Rulemaking 1-2-3, Missouri Style . . .

the "Automagic" Way!

Presented by:

Lynne C. Angle, Director,
Administrative Rules Division
Jim McClure, Editor,
Code of State Regulations
Office of Secretary of State Matt Blunt

Dave Bonney
AVANADE, Inc.

Where our journey began . . . Or see how far we've come!!

Our journey into the unknown world of "automation" and making information more accessible, began back in 1999.

At that time, there was a recognition by staff and administration that we, in Missouri, needed to modernize the electronic media and provide greater accessibility to:

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- Our products, *i.e.*, Code, Register, rulemaking manual, etc. to:
- Members of the public; voters of Missouri
- State agencies utilizing our products
- Subscribers to our publications
- Businesses both inside and outside of Missouri

- We recognized that : The Internet was the quickest, most economical technology available . . . but . . .

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- Our "product" consisted of downloaded text from the old Varityper –we were aware this text was not accurate – but was the best we had available to us at that point in time.
- Our internal IT staff and Ad Rules staff determined the "best bet" for us, and with the technology then available, was Adobe Acrobat.

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- Adobe Acrobat combined the functionality of capturing some text.
- However, the scanned images and forms were misinterpreted where they did not reproduce very well.
- We determined that the text represented, at best, 98% accuracy of what we could reproduce! . . . The other 2% was "sketchy" at best!
- Our "searchable" text was "searching" by OCR . . . And, the results were very limited and narrow.
- Adobe Acrobat was new to "everyone" –to our staff, members of the public, state agencies, subscribers, etc.

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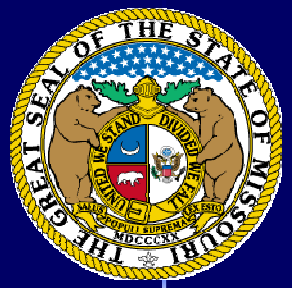
- We did not have *truly* "verified" electronic text, and forms, – only about 60-70% of the 10,000 pages of Code in QuarkXpress format was truly verifiable.

- We had limited display capability – we could display plain text or plain text as Word.



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- And, there was no time for conversion of our text ; no one on staff, either in Ad Rules or IT, knew what or how to do it.

- We had <u>many</u> "unhappy" customers with Adobe – they either couldn't get their system or their browser to recognize the program – and those who could get it to read it . . . still experienced problems. We often ended up referring them to our internal IT department – and their help was "limited" – but the technology was the best available to us at that time.

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- We kept a log sheet (manual/paper copy) of tasks and scanned images.
- Those that were scanned and read on screen by Editor – sometimes correct, sometimes not!
- We had questions for 2,000 chapters –
- And a "paper sheet" for every chapter.

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- We had a couple of folks who knew something about desk-top publishing;
- There was very limited Internet experience to ***all*** at this point in time . . . .
- And Ad Rules and internal IT staff had very limited knowledge; therefore, they brought an "expert" in . . . .

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- Staff was charged with going through all files in QuarkXpress – and load those into Adobe Acrobat including attachments, forms, etc., and any enhancements . . .

- Up to this time, we were utilizing QuarkXpress as our publishing software. (And, finally, we are pleased to report that Quark is going away with Release 3. It will no longer be necessary to download our files into Quark.) But . . . I regress . . . .

The Age of the Internet

- It didn't take long to recognize that Internet technology was the:
  a. Quickest;
  b. Most economical;
  c. The sign of the future . . . .

And the journey continues . . .

- However, as a staff, we received many false starts, problems, complaints!
- Browsers being utilized were not all the same and created problems for our users and customers.
- Register was always published out as Adobe Acrobat from a distilled Quark file . . .

How did we know it was working?

- We knew it was working, at least to some extent, and for some period of time, because we saw an increased usage in our Internet products.
- Web server requests (true hits not just unintentional visits) increased each month – for both publications.
- The nation was "talking" and utilizing the Internet!

