, they must be able to manage permissions for other administrators and publishers.

Consumers must be able to search for datasets by one or more terms contained in dataset metadata, browse or explore data by category, download the catalog in a machine-readable format compatible with the [common core metadata schema](#) from a well-known address (typically /data.json), view a summary page for each dataset which details data resources, metadata, and other relevant documentation, and be permitted to search for datasets by terms contained in the

data. They must be allowed to download stored data in bulk and may access stored data through a REST API.

Data Catalog Features

A data catalog is a listing of available data with each catalog entry corresponding to one or more data resources. It usually includes high-level information for each dataset, such as Title, Description, Release Date, Category(-ies), and Keyword(s).

Data Presentation Features

Consumers must be able to preview data resources through their internet browser, visualize data resources in a graphical way (including maps, graphs, charts, etc.) and be able to save visualizations with configuration settings for future viewing. Publishers may be able to create data visualizations and make them accessible through the data catalog or data resource page(s). Administrators should be able to control whether consumer-created data presentations are visible to other consumers.

General Technical Requirements

The following requirements are general technical requirements which either don't require a specific role or apply to all roles.

- Data resources must be available for download in the format in which they were originally published on the portal.
- API calls which are invalid or fail must return the appropriate HTTP response status code (404, 500, etc) and status message.
- The portal must be accessible through a city-provided internet domain name (e.g., data.somecity.gov).
- Transport Layer Security (TLS) must be used for account registration, logging in, and all actions performed by publishers and administrators.
- Web pages must be accessible on large-screen devices (desktop computers, laptops, etc.).
- Web pages may be accessible on small-screen devices (mobile/smart phones, tablets, etc.).

Determining dataset publication priority

Governments should set a process for reviewing data for priority and quality prior to release. Additionally, they need to focus on incorporating public feedback into their data quality review and release schedules. Cities may want to develop a rubric or scorecard to add rigor to this process, categorizing criteria into quality, value, and cost. They may also want to consider how the number of criteria in each category will affect scoring, and weigh their criteria accordingly. After identifying datasets and their technical characteristics, the next step is to determine the relative value of publishing a given dataset.

When evaluating data, there is a set of measures to consider: completeness, accuracy, timeliness, and the degree to which it is automated. These factors will affect how useful your data is to your citizenry, and encourage staffers to adopt better practices when dealing with their data. All are interrelated, but remain distinct. Here we discuss how you should conceptualize these measures.

A dataset is **complete** if it has all the required information present, including in its metadata. This makes it easily machine readable and easily transformed as a result. Completeness is one of the most basic measurements of your data quality, ensuring you avoid gaps in information and give residents a complete breakdown of your data.

Accuracy refers to how well the dataset reflects the real world, and how effectively it avoids making mistakes about the information it means to convey. You should verify your dataset's accuracy as thoroughly as possible before publishing it, lest it accidentally misleads citizens. Does the dataset need an additional edit or revamp in its current format before publishing?

Timeliness is related to accuracy, but only deals with how relevant the dataset is at the time of its publication. Does the data represent the situation as it currently is and is it relevant to present issues and concerns? Is it related to a citywide goal and/or priority? Does it relate to department's mission, core function, and/or goals? Is there low effort involved in keeping the data up-to-date? Having a regular series of processes for ensuring that your data is released at a time relevant for the populace.

When we talk about how data is **automated**, we mean gauging if your organization can deliver the data to the public in an automatic process. Instead of requiring manual input every time, having an automated process will save time, increase efficiency, and make delivery of your data easier. It will also institutionalize efficient open data practices, making them integral to your organization. This will allow present and future staffers to learn these conceptual and technical best practices far more easily, reducing time and effort spent on teaching them.

Below we provide some key questions on how to assess data quality, value, and accessibility:

Data quality (complete, accurate, timely, automated):

- Is all of the required information present, including dataset metadata?
- Is the data valid and true?
- Does the publication/capture of the data represent the actual situation?
- Is the delivery of the data a manual or automated process?

Value (level of public interest, sensitivity, relevance):

- Is the data requested often?
- Does the data have a direct impact on the public?
- Is the data appropriate for publishing?
- Is there cause for concern for any reason?
- Is the data related to a citywide goal and/or priority?

- Is the data related to department's mission, core function, and/or goals?
- Can the data impact economic outcomes in the city?
- Does the data allow citizens to measure City performance?
- Does the data make government information more accessible?

Accessibility (machine readable, publishable, low cost)

- Is the dataset in a format that is machine-readable or can be easily transformed?
- Does the dataset require an additional step to publish due to their current format?
- Is there a low level of effort or cost to keep the data up-to-date?

Ensure accessibility of data

When increasing access to data, you have to be cognizant of making the navigation experience on your site as user easy as possible. People should be able to find and access the data in an intuitive and straightforward way. Making it publicly accessible means not only that it is open, but that its formatting and interpretability (ability to connect with other machines) is high level. As you develop your portal, consider how the community wishes to share updates with the public, and how you can consider to engage the public. A few tips are below:

- Published data should conform to appropriate [open standards](#) (e.g., [GTFS](#) or [BLDS](#)).
- Data should be as accessible as possible to people in the city, including those who don't speak English. Having different language options is key.

Here are some resources you may want to use to open your portal:

- [How to Run an Open Data Bootcamp in Your City](#)
- [GovEx Open Data Standards Directory](#)
- [Open Data Getting Started Guide](#)

Present your data in such a way that lets citizens feel like they are part of the city's decision making process. Aim to have them trust you to make the right decisions by increasing your transparency. Being transparent about how well your programs are doing boosts trust and therefore confidence in city programming. Always aim to make accessing your data a user-friendly experience for your citizens. Incorporating public feedback into data quality review and release schedules is a good tactic for this. As you release useful and timely data it'll be more useful for your citizens, but protecting privacy will become more of an issue so be sure to have your safeguards in place.

Measuring success

A performance management system can be helpful to identify and manage key indicators in order to understand whether the initiatives are meeting the needs of the community and

achieving Citywide goals. The indicators should be available at the city and [project level](#). To develop these indicators, consider the goals for your open data project. What do you want to accomplish? How will you know when you get there?

Analytics

Kansas City, Missouri notes that smart cities infrastructure has the potential to support city operations, but it's important to start with a use case and then determine the best way to collect and analyze that data. Before speaking with vendors, city staff should start with high-need neighborhoods, and understand the challenges and priorities of people living there. With that information, it can then be helpful to see if sensors or other smart cities solutions would help. There are many problems facing residents, and not all of them are best suited to a technological solution.

Big data is not always necessary to take the pulse of a community, and in some cases it can be more confounding. How helpful is it to gather information on the number of pedestrians on a certain walk way if there is no information on how many are unique counts, and where people are coming from and where they are going? Working with vendors during the RFP phase to ensure that meaningful and timely metrics are shared with the City can help to address this challenge. Sometimes, low-tech solutions and "small data" can give more insight. A resident survey can give detailed information about resident satisfaction with city services in varying categories and jurisdictions across an entire city. These surveys also ask about resident priorities, which Kansas City successfully used to make the case for a program to demolish 800 dangerous buildings. With these baseline and historical data points, a next step might be to deploy sensors to augment it with real-time information. According to Eric Roche in KCMO, "Sensors can (ideally) tell you what is really happening. While surveys give you perception information. You can measure the gap between the two to determine if the problem is best addressed via operational changes, or just requires better communication."

For instance, asking about satisfaction with frequency or comfort of busses and then deploying sensors to measure whether behavior matches what people reported can be helpful information for transportation planners and decision makers. Balance the reality that can be collected through sensors with ground-truthing, and collect data that matters. Sens

Consider the timing of this data collection - is there a strategic planning process that this data could support? Where are you in the city budget cycle? Are there legislative considerations at the state or federal level? Are there opportunities to use data that might be collected in departments, but is not regularly analyzed? Transportation systems, bike shares, 311 and 911 systems, inspection reports are all great examples of potential sources of data. Map out these processes and see if there are unmet opportunities to use existing data and tools. If a city has existing data, but is not using it to make decisions it may indicate a culture unsupportive of data driven governance. In this case, the procurement of smart city technologies is unlikely to have

the desired impact without a sustained program to shift city leadership and staff to a data driven culture.

It's also critical to think about how resources might be deployed as a result of this analysis. For instance, deploying sensors in a high-need neighborhood can help collect valuable data points, but if the investment in sensor infrastructure means there is less funding to invest in solutions for those communities, who is really better off?

Communicating with residents

During the community conversations described at the beginning of this guide, participants noted repeatedly that there is a lack of trust between the community and city government (as well as researchers, police, and some community-based organizations). The researchers on this project plan to return to the community to reflect the findings from the original community conversations, as well as the City's smart cities plans.

Any City that is involved in a smart cities initiative, and especially those with historical systemic segregation, should be aware of these dynamics. To continue to engender trust, there are a few steps that cities can take:

Acknowledge the priorities that residents have identified

In discussing smart cities initiatives, city leaders and staff should reflect the concerns and priorities shared by residents, rather than focusing only on the technology. For instance, in Colorado Springs, the City uses its SpeakUpCOS platform to solicit input from the community on [focus areas](#) including energy and utilities, buildings and sustainability, transportation and mobility, and city services. When Mayor Suthers speaks about smart cities in Colorado Springs, he talks about the problems that will be addressed through this [initiative](#), rather than focusing on the technology. "We look forward to working with Panasonic in a collaborative process that leads to ways to make Colorado Springs more appealing for residents and tourists alike. The technological solutions include items such as LED streetlights that can detect snow levels, building efficiency technologies, and advanced security technologies to improve public safety." This is in line with Colorado Springs' definition of Smart Cities, which is "using [technology](#) to improve public services, drive economic development and solve issues facing the city."

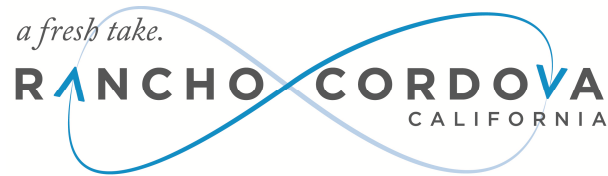
Communicate clearly and effectively

In addition to opening data, as discussed above, cities should think about developing clear measures to illustrate progress on smart cities initiatives. For instance, Boston's "[Imagine Boston](#)" plan includes smart cities infrastructure as a strategy to achieve priorities like affordability and inequality. The plan includes metrics related to 311 call center performance.

Cities should also build applications that are responsive to community needs. The finding by the University of Maryland team that residents in low-income communities primarily use cell phones to access the internet should guide Baltimore City government in developing or encouraging development of phone-based applications. Baltimore can look to other cities that have developed applications to help residents stay connected with governmental service delivery, such as [sanitation services and weather closures](#); [report blight and track those reports](#); [track progress on Mayoral initiatives](#); [find lost pets](#); and more. Kansas City, MO has a [dashboard](#) that residents can use to access information on parking availability, traffic downtown, wifi usage, and streetcar location in the central business corridor. The City also has interactive [kiosks](#) that are used to share information with the public.

Conclusion

This guide lays out the foundation for a smart cities program, or any data initiative. As this space evolves and cities increasingly use data and technology to respond to resident concerns and proactively address problems, there will be more examples and guidance, and hopefully a communities of cities will form to share experiences and work through challenges and lessons learned together. We hope that you will share your smart cities experiences with us, and with each other.



CITY COUNCIL MEETING

**City Hall
2729 Prospect Park Drive, Rancho Cordova**

Monday, March 18, 2019

**5:30 PM – Regular Meeting
David B. Roberts Council Chambers**

DRAFT MINUTES

1. REGULAR MEETING - CALL TO ORDER / ROLL CALL

Mayor McGarvey called the Regular meeting to order in the David B. Roberts Council Chamber at 5:37 PM.

Council Members Present: Gatewood (arrived at 6:15 PM), Budge, Terry, McGarvey.

Council Members Absent: Sander.

Staff Members Present: Abhar, Chan, Cowles, Heisler, Juran, Kniestedt, Leitner, Lewis, Lindgren, Medina, Nham, Runner, Sosa, Sparkman, Stricker, Weber.

2. METRO CABLE TV TELEVISION ANNOUNCEMENT

The City Clerk read the meetings recordings and playback schedule.

3. PLEDGE OF ALLEGIANCE

Rancho Cordova Assistant Chief of Police Chad Lewis led the pledge.

4. INVOCATION

Sacramento County Law Enforcement Chaplaincy gave the invocation.

5. PRESENTATIONS

- 5.1 Presentation by Robert Sanger and Renee John of the Folsom Cordova Community Partnership on the Youth Career Center and Group Mentoring Programs.

6. PUBLIC COMMENT

Mayor McGarvey opened the public comment period. Seeing no speakers, Mayor McGarvey closed the public comment period.

7. COUNCIL REPORTS

Council reported on events since the last meeting.

8. CITY MANAGER'S REPORT

City Manager Cyrus Abhar gave his report.