What Problems or Issues Did We Encounter Along The Way?

- Old archived versions were a nightmare!
- In addition to our normal, customary publication deadlines (hard copy and Internet), we also had to recreate new products, old products and previous editions 3 times per month!
- Telephone lines and Internet connections were (and in some cases still are)
  S – L – O – W!!
- And, all of our images were PDF only.

How do we present this information?!

- To summarize . . . originally began (in 1999) with only PDF files/format for both publications:

  1. Code of State Regulations
  2. Missouri Register

and in 2001, we were still doing it the same way . . . .

Changes . . . they were coming!

- However, we were receiving increased number of telephone calls – a vast number of which were *<u>complaints</u>* about:

  a. How difficult it was to navigate;

  b. How cumbersome it was to utilize;

  c. How they could not locate the rules and regulations they were seeking to find;

Complaints . . . . Eeek!

d. How they could not "read" the rules from their version of Adobe Acrobat ;

e. How the pages would not "download";

f. How difficult it was to search for the information they were looking for;

g. Just generally how difficult our product was for our users to access and efficiently utilize.

h. And, we were aware if they couldn't find the rule they were seeking to review, and we were having difficulty locating the rule they were seeking to review and – we had a problem!

Things were improving . . .

- Once we went to Adobe Acrobat, admittedly, things were improving . . . *albeit* very slowly!
- As contrasted, with the increased "usability" of our system, we have an interesting statistic: Now we have seen an increase in "hits" (true hits – not unintentional visit – to Economic Development from 3,000 in June of '01 to 55,000 in June of '04!

New Secretary of State Elected . . . took office January 8, 2001

- New administration– new opportunities for growth and improvement!! Change in administration brought a totally new perspective – and a new approach to the office-wide way of doing business.
- And, . . . change in administration also brought the recognition that SOMETHING MUST BE DONE!
- Right off the bat, we began to accept e-mail corrections, rather than hard-copy and/or personal visits and sign-off.

Secretary Matt Blunt's No. 1 Goal

- **Secretary Blunt's No. 1 main goal for his term as Missouri's Secretary of State was:**

"TO MAKE INFORMATION MORE ACCESSIBLE TO THE CITIZENS OF MISSOURI!"

Office-wide Mission Statement

- We wrote and adopted an office-wide mission statement as follows:

- "The mission of the Missouri Secretary of State's Office is to support democracy by ensuring honest, fair, and reliable elections, providing essential information to enlighten citizens and enrich their lives; foster confidence in the integrity of Missouri

Mission statement – continued

business; promote appreciation of our common heritage; and carry out these functions in an efficient and effective manner, so as to reflect credit upon the office as a servant of Missouri citizens."

Outcome measures --

- **Office-wide outcome measures were developed and adopted to:**

1. **Minimize cost and spend taxpayer dollars efficiently and effectively.**
2. **Make information more accessible, reducing physical and other barriers.**
3. **Increase public awareness of products and services provided by the Office of the Secretary of State.**

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Outcome measures . . . .

4. Increase voter turnout through increased confidence in and convenience of Missouri's election process.
5. Increase employee satisfaction and opportunities for personal growth.
6. Increase public trust and confidence in Missouri's business and investment community, protect Missouri investors.
7. Reduce cost and time for Missouri businesses to comply with regulatory programs.

Acknowledgment of Change

- New Secretary of State and Director both recognized technology/product was cumbersome, inconvenient to utilize, with very limited search functionality – and outdated!
- Print publication binders were "bulging".
- Many old forms and charts; agency rules were very out-of-date!
- And, Secretary Blunt directed us to develop . . .

. . . Moving in a new direction . . .

- the dreaded *"Strategic Plan"* for each and every Division in the office . . . . So . . .

- we developed an "Administrative Rules Division Strategic Plan" – which we have presented and discussed quarterly with the Secretary. We reported on our many accomplishments, outcome measures, outcomes, completed outcomes, and developed new outcome measures along the way – and, it is truly *AMAZING* all we have accomplished in the past 3 ½ years!!

Administrative Rules Division's Outcome Measures

Ad Rules adopted the following outcome measures as our own:

1. **Make information more accessible, reducing physical and other barriers.**
2. **Increase public awareness of products and services provided by the Office of the Secretary of State.**
3. **Minimize cost and spend taxpayer dollars efficiently and effectively.**
4. **Increase employee satisfaction and opportunities for personal growth.**

What was our ultimate goal – in which direction were we headed?

The direction our office determined to take in the best interest of our customers – was:

a. Provide the service

b. Provide it in the most accessible manner, thus creating improved access

c. Provide it at no cost to the Internet customer.

Tasks, strategies, outcome measures, outcomes and goals met!!

- **The goals we adopted, which initially seemed very aggressive, have been met time and again office-wide . . . . And more specifically, by the Administrative Rules Division, time and time again . . . *somewhat* painlessly!**

Goals accomplished along the way . . . .

To highlight some of the goals we set and have attained:

1. **"From This Angle" – Staff named the column and I periodically write an informational column in the Missouri Register. It contains tips, helpful hints, updates and has opened lines of communication. It has been well received by our readership.**
2. **We surveyed our customers to seek information on how we might better help them/serve them.**
3. **We have increased lines of communication and cooperation with the Joint Committee, where appropriate.**

Goals met or exceeded . . .
-- continued --

4. We have requested agencies to review forms and old out-of-date information in their rules in Code – this has had a dual effect.
5. We began posting emergency rulemakings to website which formerly were effective before they were published – has increased awareness and participation into emergency rulemaking process.
6. We began transmitting the Missouri Register and the Code to state printing via FTP.
7. We have completely cross-trained staff.

We are now heading into 2001 – full steam ahead!!

- Beginning in January of 2001 we commenced to verify all of our electronic text and, where applicable, republish to correct and obtain a truly verified and "matching" set (i.e., hard copy to electronic copy).

- Each and every file has a text file backing it up – not scanned any longer . . . . And we can truly say we have 100% verified text.

How do we get there?

- **In order to succeed in the goals we set, and meet the outcome measures we intended to reach, we recognized we had things to do . . . matters to take care of!**

- **Next, we rewrote our rulemaking manual in its entirety . . . *Rulemaking 1-2-3, Missouri Style* – a true "how-to" procedural manual.**

How it was written . . .

- The manual was written in a very easy-to-read user format.
- It is loose-leaf so that it is easily updated.
- We produced it in-house and compiled it in-house . . .
- We held training classes at the agencies offices, in our office, and some one-on-one training sessions.

Rewrite procedures manual, in its entirety

- **In our rewrite, we revised, streamlined, (from designing the binder to the entire contents – from the tabbed dividers, to the layout of the format) the entire rulemaking manual:**

  Rulemaking 1-2-3, Missouri Style

  (a/k/a Rulemaking for Dummies)

- **Developed with the utilization of user groups and kickoff meetings.**

- **We sought participation, suggestions, held meetings and allowed input.**

Rewrite of manual -- continued --

- They (users) named the manual!
- And, we provided the product to the users, free of charge in both color hard copy easel-type binders and on the Internet.
- We, upon our conferring with the focus and user groups, determined the format for the new manual would be a "rulemaking for dummies" perspective.

Moving on . . .

We determined, for sure, we needed a new system!

- During this same time period, we developed a set of criteria, met with countless vendors, scoped and re-scoped our project, experienced a change in IT Director and began again, put out an RFP, located a vendor on statewide contract and ultimately awarded our project to Avanade, Inc., a division of Accenture' for them to develop a solution to our various criteria and formulate an "automagic" way in which to handle the rulemaking process in Missouri.

In what language?

- We were only able to offer PDF files – folks had to download Adobe Acrobat if they did not have it on their respective computers;

- Telephone lines and computer lines were (and still are in some locations) very

  S – L – O – W!!