9. CONSENT CALENDAR ITEMS - ROLL CALL VOTE

ACTION: Motion to approve items 9.1 through 9.4 by Budge second by Terry; Motion passed with a 3:0 vote.

9.1 **Subject:** Meeting Minutes from the March 4, 2019 Special and Regular City Council Meeting.

Recommendation: Adopt the minutes.

9.2 **Subject:** An Ordinance Amending Sections of the Rancho Cordova Municipal Code Related to Title 4 Business Regulations and Discussion and Direction on Future Code Amendments.

Recommendation: Waive the second reading and adopt the Ordinance.

Result of Recommended Action: Approval of the Ordinance would amend Title 4 (Business Regulations), Chapter 4.54 Regulations and Prohibitions of the Rancho Cordova Municipal Code.

Staff Report: Darcy Goulart, Planning Manager.

Advances Goals: 1, 2, 5 and 6.

9.3 **Subject:** A Resolution Authorizing the City Manager to Execute an Amended Joint Exercise of Powers Agreement Related to the South Sacramento Conservation Agency.

Recommendation: Adopt the Resolution.

Result of Recommended Action: Adoption of the Resolution will authorize the City Manager to execute an Amended Joint Exercise of Powers Agreement (JPA Agreement) related to the South Sacramento Conservation Agency (SSCA). The amendment includes changes to the composition of the agency governing board, the implementation review committee, the quorum provisions, and other clarifications.

Staff Report: Elizabeth Sparkman, Community Development Director.

Advances Goals: 1 and 5.

9.4 **Subject:** 2018 General Plan Annual Report to Include the Housing Element and Multi-Jurisdictional Hazard Mitigation Plan Annual Report.

Recommendation: Receive the 2018 General Plan Annual Report as required by State law.

Result of Recommended Action: By receiving this report, the City Council is satisfying its obligation under State law. No further action is required on the part of the City Council. The purpose of the report is to provide an annual accounting of

implementation of the City's General Plan.

Staff Report: Elizabeth Sparkman, Community Development Director.

Advances Goals: 1, 2 and 6.

10. CONSENT PUBLIC HEARING ITEMS - ROLL CALL VOTE

- 10.1 **Subject:** Watt Communities Alderwood Major Design Review Approval and CEQA Exemption 15182; Project No. DD9833 - Located South of Douglas Road and West of Grantline Road.

Recommendation: That Council:

- a) Determine the project Exempt per Section 15182, of the CEQA Guidelines, and
- b) Adopt the Resolution.

Result of Recommended Action: Adoption of the above referenced Resolution would approve the design for 3 floor plans ranging from 2,155 square feet to 3,038 square feet, located within a portion of the Douglas 98 subdivision known as the Alderwood Community. Approval would allow the applicant to pursue necessary building permits for new construction.

Staff Report: Nicholas Sosa, Assistant Planner.

Advances Goals: 1, 2 and 6.

Council Member Budge pulled this item from consent.

Mayor McGarvey opened the public hearing. Seeing no speakers; Mayor McGarvey closed the public hearing.

Council Member Gatewood arrived at 6:15 PM.

ACTION: Motion to approve item 10.1 by Budge second by Terry with the condition that the applicant work with staff to revise elevations for the Spanish style plans; Motion passed with a 3:0 roll call vote; Council Member Gatewood abstained due to not being present for the entire item.

11. PUBLIC HEARING ITEMS

- 11.1 **Subject:** Presentation of the Draft 2019-2020 Community Development Block Grant Annual Action Plan.

Recommendation: Receive presentation of the draft 2019-2020 Community Development Block Grant (CDBG) Annual Action Plan (AAP) and invite public comment on the draft AAP.

Result of Recommended Action: Provides the public an opportunity to review and comment on the draft plan. Additionally, this provides the City Council an opportunity to discuss the draft 2019-2020 CDBG AAP in consideration of public comment and direct City Staff to make edits before coming back to the City Council for final approval. The final approval public hearing is currently scheduled for April 15, 2019.

Staff Report: Stefan Heisler, Reinvestment Analyst and Patrice Clemons, CDBG Housing Consultant.

Advances Goals: 1, 2 and 6.

Mayor McGarvey opened the public hearing. Seeing no speakers; Mayor McGarvey closed the public hearing.

ACTION: City Council provided direction to staff regarding CDBG funding.

12. REGULAR CALENDAR ITEMS

12.1 **Subject:** Presentation of Cordova Park Safe Route to School Project and Chase/Coloma Plaza Improvement Project.

Recommendation: Receive staff presentation and provide Council input.

Result of Recommended Action: Staff will incorporate Council input into the plans and return at a future date for Council consideration of awarding a construction contract.

Staff Report: Albert Stricker, Public Works Director, Edgar Medina, Senior Civil Engineer and Quoc Nham, Associate Engineer.

Advances Goals: 2, 3 and 5.

ACTION: Council provided direction to staff regarding the Cordova Park Safe Route to School Project and Chase/Coloma Plaza Improvement Project.

12.2 **Subject:** Fiscal Year 2018-2019 Mid-Year Financial Report.

Recommendation: Receive the 2018-19 Mid-Year Financial Report.

Result of Recommended Action: The Fiscal Year 2018-19 Mid-Year Financial Report provides the City Council with the City's financial performance as of the mid-year point for the current fiscal year.

Staff Report: Kim Juran-Karageorgiou, Administrative Services Director.

Advances Goals: 5.

ACTION: Informational item only.

13. COUNCIL REQUESTS FOR FUTURE AGENDA ITEMS

14. ADJOURNMENT

Mayor McGarvey adjourned the meeting at 7:24 PM.



Stacy Leitner, City Clerk

MEMORANDUM

DATE: April 1, 2019

TO: Honorable Mayor and Council Members

FROM: Elizabeth Sparkman, Community Development Director
Jeanette Cervantes, Management Technician

SUBJECT: **A RESOLUTION DECLARING THE RESULTS OF MAIL BALLOT ELECTION FOR RANCHO CORDOVA TRANSIT-RELATED SERVICES SPECIAL TAX AREA ZONE 23 FOR THE GOLD VALLEY CENTER PROJECT**



RECOMMENDATION

Adopt the Resolution.

RESULT OF RECOMMENDED ACTION

Adoption of the Resolution will declare the result of the mail ballot election concerning Transit-Related Services Special Tax Area Zone 23 establishing a special tax for transit services for the Gold Valley Center Project.

BACKGROUND

On December 17, 2018, the City Council approved Resolution 173-2018, which created the Rancho Cordova Transit-Related Services Special Tax Area Zone 23 and announced the City's intention to impose a Transit-Related Services Tax on the Gold Valley Center Project.

In order for the transit-related services special tax to go into effect, the Ordinance must be approved by two-thirds of the affected property owners voting in a mail-ballot election to be held by the City. If the tax in Zone 23 is approved by at least two-thirds of the property owners voting, the tax will first be collected hereunder for the tax year beginning July 1, 2019.

Pending Elections

In accordance with this above-described process, the City recently adopted a Resolution creating Special Tax Area Zone 23 and an Ordinance that established the special tax for transit-related services subject to landowner-voter confirmation. A ballot was mailed out to the property owner of the Gold Valley Center Project following approval of the Ordinance.

The ballot has been tabulated by the City Clerk and the Council should now announce the result of the elections.

ATTACHMENTS

1. Resolution
2. Ballot
3. Certified Ballot Results

CITY OF RANCHO CORDOVA

RESOLUTION NO. XX- 2019

**A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF RANCHO CORDOVA,
STATE OF CALIFORNIA, DECLARING THE RESULTS OF THE ELECTION FOR
RANCHO CORDOVA TRANSIT-RELATED GOLD VALLEY CENTER PROJECT TAX
AREA ZONE 23**

WHEREAS, December 17, 2018, the City adopted a Resolution, creating Special Tax Area Zone 23 within the Transit-Related Services Special Tax Area. Pursuant to Resolution 173-2018, the City Council directed the City Clerk to conduct a transit-related services tax election, to be conducted by mail ballot, pursuant to Elections Code section 4000; and

WHEREAS, the property owner within Zone 23 waived the timing requirements of Elections Code section 4000 in order to conduct the election on a date earlier provided under the Elections Code; and

WHEREAS, on January 22, 2019 the City adopted an Ordinance, which established a special tax for transit-related services in Zone 23, subject to landowner-voter confirmation; and

WHEREAS, Ordinance No. 2-2019 takes effect immediately upon confirmation by two-thirds of the voters voting within the relevant zone, so that taxes will be first collected for the tax year beginning July 1, 2019; and

WHEREAS, a ballot was sent to the landowner of Zone 23 (Gold Valley Center Project), which asked them a single question in the form of: "Shall Ordinance No. 2-2019 of the City Council of the City of Rancho Cordova be approved so as to authorize a special tax on property located in Zone 23 of the Rancho Cordova Transit-Related Services Special Tax Area to maintain the present level of transit-related services and provide additional funding for increased transit-related services?"; and

WHEREAS, the owner of the real property subject to the Transit-Related Services Special Tax Area Zone 23 has voted on the issue of whether to approve Ordinance No. 2-2019 and the City now wishes to declare the results of this transit-related services tax election for Zone 23.

**NOW, THEREFORE, BE IT HEREBY RESOLVED BY THE CITY COUNCIL OF
RANCHO CORDOVA:**

1. The foregoing recitals are true and correct.
2. The City Clerk has tabulated the transit-related services special tax ballot and the following are the responses to the question on the ballot asking whether the landowner approves of Ordinance No. 2-2019 authorizing a special tax in the portion of Transit-Related Services Special Tax Zone 23 that encompasses the landowner's property, in order to maintain the present level of transit-related services and provide additional funding for increased transit-related services:

Special Tax Area Zone 23: 1 “yes”; 0 “no”.

3. In accordance with Ordinance No. 2-2019, the transit-related services special tax for Zone 23 shall take effect immediately, so that taxes will first be collected hereunder for the tax year beginning July 1, 2019.

PASSED AND ADOPTED by the City Council of the City of Rancho Cordova on the 1st day of April, 2019 by the following vote:

AYES:

NOES:

ABSENT:

ABSTAIN:

Robert J. McGarvey, Mayor

ATTEST:

Stacy Leitner, City Clerk

TO CAST THIS BALLOT, PLEASE RETURN THIS ENTIRE PAGE.

OFFICIAL SPECIAL TAX BALLOT (ELECTIONS CODE §4000)

Name & Address
of Property Owner

Assessor's
Parcel Numbers

SFC Leasing, L.P.
3430 Luyung Drive
Rancho Cordova, CA 95742

072-0670-003

RANCHO CORDOVA TRANSIT-RELATED SERVICES SPECIAL TAX AREA ZONE 23
GOLD VALLEY CENTER PROJECT
CITY OF RANCHO CORDOVA
COUNTY OF SACRAMENTO, STATE OF CALIFORNIA

SPECIAL TAX BALLOT MEASURE

Shall Ordinance No. 2-2019 of the City Council of the City of Rancho Cordova be approved so as to authorize a special tax on property located in Zone 23 of the Rancho Cordova Transit-Related Services Special Tax Area to maintain the present level of transit-related services and provide additional funding for increased transit-related services?

YES X NO

Date: 3/5, 2019

SFC Leasing, L.P.
a Limited Partnership



Charles Urata, General Partner

Kelly Urata

**CERTIFICATE OF THE CITY CLERK AS TO
THE RESULTS OF THE CANVASS OF THE MAIL BALLOT ELECTION RETURN
FOR TRANSIT-RELATED SERVICES SPECIAL TAX AREA ZONE 23
IN THE CITY OF RANCHO CORDOVA**

I, Stacy Leitner, City Clerk of the City of Rancho Cordova, hereby certify that I canvassed the returns of the election of the Transit-Related Services Special Tax Area Zone 23, on the day for the return of mailed ballot, March 19, 2019. The election was concluded on that date and that the total number of ballots cast in said election and the total number of votes cast for and against the ballot measure, as specified below, are full, true and correct.

Total of Ballots Received: /

Total "Yes" Ballots: /

Total "No" Ballots: 0


Stacy Leitner, City Clerk

MEMORANDUM

DATE: April 1, 2019

TO: Honorable Mayor and Council Members

FROM: Albert Stricker, Public Works Director and
Steve Harriman, Operations and Maintenance Division Manager

SUBJECT: **A RESOLUTION APPROVING SUBMITTAL OF AN APPLICATION TO CAL FIRE FOR THE URBAN FORESTRY GRANT PROGRAM IN THE AMOUNT OF \$369,500 TO FUND THE RANCHO CORDOVA SHADE TREE EXPANSION CONTINUUM.**



RECOMMENDATION

Adopt the Resolution.

RESULT OF RECOMMENDED ACTION

Adoption of this Resolution will allow the City to submit a grant application to Cal Fire for the Urban Forestry Grant Program. If awarded, the grant proceeds in the amount of \$369,500 would fund the preparation of an Urban Forest Master Plan and the planting of 750 trees over three years.