What did we need to consider along the way?

- We had a smorgasbord of text from text files, scanned images, equations, tables, water tables, maps, charts, etc., etc.
- The conversion from QuarkXpress into Microsoft Word (this system is a Microsoft Solution) has been very seamless, except for a very few instances.
- All hands on deck have been able to run the conversion routine – from the most "seasoned" to the "newest employee" – to ME! Seriously, we have all taken "conversion assignments" and worked as a true team.

Pieces . . . Putting them together!

- We had scanned images . . . charts, graphs, water tables, drawings, equations, maps, unique character sets in Code.
- We had a search engine that was essentially "non-functional".
- We had rules residing in several different places in several different styles/formats.
- Our web version was available in PDF version only.

How we are moving ahead . . . .

- We have solicited agency input into the development and utilization of our software . . . from inception to present time.

- We have developed a much improved working relationship with the Joint Committee (JCAR) that did not previously exist and they, too, are cooperating . . . .

It's Automagic! . . .

- We determined, with much input and a ton of help, we needed to convert to a publishing system that agencies could submit their rulemakings from their desktops electronically.
- We have 191 state agencies who currently promulgate rules.
- We "adopted" one agency that has over 30 professional boards to be our "guinea pig".
- And, I adopted Dave as my "brother".

WARNING!!

- Once again, I feel compelled to tell you that while we are very excited about our new solution and the prospect of doing our entire business in a very different way, you must realize what a *HUGE COMMITMENT* of time you will be making once you embark down the automation path! And, how many countless hours you will spend with the company you select to automate your system.

E-mail notification

- The next piece we undertook is the implementation of an e-mail notification service for anyone who wished to be notified of any rulemaking filed that might affect their way of living or doing business in the state of Missouri. (This, too, was one of Secretary Blunt's goals.)
- Notification is not limited to state government – but is accessible to anyone who signs up.
- Function is directly tied to our publication dates.

E-mail notification -- continued --

- And, it allows us to offer a far superior search function . . . .
- User allowed to set their own criteria: i.e., Title, Division, Chapter, Rule, Keyword/Subject Matter, Code only, Register only, both publications, keyword only or any combination of above criteria – user selection.
- Public can sign up for rules.
- Notification is sent immediately upon publication of either product.

More on e-mail notification . . . .

- This service will continue indefinitely without renewing sign-up.
- E-mail contains links to the Register or Code Chapters with selected rules/criteria selections of interest.
- This service has been very well received and is creating "raving fans"!

Sign up for E-mail!

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- Missouri Register
- Emergency Rules
- Obtain an Official or Certified copy
- Rulemaking Manual
- Forms
- Publication Schedule
- Chapter 536, RSMo
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Search

(administrative rules only)

Administrative Rules publishes administrative rules and regulations. After the Legislature enacts laws, 187 Missouri agencies write rules and regulations to implement those laws. The secretary of state publishes the *Missouri Register* twice a month to keep Missourians informed of pending rules and regulations.

The *Missouri Register* contains proposed rulemakings, which will not become effective until Missouri citizens have an opportunity to attend a public hearing, or submit written comments. All state agencies must, in subsequent editions of the *Register*, publish a summary of comments and the agency's changes to the rulemakings, if any.

After the rules have been adopted, they are codified and printed in the *Code of State Regulations*. These rules become effective 30 days after publication in *Code*. Emergency rulemakings, which are only valid for a specified time period are also published in the *Register*. The *Register* also contains an index, listing rule numbers with changes pending and a table of emergency rulemakings currently in effect.

The *Code of State Regulations* is a 14-volume, loose-leaf printed set that is updated monthly. A subject index, as well as a cross-index to the *Revised Statutes of Missouri* and the corresponding rules is part of the *Code*. Both *Code* and *Register* are available in printed format or on the Internet.

Additionally, Administrative Rules is charged by statute to set uniform standards, procedures and guidelines for the preparation and publishing of rules and regulations in the *Register* and the *Code*. This section also publishes "*Rulemaking 1-2-3, Missouri Style*" which is designed as a user's guide for rule preparation.

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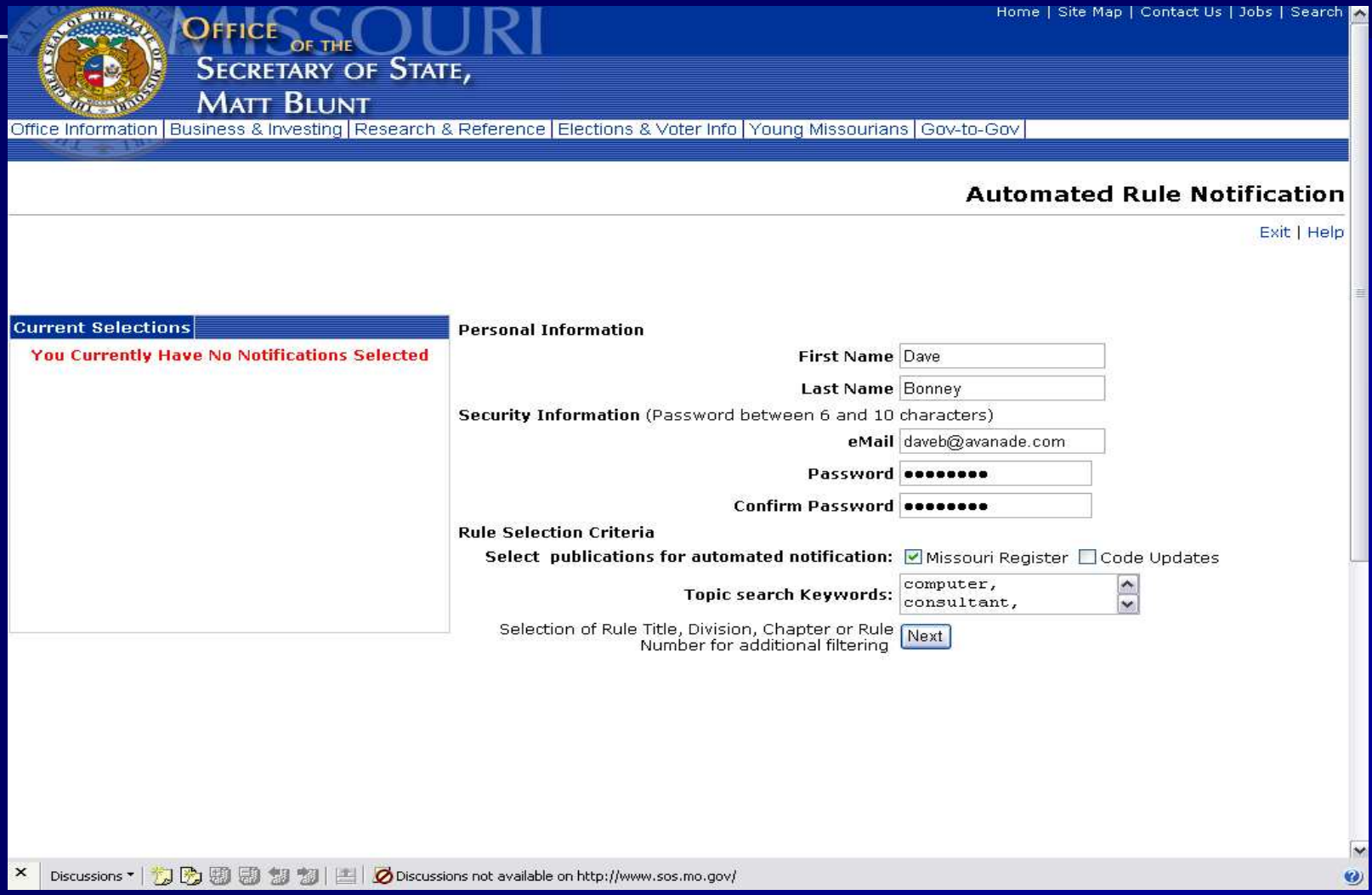
Discussions | Discussions not available on http://www.sos.mo.gov/