BACKGROUND

The City of Rancho Cordova has made a significant commitment to improving the tree canopy in our City. In conjunction with the Sacramento Tree Foundation and other community partners, the City has planted nearly 2,000 trees in neighborhoods, schools, parks, churches and businesses since 2016. In order to strengthen our efforts, the City is submitting an application to Cal Fire for an Urban and Community Forestry Grant in the amount of \$369,500. If awarded, the grant would fund the planting of 750 trees over three years, including 50% in economically disadvantaged neighborhoods. The grant would also fund the preparation of an Urban Forest Master Plan, which includes a detailed inventory of the current tree canopy and a 40-year strategic plan to guide the City's efforts to enhance the urban forest. This grant has multiple benefits, including a planning document to guide the City's forestry efforts going forward, and environmental benefits including enhanced air quality, capture of greenhouse gases, and lower peak summer temperatures in our neighborhoods.

The City is committing to matching funds of \$100,000 total over three years, including \$70,000 for City and contract staff, \$10,000 for supplies, \$10,000 for education and outreach, and \$5,000 each for equipment and indirect other costs.

FISCAL IMPACT

If awarded, the City would receive \$369,500 for the Rancho Cordova Shade Tree Expansion Continuum. This project has no impact on the General Fund.

ATTACHMENT

1. Resolution

ATTACHMENT 1**CITY OF RANCHO CORDOVA****RESOLUTION NO. XX-2019****A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF RANCHO CORDOVA, STATE OF CALIFORNIA, FOR FUNDING FROM THE URBAN FORESTRY GRANT PROGRAM AS PROVIDED THROUGH THE CALIFORNIA PROPOSITION 68 BOND FUND**

WHEREAS, the Governor of the State of California in cooperation with the California State Legislature has enacted the California Proposition 68 Bond Fund, which provides funds to the State of California and its political subdivisions for Urban and Community Forestry Programs; and

WHEREAS, the State Department of Forestry and Fire Protection has been delegated the responsibility for the administration of the program within the State and for setting up necessary procedures governing application by local agencies and non-profit organizations under the program; and

WHEREAS, said procedures established by the State Department of Forestry and Fire Protection require the applicant to certify by Resolution the approval of application before submission of said application to the State; and

WHEREAS, the applicant will enter into an agreement with the State of California to carry out an urban and community forestry project.

NOW, THEREFORE, BE IT HEREBY RESOLVED THE CITY COUNCIL OF THE CITY OF RANCHO CORDOVA:

1. Approves the filing of an application for "Proposition 68 Bond Fund" grant program funds.
2. Certifies that funds under the jurisdiction of the City Council of the City of Rancho Cordova are available to begin the project.
3. Certifies that said applicant will expend grant funds prior to March 30, 2022.
4. Appoints the City Manager or his/her designee as agent of the City Council to conduct all negotiations, execute and submit all documents including, but not limited to, applications, agreements, amendments, payment requests, etc., which may be necessary for the completion of the aforementioned project.

PASSED AND ADOPTED by the City Council of the City of Rancho Cordova on the 1st day of April, 2019 by the following vote:

ATTACHMENT 1**AYES:****NOES:****ABSENT:****ABSTAIN:**

Robert J. McGarvey, Mayor**ATTEST:**

Stacy Leitner, City Clerk

MEMORANDUM

DATE: April 1, 2019

TO: Honorable Mayor and Council Members

FROM: Megan Siren, Senior Management Analyst
and Stefan Heisler, Reinvestment Analyst

**SUBJECT: SUPPORT THE 2020 U.S. CENSUS AND AFFILIATED OUTREACH EVENTS
IN THE CITY OF RANCHO CORDOVA AND STATE OF CALIFORNIA.**



RECOMMENDATION

Approve the Resolution of support for the 2020 U.S. Census and affiliated outreach events.

RESULT OF RECOMMENDED ACTION

Action on this item will confirm the City Council's support for the 2020 U.S. Census.

BACKGROUND

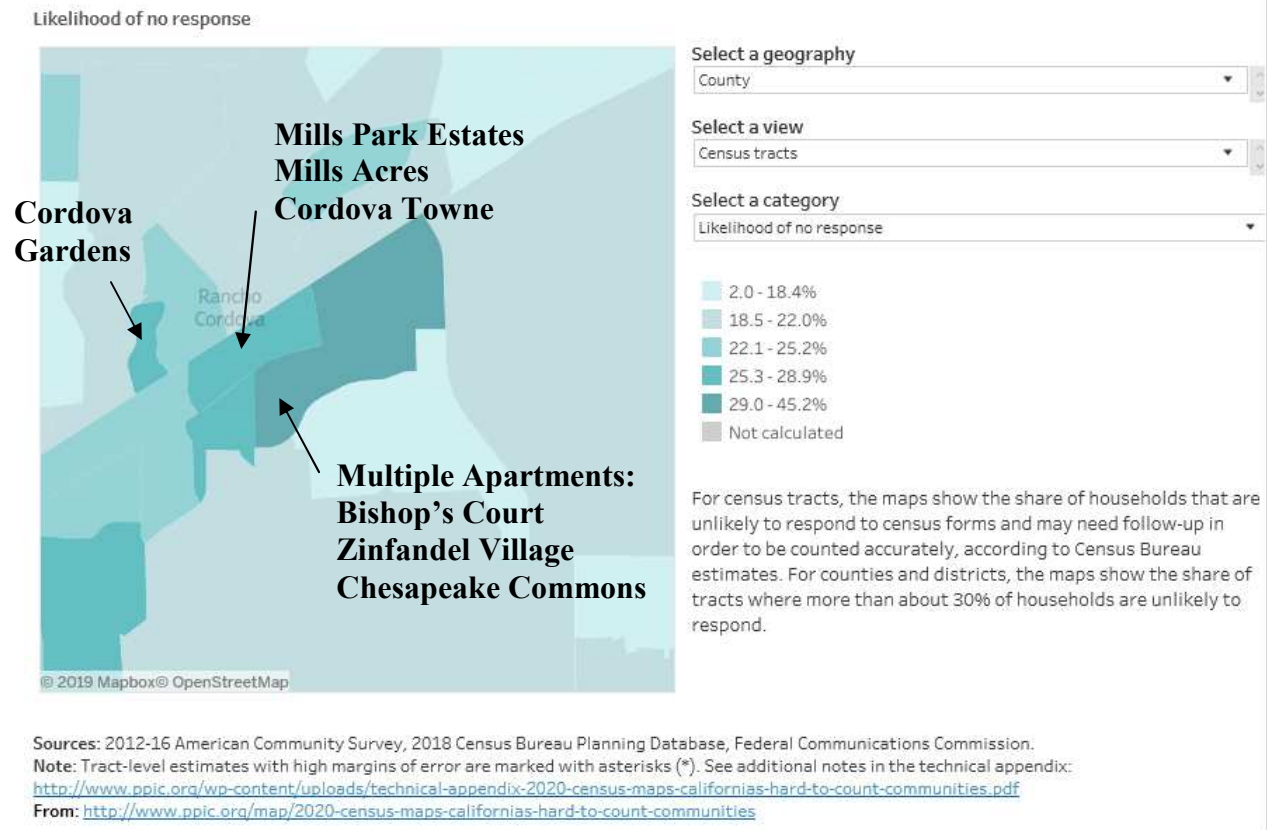
The U.S. Census is mandated by the United States Constitution (Article 1, Section 2) that every resident in the United States is counted every ten years. The data collected by the decennial census determines the number of seats each state has in the U.S. House of Representatives. Additionally, the information the census collects helps determine how more than \$675 billion of federal funding is distributed to states and communities each year. The State of California receives nearly \$77 billion in federal funding that relies, in part, on census data. California has historically had a significant hard-to-count population. Rancho Cordova includes several census tracts that are considered hard-to-count as shown in Figure 1.

The 2020 U.S. Census will begin on April 1, 2020 but efforts are already underway to ensure a complete count occurs in California. The State of California has formed the California Complete Count Committee that will coordinate statewide outreach and implement a communication strategy that will focus on the hardest-to-count residents. The State Complete Count Committee's efforts will complement work being completed by the U.S. Census Bureau. Sacramento County has also formed a Complete Count Committee that will lead and organize the community and government organizations within Sacramento County to complement the State Complete Count outreach efforts. City staff is actively involved with the Sacramento Complete Count Committee.

Unlike previous Censuses, the 2020 U.S. Census will be conducted largely utilizing an on-line form; more than 75 percent of Californian households will be receiving an invitation to complete their census form on-line. The on-line census poses additional challenges to obtain an accurate and complete count, especially in the hard-to-count populations.

The California Census Office is hosting a kickoff event at 11 a.m. on April 2, 2019 at the State Capital to promote the 2020 Census and has requested that cities and counties recognize the importance of the 2020 U.S. Census.

Figure 1: Hard to Count Census Tracts in Rancho Cordova
2020 Census Maps: California's Hard-to-Count Communities



FISCAL IMPACT

There is no fiscal impact. Staff is working with the Sacramento Complete Count Committee to ensure a complete count is conducted in Rancho Cordova in 2020.

ATTACHMENT

1. Resolution

ATTACHMENT 1**CITY OF RANCHO CORDOVA****RESOLUTION NO. XX-2019****A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF RANCHO CORDOVA,
STATE OF CALIFORNIA, TO APPROVE SUPPORT OF THE 2020 CENSUS AND
AFFILIATED OUTREACH EVENTS IN THE CITY OF RANCHO CORDOVA AND
STATE OF CALIFORNIA**

WHEREAS, the U.S. Census Bureau is required by Article I, Section 2 of the U.S. Constitution to conduct an accurate count of the nation's population every ten years; and

WHEREAS, the next enumeration will be April 1, 2020 and will be the first to rely heavily on online responses; and,

WHEREAS, the primary and perpetual challenge facing the U.S. Census Bureau is the undercount of certain population groups; and

WHEREAS, that challenge is amplified in California, given the size of the state and the diversity of communities; and

WHEREAS, California has a large percentage of individuals that are considered traditionally hard to count; and

WHEREAS, these diverse communities and demographic populations are at risk of being missed in the 2020 Census; and

WHEREAS, California receives nearly \$77 billion in federal funding that relies, in part, on census data; and

WHEREAS, a complete and accurate count of California's population is essential; and

WHEREAS, the data collected by the decennial Census determines the number of seats each state has in the U.S. House of Representatives and is used to distribute billions of dollars in federal funds to state and local governments; and

WHEREAS, the data is also used in the redistricting of state legislatures, county boards of supervisors and city councils; and

WHEREAS, the decennial census is a massive undertaking that requires cross-sector collaboration and partnership in order to achieve a complete and accurate count; and

WHEREAS, California's leaders have dedicated a historic amount of funding and resources to ensure every Californian is counted once, only once and in the right place; and

WHEREAS, this includes coordination between tribal, city, county, state governments, community-based organizations, education, and many more; and

WHEREAS, U.S. Census Bureau is facing several challenges with Census 2020, including a constrained fiscal environment, rapidly changing use of technology, declining response rates, increasingly diverse and mobile population, thus support from partners and stakeholders is critical; and

WHEREAS, California is kicking-off its outreach and engagement efforts in April 2019 for the 2020 Census; and

WHEREAS, the City of Rancho Cordova, in partnership with other local governments, the State, businesses, schools, and community organizations, is committed to robust outreach and communication strategies, focusing on reaching the hardest-to-count individuals.

ATTACHMENT 1

NOW, THEREFORE, BE IT HEREBY RESOLVED THE CITY COUNCIL OF THE CITY OF RANCHO CORDOVA recognizes the importance of the 2020 U.S. Census and supports helping to ensure a complete, fair, and accurate count of all Californians.

PASSED AND ADOPTED by the City Council of the City of Rancho Cordova on the 1st day of April, 2019 by the following vote:

AYES:

NOES:

ABSENT:

ABSTAIN:

Robert J. McGarvey, Mayor

ATTEST:

Stacy Leitner, City Clerk

MEMORANDUM

DATE: April 1, 2019

TO: Honorable Mayor and Council Members

FROM: Stefan Heisler, Reinvestment Analyst

SUBJECT: SUPPORT THE SACRAMENTO AREA COUNCIL OF GOVERNMENTS GREEN MEANS GO PILOT PROGRAM



RECOMMENDATION

Approve the Resolution of support for the Sacramento Area Council of Governments (SACOG) Green Means Go Pilot Program.

RESULT OF RECOMMENDED ACTION

Action on this item will allow staff to submit the support Resolution to SACOG to aid their efforts in securing state funding for this pilot program.

BACKGROUND

The Air Resources Board has assigned the SACOG region an ambitious state-mandated per capita greenhouse gas reduction target of 19 percent by 2035 for the upcoming Metropolitan Transportation Plan/Sustainable Communities Strategy. SACOG has recognized that this target will be very difficult to meet without taking significant local actions. The Green Means Go pilot program has been created in order to secure state funding to support and accelerate the local investments that will be needed to meet this greenhouse gas reduction target.