Registration Screen



E-Rules Workflow

- We now log in all new rulemakings, upon receipt – electronically.
- We (and/or agency) establish keywords for the notification – and system keeps track of words entered.
- System applies the statutory (Chapter 536, RSMo 2000) criteria and rulemaking procedures and logic.
- The system flags problems and generates "automatic" e-mails to agency contacts.

Release 1 continues

- It also provides a centralized rulemaking repository with immediate visibility to rulemaking and publication status . . . (Stay tuned on this point . . . .)
- And, it provides the framework for integrating rulemaking and rulemaking text.

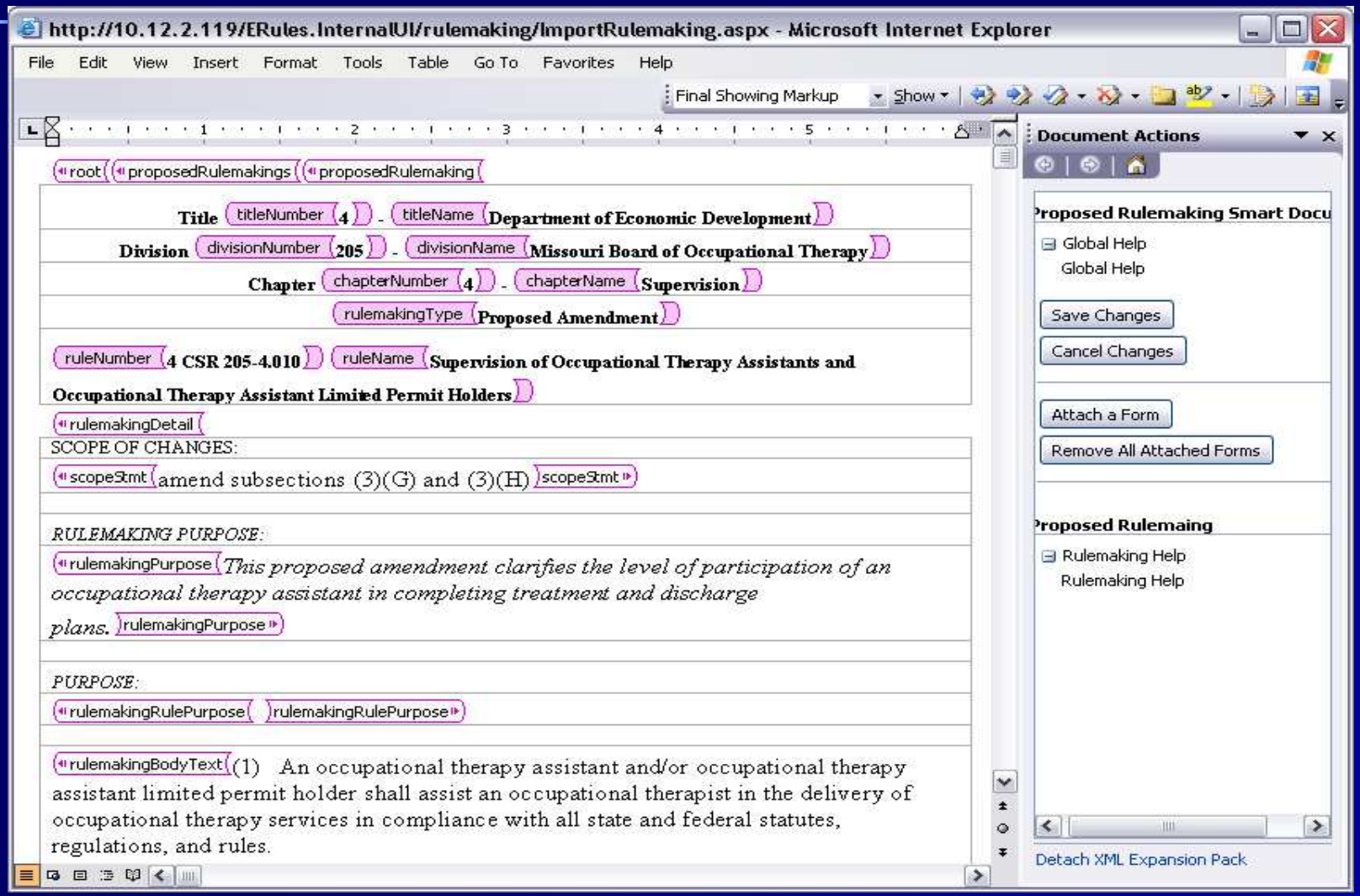
Release 2 – we are rapidly progressing!