The Green Means Go pilot program, if funded, will require SACOG area cities and counties to identify up to five green zones per jurisdiction in infill locations. These green zones would be eligible for program funding to focus on three project types: accelerating infill development, accelerate alternative travel options and accelerate electric vehicle deployment.

The focus of these investments is primarily reducing greenhouse gas reductions but would include a variety of projects. A few examples of potential projects are: implementing tools in the SACOG housing policy toolkit (reducing impact fees, reducing parking requirements, increasing density, incentivizing Accessory Dwelling Units, expediting zoning variances), developing bicycle and pedestrian improvements, and creating an electric vehicle car-share program.

In order to secure funding for this pilot program during this state budget cycle, SACOG will engage in legislative advocacy work this spring. SACOG has requested local jurisdictions to provide Resolutions of support to help secure state funding. It will be known by June, when the state budget is passed, whether funding has been secured for this pilot program.

Staff has identified one potential green zone along Folsom Boulevard and including the business district areas south of Highway 50 and the Mather Air Force Base. If funding is received for this pilot program, Staff will work with the City Council to further identify and refine the final green zone(s) to be used for this program.

FISCAL IMPACT

There is no fiscal impact. Staff will continue coordinating with SACOG to secure State funding for the pilot program. If funding is received, Staff will prepare project applications for Council approval and program funding.

ATTACHMENTS

1. Resolution
2. Slide Presentation

ATTACHMENT 1**CITY OF RANCHO CORDOVA****RESOLUTION NO. XX-2019****A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF RANCHO CORDOVA,
STATE OF CALIFORNIA, TO APPROVE SUPPORT OF THE SACRAMENTO AREA
COUNCIL OF GOVERNMENTS GREEN MEANS GO PILOT PROGRAM**

WHEREAS, the City of Rancho Cordova is a member of the Sacramento Area Council of Governments (SACOG); and

WHEREAS, the region faces an ambitious state-mandated per capita greenhouse gas reduction target of 19 percent by 2035 for the upcoming Metropolitan Transportation Plan/Sustainable Communities Strategy; and

WHEREAS, the City of Rancho Cordova is committed to helping the Sacramento region meet its 19 percent greenhouse gas reduction target while, at the same time, providing more housing and transportation choices and advancing economic prosperity; and

WHEREAS, SACOG and its member local governments must work in partnership with the state in order to support housing and transportation projects that will help the region and the state achieve our environmental goals; and

WHEREAS, the Green Means Go pilot project will be a meaningful and measurable effort to catalyze and advance projects and programs that accelerate infill housing, travel options, and electric vehicle deployment; and

WHEREAS, the Green Means Go Sacramento regional pilot program will create immediate funding pipelines to launch projects; and

WHEREAS, the City of Rancho Cordova urges SACOG to continue efforts to secure implementation funding in the state budget;

NOW, THEREFORE, BE IT HEREBY RESOLVED THE CITY COUNCIL OF THE CITY OF RANCHO CORDOVA is committed to helping the State of California and the SACOG region reach its 19 percent greenhouse gas reduction goal through implementation of the Green Means Go pilot project.

PASSED AND ADOPTED by the City Council of the City of Rancho Cordova on the 1st day of April, 2019 by the following vote:

AYES:

NOES:

ABSENT:

ABSTAIN:

Robert J. McGarvey, Mayor

ATTACHMENT 1

ATTEST:

Stacy Leitner, City Clerk

GREEN MEANS GO PILOT

SACOG SUPPORT RESOLUTION

AGENDA ITEM 13.5



Green Means Go Pilot Program

- The Air Resources Board has allocated the SACOG region an ambitious 19 percent GHG reduction target.
- SACOG has proposed the Green Means Go pilot program to accelerate necessary investments needed to meet this target.
- SACOG is requesting letters of support to help secure state funding in this budget cycle.

SACOG Proposed Project Types

1. Accelerate Infill Development

- Implement tools in SACOG housing policy toolkit
 - Reduce impact fees
 - Reduce parking requirements
 - Increase Density
 - Incentivize Accessory Dwelling Units
- Establish a land bank
- Develop or implement specific plans or studies

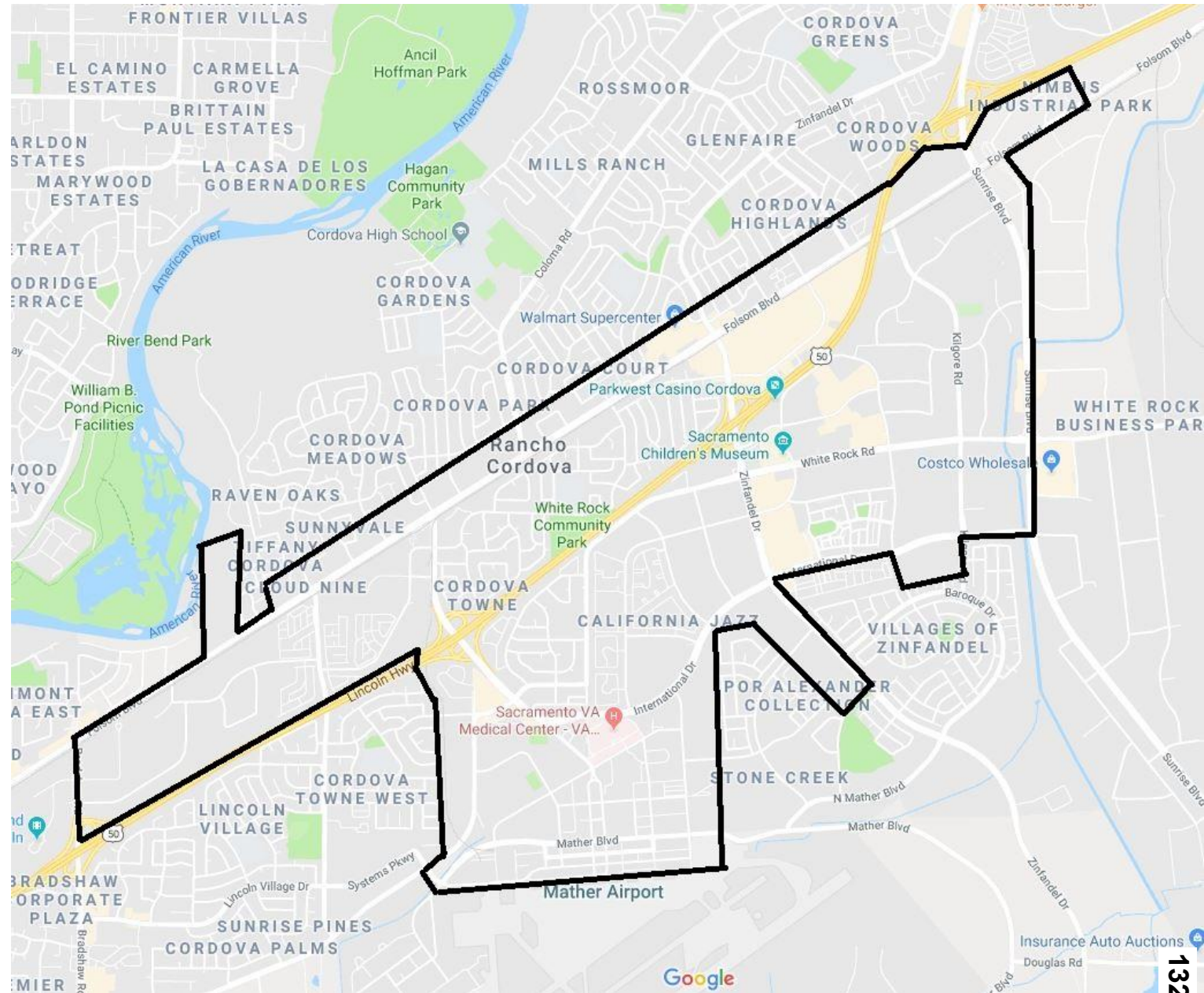
2. Accelerate Travel Options

Safety improvements that encourage walking
 Bicycle and pedestrian improvements and plans
 Microtransit

3. Accelerate Electric Vehicle Deployment

- Electric vehicle infrastructure investment
- Electric vehicle carshare program
- Electric vehicle TNC/ride hailing fleet

Across is the Draft Green Zone – to be further refined with the City Council if the pilot program is funded.



MEMORANDUM

DATE: April 1, 2019

TO: Honorable Mayor and Council Members

FROM: Stacy Delaney, Community Enhancement Analyst II

SUBJECT: UPDATE ON THE FISCAL YEAR 2019/2020 COMMUNITY ENHANCEMENT FUND GRANT APPLICATIONS RECEIVED AND INTERNALLY LED INITIATIVES FOR COUNCIL CONSIDERATION



RECOMMENDATION

Staff to introduce and provide an update on the fiscal year 2019/2020 Community Enhancement Fund grant applications received and the City department led initiatives for Council consideration.

RESULT OF RECOMMENDED ACTION

Council will receive a summary of Community Enhancement Fund grant applications, copies of all applications and supplemental documents received, and a summary of internally led initiatives for Council consideration. Staff will return with an update at the next City Council meeting and provide Council with an adjusted summary of the grant applications received including evaluation of each application for compliance with the established criteria and an overall recommendation.

BACKGROUND

The application period for the fiscal year 2019/2020 Community Enhancement Fund opened on February 15, 2019 and closed on March 15, 2019. We received 81 grant applications. One applicant has since withdrawn their submittal. Staff is in the process of reviewing each application according to the application criteria and prioritization method listed within the fiscal year 2019/2020 Grant Application Process and Criteria document. A complete set of applications are available for Council review.

ATTACHMENTS

1. Summary of fiscal year 2019/2020 Community Enhancement Fund grant applications.
2. Community Enhancement Fund PowerPoint.
3. Community Enhancement Fund applications.

Fiscal Year 2019/20 Community Enhancement Fund Preliminary Project List - Recommendations will be made starting in mid-April 2019

Internal Funding Categories (Approximately 75% of Total CEF)

Legacy Projects - Anticipated Allocation in FY 2019/20 of \$2,098,000 (Approximately 25-26% of Total CEF)

Legacy Fund Balance sheet provided as part of the presentation to Council on April 1, 2019. Details to be added to the summary spreadsheet following discussion with Council.

Public Safety - Anticipated Budget of \$1,400,000 (Approximately 17% of Total CEF)

Infrastructure/Public Works - Anticipated Budget of \$1,148,000 (14% of Total CEF)

Economic Development, Investment, Business Development, and Community Development - Anticipated Budget of \$1,148,000 (14% of Total CEF)

Administration of Fund - Anticipated Budget of \$410,000 (5% of Total CEF)

Internal Funding Categories Recommended Budget \$6,204,000

App #	Category	Application Name	Project Description	FY 2018/2019 CEF Requested	FY 2018/2019 Funds Approved	Multi-year request?	Endorsement Received
Community Grants (Arts, Culture, History, Entertainment, Sports, Education, and Other) (Approximately 25% of Total CEF)							
Arts, Culture, History, Entertainment, and Sports - Anticipated Budget of \$1,148,000 (14% of Total CEF)							
Applied and approved in FY 2018/19	Arts	Cordova Community Council Foundation: The MACC Operations and Enhancements	<u>This project is already approved</u> and provides funds to the Cordova Community Council to be expended on a project to evolve and enhance operations and programming at The MACC. This is the second year of a three-year request for the funding of staff and exhibit resources. FY 2019/20: \$159,000, FY 2020/21: \$164,000.	\$159,000	\$159,000	\$159,000 FY 2019/20 \$164,000 FY 2020/21	Yes, and approved last fiscal year
Applied and approved in FY 2018/19	Arts	Cordova Community Council Foundation: Rehearsal Space for Community Bands and Orchestra	<u>This project is already approved</u> and provides funds to the Cordova Community Council to be expended for the rental of rehearsal and/or performance space on property owned by the Folsom Cordova Unified School District and/or other locations, for the Rancho Cordova River City Concert Band, the Rancho Cordova Civic Light Orchestra, and the RC Swing Band. This is the second year of a three-year request for funding of rehearsal space. FY 2019/20 \$13,000, FY 2020/21 \$13,000.	\$13,000	\$13,000	\$13,000 FY 2019/20 \$13,000 FY 2020/21	Yes, and approved last fiscal year
CC1	Arts	Prior Council Request - Arts in Public Places	This is a prior Council requested item to establish funding for future public art projects in the City. Council to decide to keep, modify, or delete in FY 2019/20.	\$50,000			N/A
CC2	Arts	Prior Council Request - Performing Arts	This is a prior Council requested item to establish funding for performing arts projects in the City. Council to decide to keep, modify, or delete in FY 2019/20.	\$30,000			N/A
1	Arts	Cordova Accelerated Performing Arts: Summer Theatre Program	This application intends to continue the funding of a summer theater program designed to complement the academic programs offered for youth in Rancho Cordova located at Hagan Park and Cordova High School's Performing Arts Center. It will complement the scheduled performances during the academic year. Approximately 30 youth and young adults between the ages of 15 and 23 years old living in the City of Rancho Cordova are eligible to participate tuition-free. The goals are to expand access to theatre arts opportunities and engage the community in artistic programming.	\$16,750			FCUSD SCUSD

2 Arts	Sacramento Theatre Company: School Partnership Program	The proposed project intends to provide White Rock Elementary School with a semester long, after school theatre arts program that is organized and taught by Sacramento Theatre Company artists as well as arts integration classes during the school day in every classroom (10 sessions in each classroom). Sacramento Theatre Company is in their second year at White Rock Elementary School and funding would allow the expansion and continuation of the program. Additionally, the program provides professional development to teachers on theatre arts integration techniques.	\$27,000			FCUSD
3 Arts	Sacramento Valley SPARK: Playa Art Park and Pre-Celebration	This proposed project intends to bring Burning Man to Rancho Cordova through an art park and its opening celebration. If funded, the preparation celebration, known as Summer of Spark, will be held in the summer of 2020 and the art park will run between November 2020 and October 2021. The art park will include the temporary placement of art from regional artists, active art created by local artists, performances, and stations for people to make items. Different art forms such as sculptures, painted murals, and temporary art will be included. Site location to be determined.	\$16,000	\$41,000 Total (\$16,000 for FY 2019/20, \$25,000 for FY 2020/21)	Site location TBD	
4 Arts	Robin Moyher: First Responder Mural	The proposed project intends to install a large stained glass mosaic mural as a reminder of the significance our first responders play in our community. If funded, the mural will be created by local Rancho Cordova mosaic artist Robin Moyher and will be 7' tall and 12' wide with the U.S. Flag and silhouettes of first responders. A plaque may also be added listing names and end of watch. The mural will be placed on an empty wall outside B&J Body Shop.	\$21,250		Letter of support from B&J Body Shop	
5 Arts	Robin Moyher: Matthew Kilgore Cemetery Mosaic Mural	The proposed project intends to install a 4' by 8' mosaic panel on a storage building within the Matthew Kilgore Cemetery. If funded, the mural will be created by local Rancho Cordova artist Robin Moyher with a field of poppies symbolizing remembrance and sacrifice and a sunset/sunrise.	\$10,000		This is on City property	
6 Arts	Patience Mabray: Community Art Mosaic	This proposed project intends to pay a local Rancho Cordova artist Patience Mabray to create and install a 200 square foot multi-media art mural that incorporates stained glass, glass and ceramic tiles, and homemade fused glass elements. The public location has not been identified.	\$14,000		Site location TBD	
7 Arts	SCUSD: A.M. Winn Mosaic Signage	This proposed project intends to create a large 6' by 10' mosaic to replace the current signage at the school entrance and expand on the existing mosaic artwork near the school. The mosaic will incorporate a student portion, and the overall theme is local flora and fauna of the area and the school's namesake General A.M. Winn (a woodworker) by showing carpenter's tools. Artist Cady Knezovich is working with the school.	\$10,000		SCUSD	
8 Arts	FCUSD: Mitchell Middle School Art Club Mural	This proposed project intends to provide funding to Mitchell Middle School's Art Club to paint a mural on the side of the school's art building and subsequent murals around campus for the next 3-5 years. Funding would also sponsor a field trip to the Crocker Art Museum and a walking tour of the murals in downtown Sacramento.	\$9,000		FCUSD	

9	Arts	Mandarins Sacramento, Inc.: Mandarins Music Academy	This proposed project intends to provide scholarships for 20 students attending either Sunrise or Robert J. McGarvey Elementary Schools identified by school administration as needing financial support to participate. Mandarins Music Academy is a beginning band program designed to introduce elementary students in grades 4-6 to the world of instrumental music. Students are taught how to play a woodwind, brass, or percussion instrument of their choice. Students perform in an instrumental music ensemble and take small-group lessons. The program culminates each fall and spring semester with concerts presented by the students. During the school year, interested students meet two times per week in one-hour blocks with a qualified teaching instructor.	\$8,400				EGUSD
10	Arts	EGUSD: Choir at Robert J. McGarvey and Sunrise Elementary Schools	This proposed project intends to provide 40 weeks of choir instruction to Kindergarten through 6th grade students before or after school, two days per week at Robert J. McGarvey and Sunrise Elementary Schools. Existing choir programs have been small with steady attendance, but the student fee to participate has been a deterrent to participation. Giving every child an opportunity to learn to sing is an ongoing goal of the school.	\$12,000				EGUSD
11	Arts	FCUSD: Cordova High Musical Production	This proposed project intends to fund a musical production by Cordova High School students. In Spring 2018, Cordova High School held a musical that involved 50 students and played to almost 1,000 people. If funded, the new musical will involve at least 75 students.	\$9,500				FCUSD
12	Arts	FCUSD: Mills Middle School Instrument Inventory Expansion	This proposed project intends to provide funds to purchase instruments such as trombones, baritone, saxophones, violins, cellos, and basses, in addition to storage for the cellos. Since 2017, the Mills Middle School Band participation has increased and enrollment has increased to a point where the school will be able to run five year-round ensemble classes at full capacity. With the expansion there is a demand for more instruments to be purchased.	\$26,500				FCUSD
13	Arts	Cordova Community Council Foundation: Art for Kids "Art Ark"	This application intends to continue the funding of the Crocker Art Museum's Art Ark program to public elementary schools in Rancho Cordova. Each of the schools host the Art Ark for approximately one to two weeks. The experience culminates at each school with a community art night for parents and siblings. This request is for the renewal of the program which has been in place for the past four years. The project takes two school years to visit each campus.	\$56,750				FCUSD SCUSD EGUSD
14	Arts	Cordova Community Council Foundation: Rancho Cordova River City Concert Band Enhancements	This application intends to continue the funding of the Cordova Community Council to be expended for the benefit of the Rancho Cordova River City Concert Band for the procurement of equipment and other items to enhance access to high quality musical performances in the community, and to equip the Rancho Cordova River City Concert Band to be a musical ambassador of the City within the region. The request includes concert venue fees, ensemble rehearsal space, performance materials, equipment protection, publicity, touring, and compositions, arrangements, guest composers and conductors expenses.	\$20,000				N/A

15	Arts	Symphony d'Oro Rancho Cordova: Community Enhancements	This application intends to continue the funding of equipment and related expenses, thereby enhancing Symphony d'Oro's ability to continue to bring and expand music offerings in traditional and non-traditional venues in the City of Rancho Cordova. The request includes storage rental charges, funding for guest artists/composers, concert venue fees, additional rehearsal space, concert crew, and equipment.	\$21,200			N/A
16	Culture	EGUSD: COMMUNITY Multi-Cultural Faire with Sunrise and Robert J. McGarvey	This proposed project intends to provide Sunrise Elementary School and Robert J. McGarvey School with a COMMUNITY Multi-Cultural Faire for both schools. As partner schools, they share the same community of Rancho Cordova and they would like to strengthen the relationships highlighting the unity of the neighborhoods and school community. During the 2018-19 school year, a joint multi-cultural faire was partially funded by a Community Enhancement Fund grant.	\$2,000			EGUSD
17	Culture	Ankur Arts, Cultural and Sports Program: Festival of Knowledge, Festival of Color, and Kite Festival	This proposed project intends to bring cultural events and festivals to Rancho Cordova including the Festival of Colors and the Festival of Knowledge. The City funded the Festival of Knowledge during the last fiscal year. Additionally, if funded, Ankur will bring a Kite Festival to the City. Ankur is a non-profit organization that promotes South East Asian culture through community service and socio-cultural events.	\$12,415			N/A
18	Culture	Sacramento Telangana Association: Festival of Flowers	This application intends to continue the funding of the Festival of Flowers which celebrates the inherent relationship between earth, water, plants, flowers and human beings in a community to integrate and live in harmony. Sacramento Telangana Association is a non-profit organization that promotes the culture and arts of India.	\$13,000			FCUSD (To reserve if space is available and funding is awarded)
19	Culture	Sacramento Telangana Association/Rancho Cordova Travel and Tourism: International Kite Festival	This proposed project intends to provide funding to host a kite festival. The goals of the festival are to have 200+ kites, introduce people to kite flying, the history of kites, the artistry of kite makers, and how kites can be used as educational tools. The Sacramento Telangana Association and Rancho Cordova Travel and Tourism will partner to bring the new festival to Rancho Cordova in 2020.	\$2,500			N/A
20	Culture	Sacramento Telangana Association: Holi, "Festival of Colors"	This application intends to continue the funding of the Festival of Color (Holi). The festival marks the arrival of Spring. This is a free event open to the public. If funded, they will partner again with the Sacramento Children's Museum to host the event.	\$2,750			N/A
21	Entertainment	Cordova Community Council Foundation: Electronic Message Board	This proposed project intends to provide funds to the Cordova Community Council to purchase one movable electronic sign/message board to enhance outreach for community public events. Feedback tells the Cordova Community Council that people like reminders about community events on large format signs and electronic signs when available. There is interest in having signage along Coloma Road and the Anatolia area.	\$18,000			N/A
22	Entertainment	Rancho Cordova Holiday Light Parade	This application intends to continue the funding of the Holiday Light Parade by attracting high-caliber performance artists and art car/float designers. Now in its third year, the parade project will be adding other pre-parade entertainment, vendors and food, as well as expanding the after-parade party for the participants and volunteers.	\$30,000		\$30,000 per year for 3 years	N/A

CC3 Sports	Council Request - Youth Sports Growth and Start-Up Fund	This is a prior Council requested item to provide funds for youth sports for the purpose of growing an existing league or starting a new league in Rancho Cordova, including but not limited to the purchase of new equipment, purchase of new uniforms, fees, and other required costs. Council to decide to keep, modify, or delete in FY 2019/20.	\$30,000			N/A
23 Sports	Cordova Community Council Foundation: Youth Sports Facilities Renovations	This application intends to continue the funding of a similar project addressing Folsom Cordova Unified School District and Cordova Recreation and Park District fields. Rounds of prior funding have been successful in improving playing conditions for participating youth sports leagues. Improvements to the fields utilized by Lancer Rugby enabled the league to retain the annual KOT tournament, drawing teams from four states. Improvements to Little League fields are serving hundreds of local players and Cordova Girls Softball is also making gains. Improvements at Cordova Gardens' ball fields is building sports capacity and will provide vital backup playing areas when home fields for Cordova Girls Softball and Rancho Cordova Little League are taken out of use temporarily for field construction.	\$80,000			FCUSD
24 Sports	Cordova Community Council Foundation: 2019 Youth Sports Leagues Promotion Campaign	This application intends to continue the funding of the promotion of youth sports leagues in Rancho Cordova. This project would provide funds to the Cordova Community Council to engage consultants. Consultants will assist with digital and traditional outreach efforts to boost the profile of youth sports leagues, including collaborative efforts, and the development of high-quality and effective signage. Additionally, if funded, it includes traditional outreach including signage and flyers distributed to elementary schools.	\$41,100			FCUSD SCUSD EGUSD
25 Sports	Cordova Community Council Foundation: Positive Coaching Alliance 3.0	This application intends to continue the funding of a project to train all coaches in Rancho Cordova youth sports leagues in techniques which adhere to the "Better Athletes, Better People" philosophy represented by the Positive Coaching Alliance. If funded, this project would provide funds to the Cordova Community Council to be expended on the training program for 12 workshops.	\$17,500			N/A
26 Sports	FCUSD: Cordova High School Athletic Improvement Plan	This proposed project intends to improve the athletic program at Cordova High School with enrichment and updated equipment/ supplies needed to maintain a high-caliber program. Funding will cover transportation for athletes, meet the increasing coaching needs, upgrade items such as visual display areas with banners, provide security during events, and add new or replacement equipment/supplies. If funded, a prioritized list of needs will be updated annually to ensure all athletic programs have benefited.	\$202,500		\$202,500 per year for 5 years	FCUSD
27 Sports	FCUSD: Cordova X-Country Boost	This proposed project intends to enhance the Cordova High School Cross Country Team by purchasing new gear and equipment, by adding strength and conditioning coaches, establishing a booster program, and hosting an invitational. The boosters program focuses on nutrition and student-athlete support.	\$35,000		\$35,000 per year for 3 years	FCUSD