- We, with the help of agency representatives, have developed templates for online filing and rulemaking electronic submittal.
- Agencies are currently "testing" templates for online filing – making suggestions, assisting us in seeing the "forest for the trees".

9,226 rules to convert . . . 10,000 pages

- We began to convert 10,000 rules in March after ironing out some minor issues with the conversion piece we are utilizing.
- For the most part, SMARTDOCS is a tremendous conversion tool!

Word integration



Have we mentioned how much fun we have had with conversion?

- We are in the midst of totally automating our system. . . .and we're almost there!
- We asked questions! Many . . . many . . . many questions!! (From users to in-house staff to consultants.)
- We determined that much money could be saved by publishing an electronic-only edition of the Missouri Register . . . . And, ultimately a CD version only of the Code of State Regulations . . . .

We are nearly there!

- We also determined we would always have to supply "print" copies of our publications to those who required the same and we also determined that the print copy will, for now, remain our "official copy".
- Conversion has been amazingly smooth! *HONEST*! The "issues" we have had, have been relatively small ones.
- Avanade has been very responsive in helping us solve these "issues" and on an extremely timely basis.
- Our IT Director has been extremely involved and responsive along the way . . .

- **It has taken a cooperative effort by all involved . . . But it is nearly over!**

  -- ***Conversion that is*** **– (from here a real change in our normal day-to-day way of doing business . . . . and traditional "job boundaries" will virtually be eliminated!)**

- **One of the members of the Ad Rules staff put it very well when he said . . .**
  "Automation is the right and necessary thing to do in rulemaking . . . . However, it is very time consuming, thought provoking, and you shouldn't do it if you don't realize it is a long-term commitment, combined with the reality of living in the state of flux, for an extended period of time."

Times they are a changin'!

- How we did rule reads in the 1990s no longer exists . . . .
- We no longer find it necessary (as frequently) to direct folks to archives, records center, for old records, copies. This represents a tremendous time saver for us, for our Archives and Records Center staff, and, the best benefit is our customers are better served and happier!
- We can direct most, if not all, requests directly to the Web now . . . .

Release 2 marches on . . .

- Agencies are or will soon be (depending on where they fall into the training schema) entering rulemakings using new Word templates
- DAVE – NEW TEMPLATE EXAMPLE HERE

Release 2 continues

- We are training the agency users in a predetermined prioritization scheme.
- Rulemaking text is automatically loaded into the e-rules application.
- Text is stored directly from agency disk (for now) in a database.
- Automatic reformatting of rules and regulations based on standards fonts and section/subsection indentation formats, etc.
- Amended text is merged with rule . . . "automagically"!

Release 3

- All rulemaking text and rule text extracted from database content to create publications
- Automated publication of Register
- Automated publication of CSR updates
- All pertinent information is updated in the repository on publication date
- Enhanced Web-based access of Rules
  - Alta-Vista type search
  - Rules and rulemakings retrieved in Web format – not just PDF
  - Automated notification will contain links to Web version of rule/rulemaking, as well as actual publications (HTML, PDF, Word and XML)

Release 4 . . . Headed into Home!