28 Sports	FCUSD: Cordova High School Wrestling Mat	This proposed project intends to provide funds to purchase a new and safe mat for the student athletes. The mat is used during practices, and for league and tournament competitions. Cordova High School's current wrestling mat is over ten years old.	\$10,000			FCUSD
29 Sports	Art of Yoga	This proposed project intends to deliver yoga and creative arts curriculum to the students at Mitchell Middle School (3 classes per week) during the school year. Each class is for 15-20 students. The Art of Yoga Project (AYP) sends specially-trained yoga teachers and creative arts educators into schools to teach mindfulness-based practices. AYP provides programming with highly structured activities that teach pro-social skills, anger-management and emotional regulation techniques, and healthy alternatives to self-destructive behavior.	\$24,375			FCUSD
30 Sports	FCUSD: Safety Cushions by Stage at Mitchell Middle School	This proposed project intends to purchase wall cushions to cover the stage wall area at Mitchell Middle School. The cushions provide safety for students and athletes during wrestling and physical education classes.	\$5,000			FCUSD
31 Sports	FCUSD: Basketball Wall Cushions at Mitchell Middle School	This proposed project intends to purchase wall cushions for the walls of the gym behind the basketball hoops at Mitchell Middle School. Wall cushions provide safety in the gym area for athletes and during physical education classes.	\$2,000			FCUSD
32 Sports	FCUSD: Modular Basketball Scoreboard at Mitchell Middle School	This proposed project intends to purchase an additional scoreboard for Mitchell Middle School. The existing scoreboard is already being replaced and this modular scoreboard would complement the new one already being installed. The modular scoreboard will provide a better visual for participants and fans.	\$2,000			FCUSD
33 Sports	FCUSD: Electric Cable Hoist for Basketball Hoops at Mitchell Middle School	This proposed project intends to replace the old motorized basketball hoop hoist with a new cable hoist system that can lift the hoops above the bleacher area in the school gym at Mitchell Middle School.	\$1,500			FCUSD
34 Sports	Sacfit: Parkway Half Marathon	This project intends to fund bringing the start and finish lines of the Parkway Half Marathon into Rancho Cordova City limits for the 2020 race. Additionally, it would support the Kid's Otter 1K run as a free event and have it align with Kid's Day in the Park. Parkway Half Marathon is produced by Sacfit - a charitable non-profit 501(c)(3). Parkway Half Marathon is unique in that it has a course for walkers and separate course for runners. There is also a 5k run/walk and 1k kids run. The race event is the 3rd largest half marathon in the region. The start/finish line pavilion provides space for community organizations, beer garden for adults, music and activities for kids.	\$15,500			Support letter may be needed by CRPD or others depending on the location if projects is recommended for funding.
35 Sports	Mather Wrestling Club	This proposed project intends to sponsor a summer wrestling club offered to boys and girls ages 8-14 who attend Mills and Mitchell Middle Schools and Cordova High School during the school year. Participation is \$75 per student. Funding includes program equipment, uniforms, and scholarships for students who cannot afford the participation fee. The club teaches basic and fundamental skills and plans on operating at Mitchell Middle School.	\$8,500	\$8,500 each year for 3 years		Endorsement withheld

36	Sports	Club Francais de Sacramento: Petanque Court Solar Lighting Safety Project	This project intends to fund the design and construction drawings for five solar lights at the Petanque courts in the Mather Sports Complex. Club Francais de Sacramento is a French Culture and Petanque Club that has more than 50 members in the greater Sacramento area. The club facilitates daily petanque games and monthly tournaments in Mather Sports Complex. The courts were built and are maintained by club members, but are currently lacking safety lights and lighting to allow for evening play.	\$2,000			Requested letter of support for property owner
Education - Anticipated Budget of \$574,000 (7% of Total CEF)							
Applied and approved in FY 2018/19	Education	Folsom Lake College: Folsom Lake College/Rancho Cordova College Promise Program	This project is already approved. The Folsom Lake College/Rancho Cordova Promise Program enables recent high school graduates who live in the City of Rancho Cordova and take a full class load (12 units or more) at Folsom Lake College to attend college virtually fee-free for their first year. For those students whose fees are covered by other forms of financial aid, Promise dollars can be applied towards items such as books and required supplemental materials at the Folsom Lake College Store. This is the second year of a three-year approved request. FY 2019/20: \$150,540, FY 2020/21: \$150,540.	\$150,540	\$150,540	\$150,540 FY 2019/20 \$150,540 FY 2020/21	N/A
Applied and approved in FY 2018/19	Education	FCUSD: Meet the Masters	This project is already approved. Meet the Masters project provides visual arts experience for elementary students in Rancho Cordova schools within the Folsom Cordova Unified School District. The program introduces students to a variety of masters from the visual arts field, learn techniques from the masters through hands-on lessons. There are five tracks available and each track has seven different artist units. Each track of seven artists is designed to cover a school year. They will purchase Track D this fiscal year and Track E the following fiscal year for nine Rancho Cordova schools. FY 2019/20: \$28,000, FY 2020/21: \$28,000	\$28,000	\$28,000	\$28,000 FY 2019/20 \$28,000 FY 2020/21	Yes, and approved last fiscal year
Applied and approved in FY 2018/19	Education	FCUSD: A Touch of Understanding In-School Disability-Awareness Workshop	This project is already approved. A Touch of Understanding provides disability awareness programs designed to educate a new generation to understand the challenges associated with disabilities and to accept and respect all individuals. The program is approved for nine Rancho Cordova elementary schools within Folsom Cordova Unified School District. This is the second year of a two-year approved request. Funding was approved at \$10,800 per fiscal year in both fiscal year 2018/19 and 2019/20 for a total of nine Rancho Cordova campuses.	\$10,800	\$10,800	This is the second year of a two-year request. \$10,800 FY 2019/20	Yes, and approved last fiscal year
CCA	Education	Council Request - Field Trip Fund	This is a prior Council requested item to provide field trip/assemblies funding to Rancho Cordova public school students/schools. Council to decide to keep, modify, or delete in FY 2019/20.	\$15,000			N/A

37	Education	A Touch of Understanding: In-School Disability-Awareness Workshop	The proposed project intends to provide a three-hour in-school disability-awareness workshop to all third or fourth graders at Navigator, White Rock, Williamson, Cordova Villa, Cordova Gardens, Cordova Meadows, Rancho Cordova, and Peter J. Shields elementary schools and Riverview STEM Academy. Students are guided through experiences in which they build life skills that enable them to understand and relate to people with disabilities. Through the Community Enhancement Fund, the city awarded \$21,600 (\$10,800 for FY 2018/19 workshops and \$10,800 for FY 2019/20 workshops). The awarded amount covers 50% of the total cost of the program. A Touch of Understanding is seeking an additional \$10,800 to cover the remaining funding gap for the FY 2019/20 school year.	\$10,800				FCUSD
38	Education	FCUSD: Career Choices and Changes	This proposed project intends to provide funding for a new "Career Choices and Changes" course. The 17-week class is open to 30 adult students in the community per year. The course guides learners through the process of making some of life's most important decisions about family and work and culminates in a researched and actionable employment and lifestyle plan. If funded, the course will be offered at the Rancho Cordova Folsom Cordova Adult School.	\$19,182		\$19,181.50 per year for 2 years		FCUSD
39	Education	FCUSD: Garden and Mural at Prospect Community Day School	This proposed project intends to fund construction of a community garden and mural at Prospect Community Day School. Students and staff would work to design the garden and propose a theme for the mural. After the gardening beds are built and irrigated, students would help with the plant selection and actual planting. An artist would be paid to create the mural.	\$6,000				FCUSD
40	Education	PRO Youth and Families: Governments Engaging Youth in the City of Rancho Cordova	This application intends to continue the funding of a civic engagement program by PRO Youth and Families. The three-pronged approach for 100 youth to engage in government and civic education in the City of Rancho Cordova includes: 1) Youth @ City Council Program a 12-month civic education program; 2) Summer @ City Hall Academy a four to five week intensive summer program to learn about local government, careers, and how to advocate for community change. Paid internships are also offered for approximately 15 youth; and 3) the Community Investment Project a youth-led project designed to empower youth with the skills and motivation to become advocates for change.	\$81,168				FCUSD
41	Education	Folsom Community Cordova Partnership: Youth Career Center	This application intends to continue the funding of on-site youth career centers. If funded, the centers will provide staff assisted services to help students explore career pathways, develop career plans, build career readiness skills, and connect to workplace experiences in the local business community through internships, job shadowing, and part time employment. The goals of this project are for continued career services for students at Cordova and Kinney High School, to graduate with exposure to a wider array of career opportunities, an informed sense of their career direction, and a strong correlation between continued education and achieving their career goals. The centers will serve a few hundred unduplicated youth and 15 youth will receive internships or paid part-time work. During the first year of funding, they served 89 students to date.	\$44,328				FCUSD

42	Education	CL3: Mentors at Cordova High Expanded Program (MACH)	This application intends to continue the funding of the Cordova Lancers Leaders & Legends (CL3) Mentors at Cordova High Program, a free community-based mentoring program focused on promoting positive behavior, academic improvement, and improved attendance at school, while also engaging participants in community service, and vocational skill development. The program will serve up to 140 participants from Cordova and Kinney at any given time.	\$60,000				FCUSD
43	Education	SCUSD: Carver Arts and Science After School Program	This proposed project intends to develop arts and science in after school programs for students. The project is designed to develop a robotics course and to continue to develop the music program by adding string instruments. The goals of the program are to provide high school students with after school activities that 1) foster student engagement and success; 2) obtain higher achievement levels for the students; and 3) achieve greater civic and social participation in the community.	\$13,000				SCUSD
44	Education	Campus Life Connection: Point Break Anti-Bullying Workshops	This application intends to continue the funding of Point Break Workshops. If funded, approximately 360 students will participate in an anti-bullying, pro-empathy program generally held off-site from the school campus. Campus Life Connection (CLC) a 501(c)(3) nonprofit has served thousands of youth with the goals of developing character, confidence and responsibility in youth through educational, social and physical programs. In each Point Break workshop, participants move through a variety of high-energy games, small group discussions, and personal reflection time. Each workshop is complemented with four weeks of follow-up. The program seeks to serve students from Cordova High School and Mills and Mitchell Middle Schools.	\$15,000				FCUSD
45	Education	916 Ink: Find Your Voice Creating Writing Workshop	This application intends to continue the funding of an arts-based literacy program that provides creative writing workshops to youth ages 8-18. The program will have 150-300 local students participate in the 2019-20 school year. If funded, workshops will take place at three Rancho Cordova high schools, one Rancho Cordova middle school, and three Rancho Cordova elementary schools. During each session students learn about the creative process and have a unique opportunity to engage playfully with words. Students then write to a variety of visual and tactile prompts. The writing prompts are sequenced to build upon each other as part of 916 Ink's "Hero's Journey" storytelling curriculum.	\$70,000				FCUSD SCUSD EGUSD

46	Education	Soil Born Farms: School Garden Program	This application intends to continue the funding to support technical assistance, training, and the continued improvement program and expansion of a comprehensive and coordinated school garden program in target schools throughout the City. The program will continue to work with four elementary schools (White Rock, A.M. Winn, Cordova Gardens and Cordova Meadows), two middle schools (Mills and Mitchell), and the Cordova High School Agriculture and Culinary Academies. This year the program will: 1) Continue to facilitate garden and nutrition lessons and after school garden programs; 2) Increase the capacity of teachers and garden teams through trainings; 3) Strengthen and refine a comprehensive food and agriculture career pathway; and 4) Continue to deepen the level of garden and nutrition education provided to elementary/middle school students. Additionally, Soil Born Farms will begin providing consultation services to Sunrise Elementary School.	\$30,000				FCUSD SCUSD EGUSD
47	Education	Children's Choice for Hearing & Talking: CCHAT Summer Camp Training Expansion	The proposed project intends to expand the annual Summer Camp Program for the 2018-19 academic year for Children's Choice for Hearing and Talking (CCHAT) by increasing the number of Counselor in Training/Camp Counselor opportunities for local teens and young adults. CCHAT, the only listening and spoken language program of its kind northeast of San Francisco, serves children who are deaf and hard of hearing under the age of 7. The Summer Camp Program runs for 3 weeks in July and serves 70+ children. CCHAT's mission is to teach children with hearing loss to listen, talk, and read.	\$25,000		\$25,000 every year for 3 years		N/A
48	Education	FCUSD: The Family Engagement Summer Academy	This application intends to continue the funding of a summer program for students and their families within the Folsom Cordova Unified School District in the summer of 2020. Folsom Cordova Unified School District's (FCUSD) Family Engagement Summer Academy minimizes the effects of summer learning loss by engaging elementary students in hands-on STEAM activities during the month of June, when school is out of session. Additionally, the Academy requires that a caring adult for each child participate for several sessions each week in the Summer Academy. The adults learn together for part of each session, and then they meet their students and engage in STEAM activities with them. The Summer Academy also engages middle and high school students as Counselors-In-Training staff members. The Summer Academy in 2020, will operate at one or more school sites in Rancho Cordova to be determined, based upon available grant funding.	\$12,000				FCUSD
49	Education	FCUSD: Engaging Students in Mathematics	This proposed project intends to fund the start of production of a series of math engagement videos by Mitchell math teachers. The sixth grade math classes at Mitchell Middle School currently utilize YouTube videos to help students review topics that they may not understand due to attendance or learning difficulties. Existing online videos however do not teach the same processes and are not providing challenging problems for the students to attempt.	\$4,440				FCUSD

50	Education	Rancho Cordova Elementary Spanish Immersion Preschool Program	The proposed project intends to fund dual language preschool and childcare for existing adult Spanish language education offered at Rancho Cordova Elementary school to be provided by The Spanish Immersion Program (TSIP). The proposal allows free access to adult education, including preschool education.	\$75,000			Endorsement withheld
51	Education	Boys & Girls Clubs of Greater Sacramento: Serving the Youth of Rancho Cordova	This application intends to continue the funding of the Boys & Girls Club located at Navigator Elementary School for the 2019-20 school year and the 2020 summer months. The daily after school programs are comprised of academic, social, and recreational activities. Currently 100 Navigator youth are registered club members and another 200 Navigator students receive programs and services during the school day. The Club focuses on 3 areas: 1) Academic success and career readiness; 2) Good character and citizenship; and 3) Healthy behaviors and lifestyle choices. If funded, the goal is to serve a minimum of 150 unduplicated youth (club members), a minimum of 50 youth will participate in career counseling, approximately 10 teen members will be paid interns, and a minimum of 75 youth will participate in the summer program.	\$100,000			FCUSD
52	Education	FCUSD: ASSIST Structured Sports and Character Education Classes	The proposed project intends to provide students with the opportunity to have mentoring that underscores common core state standards. This includes topics such as perseverance (CCSS Math), communication (CCSS Math, ELA), responding to the arguments of others (CCSS ELA), learning how actions contribute to a sequence of events (CCSS ELA), moving through time and space (PE), working cooperatively (PE, CCSS Math and ELA) and manipulating objects (PE). This is a mentoring and positive behavior initiative for Navigator Elementary School held each Wednesday during the school year for about 300 students.	\$5,700			FCUSD
53	Education	FCUSD: After School Education and Safety	This application intends to continue the funding of the After School Education and Safety (ASES) Program at elementary and middle school sites in Rancho Cordova. The voters of California passed a ballot measure to fund a statewide program. This statewide grant is administered through the California Department of Education, and is operated in seven elementary schools and both middle schools in Rancho Cordova by the Folsom Cordova Unified School District. The district received grant funding from the City to expand the ASES program from seven to nine elementary schools in Rancho Cordova and to enhance the programs in place at all school sites (nine elementary and two middle schools). The requested funds will also support the annual ASES Science Fair.	\$60,000			FCUSD

54	Education	The Language of Money	This proposed project intends to provide financial literacy for children in Rancho Cordova using a play called "The Money is a Language" teaching elementary school children the basics of financial literacy. Funding is for eight 35-minute shows. Students will experience: 1) A pre-show to prepare students for what they will see; 2) A theatrical experience that is entertaining and educational; 3) A post-show discussion; and 4) Collateral will be sent home so families can experience what they learned. If funded, the program is intended to operate at the Sacramento Children's Museum and Sunrise and Robert J. McGarvey Elementary Schools.	\$14,825			EGUSD SCM
55	Education	EGUSD: Sunrise Garden Expansion (Phase II)	The proposed project intends to start Phase II of a garden project. The construction of a school garden began in the fall of 2018. Phase II includes the addition of a storage shed, a composter, and a bin of vermiculture. One of the goals of the Sunrise Elementary School garden is to offer "Sunrise Farmers' Markets" that parents and community members can attend and enjoy.	\$9,500			EGUSD
56	Education	Code for Hood, Inc.: Get STEAMED in STEM	This proposed project intends to provide funding for a 24-week STEM education program designed to work for students ages 12-18. One hundred students will have the opportunity to work with 3D printers, laser cutting machines, electronics, a sewing lab, and a variety of design software tools. Requested funding will pay for instructors, equipment, software, supplies, administration, insurance, marketing, and maker space memberships (\$50).	\$100,000			N/A
57	Education	Beyond the Village: Work Force Development/Training to Employment	This proposed project intends to provide recruitment, job training and job placement to residents of the Rancho Cordova area, with special emphasis on veterans and adults 55+ who are unemployed, under employed or looking for ways to improve their current job situation. If funded, the program would cover tuition for 30 people to go through a 12-week program that includes group sessions, one-on-one sessions with a job trainer, and technology training. Beyond The Village is a 501(c)(3) nonprofit, whose purpose is to provide job entry and job advancement education programs for veterans and adults 55+ who desire to enter or re-enter the job market, advance in their current career or transition from employee to employer.	\$30,000		\$30,000 per year for 3 years	N/A
Other Projects- Anticipated Budget of \$274,000 (3-4% of Total CEF)							
Applied and approved in FY 2018/19	Other	Meals on Wheels by ACC: Senior Nutrition Services	This project is already approved. Meals on Wheels by A Community of Caring, Senior Nutrition Services for the City of Rancho Cordova, provides wholesome, nutritionally balanced meals and safety net services 250 days per year to an average of 55 home delivered meal participants and 9 café participants. This approved project allows seniors living in Rancho Cordova in need of nutritional support to receive the community support and meal services they need to stay independent and in the Rancho Cordova community. The goals are to serve meals to an estimated unduplicated 150 senior residents of the City of Rancho Cordova and to prepare, deliver and serve nutritious noontime meals daily, 250 days per year. This is the second year of a two-year approved project.	\$13,500	\$13,500	This is second year of a two-year request. \$13,500 FY 2019/20	N/A

CC5	Other	Council Request - Local Community Service Partnerships Fund	This is a prior Council requested item to grow and strengthen community partnerships in Rancho Cordova. Council to decide to keep, modify, or delete in FY 2019/20.	\$75,000			N/A
58	Other	Soil Born Farms: Center for Food, Health and the Environment	This proposed project intends to improve the public's access to the Center for Food, Health, and the Environment. Improvements include a water line (fire protection), domestic water service for the farm stand and kitchen buildings, sewer services, irrigation for the farm stand/kitchen and parking lot, and gas for farm stand/kitchen. The 55-acre American River Ranch is the home-base for Soil Born Farms. Soil Born Farms is a nonprofit organization based in Rancho Cordova, whose mission to create an urban agriculture and education project that empowers youth and adults to discover and participate in a local food system that encourages healthy living, nurtures the environment and grows a sustainable community.	\$194,370			N/A
59	Other	Cordova Community Food Locker: Facility/Equipment/Operational Upgrades	This proposed project intends to fund the facility upgrades and equipment/operational upgrades at the Cordova Community Food Locker. The proposed project comprises of multiple elements: 1) Evaluation of current electric system supply and demand; 2) Installation of a potable-water line for sanitary purposes; 3) Replacement of concrete pads; 4) Movement of two temporary food storage containers; 5) Repair roof over main food storage area; 6) Funding for operations and maintenance; 7) Purchase of a large commercial freezer; 8) Purchase of new computers; 9) Creation of an independent website; and 10) Acquisition of a DMV Motor Carrier Permit and Basic Inspection of Terminals inspection (4 needed).	\$96,500			N/A
60	Other	Whisker Warriors Animal Defense Fund: Spay, Neuter and Vaccine Program	This application intends to continue the funding of the spay/neuter program for canines and felines (and a small number of rabbits) in Rancho Cordova and the continuation of the caring of community (homeless) felines. The program includes: 1) spay/neuter and vaccinations for Rancho Cordova community felines; 2) support a return to field program in Rancho Cordova; 3) support spay/neuter, vaccinations, microchips and flea prevention for resident canines and felines; 4) support spay/neuter for domesticated rabbits owned by residents; and 5) support the costs of caring for community feline populations in Rancho Cordova.	\$38,622			N/A
61	Other	Paws in Training	This proposed project intends to provide the startup costs and supplies for Paws in Training, an organization that improves the lives of animals and their humans through education, outreach, and care. The organization will offer monthly free dog training and quarterly community presentations. Paws in Training is in the process of acquiring not-for-profit status.	\$5,360			N/A
62	Other	Rancho Cordova Chamber of Commerce: Explore Rancho Cordova	This application intends to continue the fourth year of the Explore Rancho Cordova Program. The program provides a heartfelt and professional invitation to "Explore" Rancho Cordova from our City to its residents, employees, and visitors. More than 1,200 new residents are welcomed each year. The Rancho Cordova Chamber of Commerce is seeking funding to support resident welcome receptions, mailings, resource fairs, outreach at community events, new hire events, welcome bags, online presence, and more.	\$50,000	\$50,000 each year for 3 years		N/A

63	Other	Rancho Cordova Chamber of Commerce: Explore Program's "My Hometown Coloring Book"	This proposed project intends to create and produce an engaging coloring book. The design will be an artistic depiction of Rancho Cordova landmarks, resources and amenities to which children can identify (ages 3-10 years). The project is enhanced with complementary content. This may include facts and figures, demographic details or local trivia. The coloring book is intended to creatively and warmly welcome children to their new community as part of the Rancho Cordova Chamber of Commerce's Explore Program. The goal is to create, print, and ultimately distribute 4,000 copies of the coloring book.	\$16,020				N/A
64	Other	Sacramento Area Bicycle Advocates and Bicycle Advocates of Rancho Cordova: Building a Community Bicycling Program in Rancho Cordova	This proposed project intends to enhance Rancho Cordova's status as a bicycle friendly community by providing services and activities that support and encourage Rancho Cordova residents who travel by bicycle or want to travel by bicycle. Bicycling Advocates of Rancho Cordova (BARC) and Sacramento Area Bicycle Advocates (SABA) seek funding to provide 18 pop-up bike repair clinics, hold 8 education and skills training classes, and operate 10 bike valet events. In addition, SABA will train and mentor BARC staff with capacity-building activities, strategic planning, and project management assistance.	\$23,255				N/A
65	Other	Rebuilding Together Sacramento: Rebuild Event/Home Improvements	This application intends to continue the funding of Rebuilding Together Sacramento's neighborhood impact project to strengthen residents and neighborhoods in a concentrated geographic area in the City. If funded, this would include improvements to 12-15 homes during the Rebuild Day event in April 2020. The home improvements include improving the quality of life by increasing the health, safety, efficiency, and curb appeal. The work will vary by home, but will address those issues.	\$150,000				N/A
66	Other	Habitat for Humanity of Greater Sacramento: Rancho Cordova Home Repairs	This project intends to fund the expansion of an existing Home Repair program and will allow them to target low-income Rancho Cordova homeowners without adversely impacting Habitat for Humanity's ongoing efforts in Greater Sacramento. Funding will allow them to make significant critical health and safety related repairs on at least 3-4 qualified low-income owner occupied homes in Rancho Cordova with an emphasis on serving veterans and seniors. Example renovations include replacing roofs, windows, accessibility, dry rot remediation, and interior repairs. In 2019, HFHGS will complete well over 50 home repairs in the greater Sacramento community.	\$35,000				N/A

67	Other	Sierra Service Project: Neighborhood Beautification Program	This application intends to continue the funding of the neighborhood beautification program at no cost to Rancho Cordova homeowners with a focus on: 1) Enhancing the quality of life of residents of the City of Rancho Cordova; 2) Beautifying neighborhoods and increasing community pride; 3) Increasing civic engagement through the extensive use of volunteers from local churches, schools, businesses, civic organizations and the general public; 4) Giving all volunteers a very positive volunteer experience and a positive impression of the City and its residents; 5) Augmenting the services of the City's Community Engagement Division; and 6) Being a visible manifestation of Community Enhancement funds in action. The program runs from September to May.	\$38,375			N/A
68	Other	Rancho Cordova HART: Winter Shelter & Housing Services	This application intends to continue the funding of Rancho Cordova HART's winter shelter and homeless assistance program, which includes reserving an intake site, providing transportation to host churches, bus passes for homeless guests that need assistance with transportation in order to get documents ready, and housing counseling services for HART clients.	\$15,000			N/A
69	Other	Salvation Army: Community Hub	This proposed project intends to foster cross-cultural bonds along with opportunities for education in music, art, and physical fitness activities. Funding includes hiring a new Program Manager, supplies, communication expenses, maintenance, rent, and administrative overhead. The Community Hub program, located on Old Placerville Road will serve as the location where residents of Rancho Cordova can gather for group activities, social support, and public information. The goals of this program are: 1) To provide enrichment and social opportunities for 100 seniors; 2) Provide educational, athletic, and cultural opportunities for a minimum of 600 youth; and 3) Provide safety-net services for a total of 200 people. Examples of safety-net services includes, but is not limited to, food boxes, and referrals for people seeking assistance with utility payments, rent, and preventing homelessness.	\$84,712		\$84,712 each year for 3 years	N/A
70	Other	Truck Stop Yoga Shop	This proposed project intends to provide funding for facility improvements for a yoga studio program that emphasizes quick, hard hitting, results-driven yoga and peace practices to everyone for better health. This includes: 1) The procurement and placement of a security system; 2) Interior upgrades to the yoga space; 3) Implementation of a Wi-Fi/computer lab; and 4) Outreach.	\$60,000		\$60,000 per year for 3 years	Requested letter of support from property owner
71	Other	Rancho Cordova Seventh Day Adventist Church: Community and Neighborhood Healthy Garden	This proposed project intends to establish a community garden in Lincoln Village complete with perimeter fencing and landscaping, gardening supplies, a storage shed and tools, a bench with a covered area, signage, and a children's area. If funded, this community garden will have an emphasis on growing fresh fruit and produce from a variety of cultures. The program goals are to: 1) Increase knowledge of healthy gardening and eating; 2) Improve healthy eating habits; 3) Develop leadership skills among volunteers and gardeners; and 4) Increase physical activity.	\$7,000			N/A