- Agencies call up rules from Web browser and enter changes
- Agencies submit rulemaking using Web-based templates
- Our agencies no longer have to "drive them here" any longer (and to the Capitol building)!
- Documents will be attached to rulemaking as necessary.

Release 4 continues . . .

- Agency will be able to review status of rulemaking at any time.
- Joint Committee on Administrative Rules will join our system.
- Private reads, two party reads, and in some instances, three party reads are eliminated – compare function.

How do we improve the process?

- Director, General Counsel and Legislative Liaison did an exhaustive review of our enabling statute or the administrative procedures act in Missouri – Chapter 536, Revised Statutes of Missouri.

- Proposed draft revisions to staff and others and sought suggestions.

Legislation written, passed and signed?!

- We developed legislation to make statutory changes to permit electronic-only publications . . . and to permit agencies to file electronically . . . and for agencies to be responsible for maintaining their own incorporated by reference materials.

- I attended hearings, testified at hearings, met with Senators and Representatives, and worked to get it passed in both the House and the Senate . . . (two identical versions).

Will the Governor sign?

- The legislation passed, with only one minor language change . . . .
- And both versions passed both houses
- And . . . I am happy to announce that on July 2, 2004, Governor Holden signed both pieces of legislation into law (effective August 28, 2004)!

And, it is extremely exciting!

- We have moved to new quarters, specifically designed for us.
- We are changing our entire way of doing business.
- We are becoming increasingly more accurate (not that we weren't already 100% accurate!☺) – and
- Our efficiency has increased and workloads are spread out among all staff members.

Come see us!!

- And, finally, Missouri has devoted substantial dollars to the development of this system. It is not totally proprietary -- meaning we can share!
- Virginia and Kansas have been to visit and see where we were following February's meeting . . . .
- We are meeting with Florida . . . .
- And, we welcome the opportunity to share our experiences with you and, where applicable, our system with you.

We thank you for this recognition . . . and feel most humbled.

- Finally, we want to thank you from the bottom of our hearts for this awesome recognition named for Bob Colborn – whom I am told was the "Prince" of rulemaking.
- It will be a recognition for all the many hours we have devoted to this project and the many efforts at all levels of staff involvement . . . And to Secretary Blunt for his willingness to let us chart this path and his desire to make information more accessible for all citizens.
- We are humbled and honored by your recognition of our innovations and achievements in Missouri . . . And we are very proud to "Show You" our system!

TECHNICAL HIGHLIGHTS

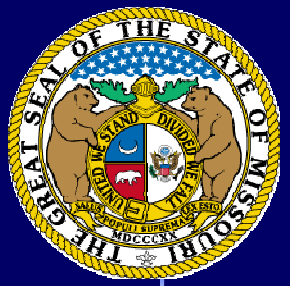
- To recap – and Dave may wish to expand upon . . . .
- Our solution is a Microsoft Solution
- Integration of Microsoft Word 2003 with Web Based Application
  - ✓Word familiar to most users – therefore reduces training time/curve on both agency side and internal side.
  - ✓Word is already licensed – reduced ongoing maintenance.

Technical Highlights continued . . . .

- **Database storage of rule and rulemaking text**
  - ✓ **Rules and regulations can be automatically published in a variety of formats (HTML, PDF, Word) with different looks.**
  - ✓ **Database storage greatly improves and enhances our search capabilities for the general public.**
  - ✓ **Cleaned up rules stored in special XML format – WordML**
  - ✓ **Opens up many opportunities and possibilities for utilization of text in the future.**

DEMO

- Demo . . . .


THE GREAT SEAL OF THE STATE OF MISSOURI
UNITED WE STAND DIVIDED WE FALL
SALUS POPULI SUPREMA LEX ESTO
MDCCCXX

THE END! ☺