72	Other	P.A.R.T.Y. (Prevent Alcohol and Risk-related Trauma in Youth)	The proposed project intends to provide a four-hour injury prevention program to Cordova High School students taking Health Education classes. This program is designed to impact teenagers through presentations, discussion and hands-on activities with the goal of enabling youth to recognize risk and make informed choices about activities and behaviors. The proposed program will take place at Mercy Hospital in Folsom.	\$26,320				FCUSD
73	Other	FCUSD: Automatic External Defibrillators	This proposed project intends to provide funding for the purchase of six additional Automatic External Defibrillators (AEDs) that will be placed in strategic locations at Mills Middle School, Mitchell Middle School, and Cordova High School. California has established new requirements for public and charter schools that offer interscholastic athletic programs. Folsom Cordova Unified School District has purchased an AED for all elementary and secondary sites that were in need of an AED. To create a safer environment above the minimal AED needs, six additional units are requested for secondary community shared spaces on campuses.	\$11,764				FCUSD
74	Other	FCUSD: Passenger Van for Extended Learning Opportunities	This proposed project intends to provide funding to purchase one passenger van for Kinney High School, Prospect Community Day School, and Walnutwood High School to share. If funded, a new van will be used to transport students to things such as field trips, athletic games, college visits, and other experiential learning experiences.	\$60,000				FCUSD
75	Other	FCUSD: Walnutwood Outdoor Seating	This proposed project intends to fund the purchase and assembly of three outdoor picnic tables by the garden at Walnutwood High School. There are currently no outdoor seating options available and this would give students on campus a safe location to have lunch, take breaks, and socialize.	\$5,965				FCUSD
76	Other	FCUSD: Wall Mounted Water Bottle Refilling Stations at Mitchell Middle School	This proposed project intends to replace old water drinking fountains at Mitchell Middle School locker rooms with new upgraded water stations that allow water bottle fill ups and access to cleaner and fresher water.	\$2,300				FCUSD
77	Other	CRPD: HYDE Out Teen After-School Program Enhancements	This proposed project intends to provide funding to purchase a 10-passenger vehicle and a set of 12 Chromebooks for the HYDE Out Teen Center program operated by Cordova Recreation & Park District. The vehicle will allow staff to transport students from Mitchell Middle School and provide additional transportation services for more teens who need a safe space to spend after-school hours. Funding Chromebooks would allow students to complete more homework assignments at the HYDE Out. During the school year, the HYDE Out operates as an after-school program, Monday-Friday until 6 p.m. Under HYDE Out staff supervision, teens can socialize with peers, enjoy quiet time while completing homework, engage in structured activities and utilize the space for physical and social-emotional experiences in a safe space. During the summer, the HYDE Out operates a Summer Teen Camp. On average, the HYDE Out receives over 1,300 visits per year.	\$41,077				N/A
78	Other	Application Withdrawn	Application Withdrawn	\$0				N/A

79 Other	Sacramento Children's Museum: Promotion Campaign	This proposed project intends to both utilize existing promotional tools and implement new digital billboards to build a larger audience for the exhibits and programs offered by the Sacramento Children's Museum. Funding includes, but is not limited to, mascot cleaning/repair, mascot upgrades, graphic design, and digital billboard rental.	\$42,525			N/A
80 Other	Blessings in a Backpack: Ending Weekend Hunger	The proposed project intends to send weekend food home to 300 elementary children attending a Folsom Cordova Unified School District school every Friday of the school year. These children all receive free breakfast and lunch Monday thru Friday. If funded, Blessings in a Backpack will send 5-6 meals and 2 snacks home with each child every Friday of the school year.	\$15,000		\$15,000 per year for 3 years	FCUSD
81 Other	EGUSD: Reduce Social Isolation at Robert J. McGarvey Elementary School	This proposed project intends to reduce social isolation by: 1) Add buddy benches to the main playground and one to the transitional kindergarten/kindergarten playground; 2) Increase participation of existing "Dads of Great Students" program; and 3) Add peer praise notes to existing Positive Behavior Interventions and Supports system by providing training to all 1st-6th grade students.	\$2,380			EGUSD
Total Community Grants Requested (Council already approved approximately \$375,000 in projects for FY 2019/20): \$3,188,317 \$374,840 N/A N/A						

COMMUNITY ENHANCEMENT FUND

April 1, 2019

AGENDA

- Recap of Fiscal Year 2019/2020 Community Enhancement Fund grant application process
- Anticipated award of community grants and department led initiatives
- Summary of grant applications received
- Timeline and process for project selection and awarding of grants



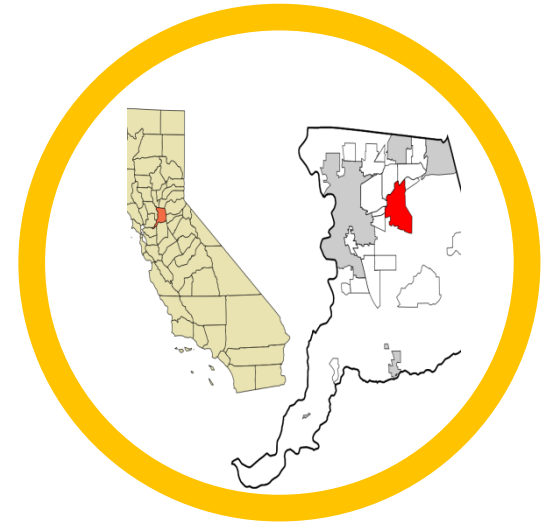
GRANT APPLICATION PROCESS

- Confirmed with Council the criteria, prioritization method, preliminary timeline, and funding categories
- Grant applications accepted February 15th to March 15th
 - ❖ 81 external applications received; 1 withdrew leaving 80
- Applicants received confirmation of grant submittal and upcoming important dates

PROJECT SELECTION CRITERIA

The criteria below will help guide the City's evaluation and selection of projects to receive grant funding:

- Community Pride
- Civic Engagement
- Quality of Life
- Public Safety
- Arts, Culture, History, and Entertainment
- Sports
- Children and Youth
- Education
- Business/Economic Development



PRIORITIZATION

Projects will be reviewed and prioritized for grant funding based on the following elements:

Leverage

other funding, resources, and partnerships

Return on Investment

including new jobs, business growth, increased revenue, benefit to the community, etc.

Capacity

to carry out the project

Timeline

to ensure project is accomplished in a finite period of time

Project Goals and Metrics

by which progress in reaching goals can be measured and the project team's efforts can be focused

SUMMARY OF APPLICATIONS

External Applications Received

- Eighty external applications under review
- Applications are sorted based on primary category out of the following options:
 - Arts, Culture, History, Entertainment, and Sports
 - Education
 - Other
- Recommendations will be shared with City Council at a future City Council meeting

Funding Categories	Sales Tax Projections	
	FY 2019/2020 Recommended Budget	FY 2020/2021 Recommended Budget
Legacy Projects (approximately 25-26%)	2,098,000	2,098,000
Public Safety (approximately 17%)	1,400,000	1,400,000
Infrastructure/Public Works (14%)	1,148,000	1,148,000
Economic Development, Investment, Business Dev., Community Development (14%)	1,148,000	1,148,000
Arts, Culture, History, Entertainment, and Sports (14%)	1,148,000	1,148,000
Education (7%)	574,000	574,000
Administration of Fund (5%)	410,000	410,000
Other (approximately 3-4%)	274,000	274,000
Total	\$8,200,000	\$8,200,000

Legacy Projects Balance Sheet		
Legacy Project Titles	Estimated Expenditures from the Legacy Fund	Legacy Fund Projected Ending Balance
Legacy Fund Balance as of June 30, 2018		\$8,500,000
Legacy Fund Allocation FY 2018/2019	2,668,000	11,168,000
Legacy Fund Allocation FY 2019/2020	2,098,000	13,266,000
Girls Softball Field Enhancements	(3,000,000)	10,266,000
Rancho Cordova Little League Upgrades and Reconstruction Project	(3,000,000)	7,266,000
Enhancements to Pool Project	(3,000,000)	4,266,000
Civic Center	(1,000,000)	3,266,000
Sacramento Children’s Museum Enhancements	(200,000)	3,066,000
Other Anticipated Costs Not Yet Approved from Legacy (Civic Center through Project Design)	(3,000,000)	66,000
Total		\$66,000

Recommended Public Safety Project for FY 2019/2020 Funding			
Public Safety Project Title	Project Summary	Staff Recommended	Council Approved
Rancho Cordova Police Department Crime Suppression Unit (CSU)	Funding of four officers and two marked patrol cars for the CSU	1,120,000	
Rancho Cordova Police Department School Resource Officer (SRO)	Funding of 50% of one School Resource Officer (SRO), a contraband detection K9, and one marked patrol car	152,000	
*Rancho Cordova Police Department Folsom, Olson, Zinfandel (FOZ) Officer	Funding of 50% of a RCPD Problem Oriented Policing (POP) Officer focusing on FOZ	119,000	
Rancho Cordova Police Department School Youth Programs	Funding for RCPD student award programs, Holiday STAR, and youth outreach events	9,000	
Total		\$1,400,000	\$

* The FOZ Officer is a change from last fiscal year.

Recommended Public Works/Infrastructure Projects for FY 2019/2020 Funding

Project Titles	Project Summary	Staff Recommended	Council Approved
Sunrise Blvd. Safety and Beautification	Phase 1 road rehabilitation, landscaping and bike/pedestrian upgrade on Sunrise Blvd. from Folsom Blvd. to White Rock Rd. Augments partially funded approximately \$9.5 M project	743,000	
Enhanced Litter and Graffiti Abatement	Enhanced trash and graffiti abatement on City arterials, train stations and Highway 50 interchanges	150,000	
Enhance the City's Urban Forest	Programs to enhance the City's urban forest in collaboration with Sacramento Tree Foundation. Includes plantings, education, and addressing maintenance of the urban forest's long term health	140,000	
Sidewalk Repair	Replacement and repair of existing sidewalk to continue the work towards eliminating the approximately \$10 M backlog	100,000	
Portable Changeable Message Board	Portable changeable message board for maintenance and emergency services	15,000	
Total		\$1,148,000	

Recommended Economic Development/Investment /Business Development/ Community Development Projects for FY 2019/2020 Funding			
Economic Development Project Titles	Project Summary	Staff Recommended	Council Approved
Economic Development	Market feasibility analysis, program implementation and business promotion for potential corporate growth (Business Park competitive analysis), corridor revitalization (Civic Lab) and industry expansions	273,000	
Business Incentive Program	Business fee assistance; economic development grants; and a loan program for financing gaps for businesses	250,000	
Sign & Façade Program	Matching grants for commercial properties	150,000	
Community Building, Outreach, Community Service Activities, and Beautification Projects, Programs and Incentives	Community reinvestment and beautification including but not limited to landscape improvements, dead tree/stump removals and property enhancements; community micro-grants; community and cultural events; and other	150,000	
Neighborhood Services	Homeless & nuisance property abatement	200,000	
CAGENDA ITEM 16.1 Gateway Monument and Banner Place Making (Mather Field)	Folsom Boulevard monument, banners and hardware (Mather Field), Seasonal banners/change outs (corridors)	125,000	
Total		\$1,148,000	161

Administration	Project Summary	Amount
Administration of Fund	Funding for the administration of the Community Enhancement Fund is 5% of revenues	410,000
Total		\$410,000

NEXT STEPS

- Staff is continuing the review of applications and supplemental materials
 - Overall recommendations will be made based on evaluation by staff and matrix teams
 - Upcoming City Council meetings will include the review of recommendations on external applications received and presentations if needed/requested on both external and internally led projects
 - On or before May 28, make final project selection and funding decisions
- At the June 3 meeting adopt the budget amendment
- Notify all applicants of funding decisions by end of June

MEMORANDUM

DATE: April 1, 2019
TO: Honorable Mayor and Council Members
FROM: Kerry Simpson, Neighborhood Services Manager
SUBJECT: CODE ENFORCEMENT GOALS AND PRIORITIES



RECOMMENDATION

Receive information and provide direction.

RESULT OF RECOMMENDED ACTION

Staff will be seeking Council input and direction on code enforcement goals, priorities and property maintenance standards, policies and best practices.

BACKGROUND

A special City Council Work Session was held on January 8th to provide an update on various Code Enforcement programs. The Work Session was designed to encourage residents and businesses to identify and share their main Code Enforcement concerns and priorities. Tonight's discussion is a follow up to the January 8th work session and will provide a summary of the feedback received from the community members in attendance.

Based on prior direction from the Council and community feedback, staff has focused on developing a comprehensive code compliance approach and will present strategies that include education, outreach, neighborhood engagement, incentives, and enforcement. Staff will also be seeking Council guidance on property maintenance policies and best practices to further clarify the City's role in applying standards to achieve the desired outcomes for the community.

