

Aligning IT and Records: Utilizing Shared-Services in the Age of Digitization



Tompkins
CountyNY.gov

As populations grow, the need for public-facing services increases. With budgets shrinking or staying stagnant, it results in state and local government having to “do more with less.”

Ithaca is Gorges

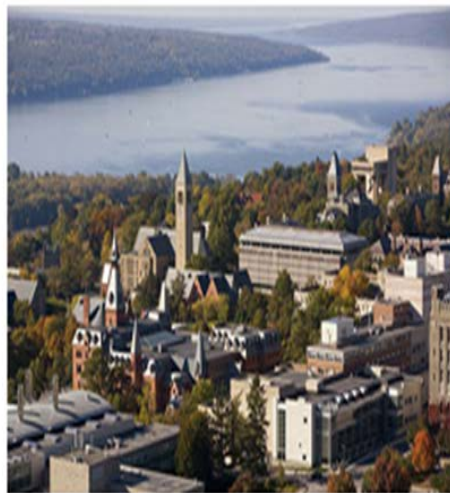
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- Ithaca Ranked in Top 10 Best Places to Live
- America's Most Enlightened City
- Best College Town
- Smartest City in America
- America's Foodiest Towns
- 100 waterfalls



Best College Town – Cornell & IC



Voted - America's
smartest city



Background: EDMS Success

The County Clerk's Office has indexed and digitized **202** years of records, deployed a web portal service for secure, remote, and FREE access to these records.

Then, came the Old Library Inactive Records Center

Former Records Center



The County Records Center Problem

- 9,000 boxes
- Antiquated tracking database
- No additional staff
- Neglected records program
- No increase in departmental budget
- Did not want to be in the business of box/file retrieval and tracking



What we did

Software
(Laserfiche)

I became a project manager!

County Clerk's
Office

Imaging Vendor
(Challenge
Industries/NYSID)

Hardware
(County IT)

Partners with Challenge Industries

Challenge Industries is a supportive employment agency and NYSID vendor

2009 & 2014 Business Partners of the Year



Laserfiche®

- Laserfiche is a Windows-based document imaging system that allows us to file, catalog and retrieve documents.
- Allows us to OCR images – text searchable.
- Has modules for automating workflows, auto-indexing of documents, e-forms, web access, the assigning of retention codes & Dept. of Defense certified audit trail

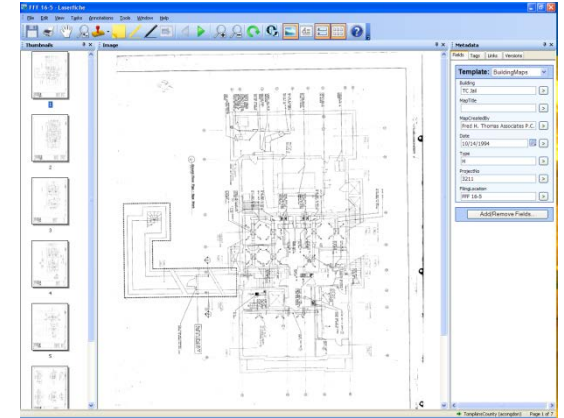


Laserfiche®

Current Digital Records Center

We have created a digital countywide Records Center by scanning the 9,000 boxes and thereby eliminated the need for a new large building to house a Records Center.

Records Vision



- To dramatically reduce the creation and flow of paper records. Records are digitally produced, printed on paper, put in a box and then stored in a decrepit building.
- We want to keep born-digital records digital!

Local Driving Forces

- Sustainability Program
- Smart Office Initiative
- Workplace Flexibility
- Work from job site/field – highway, facilities, judges, ADAs, ...
- Disaster recovery concerns – recent flooding in 2011 and 2012 in NYS
- Transparency of Public Records/Open Government
- Neglected Records Center Building

Records Management Projects

- ★ 1. **Legislature** - annual book of proceedings (1865 to 2007);
2. **County Administration** - contracts, insurance certificates, insurance policies and budgets;
3. **DA** - case files at the Records Center;
4. **Highway and Facilities** - all maps and plans;
5. **GIS** - historic tax maps (1966 to present);
6. **Assessment** - tax rolls and office files;
- ★ 7. **Finance** - payroll records;
8. **Health Dept** – birth & death certificates and environmental health maps ;

Records Management Projects

9. **Purchasing** - bids, capital projects and maps;
10. **Personnel** - civil service history, payroll cards, & inactive files;
- ★ 11. **County Clerk** – criminal files;
12. **Records Dept** – 9,000 boxes at the Records Center;
13. **Mental Health** – closed client inactive case histories;
14. **Airport** – maps, plans and office files;
- ★ 15. **Sheriff** – arrest reports, closed civil records and old jail records;
16. **Office for the Aging** – departmental records;

Records Management Projects

17. **Solid Waste**- office files;
18. **Assigned Counsel** – case files;
19. **County Attorney** – case files;
20. **IT Department** – office files;
21. **Board of Elections**– older files.

Departments not yet incorporated: DSS, Probation, Youth Services, E911, Planning and Human Rights

Trust me, you will love it!

- Once we scan files, we never return the paper
- No complaints!
- We mimic the folder structure in either their paper or electronic files
- End user is comfortable with Laserfiche folder structure
- Single software application across departments
- Integration capabilities with other systems

“ You can have the best software in the world, but if the end user isn't **comfortable** with it, they won't use it. ”



Maureen Reynolds
Deputy County Clerk
Tompkins County, NY

Records Management Concerns

- Aging workforce
- Institutional knowledge
- Out-dated databases
- Security of records
- Too many employees to educate on retention schedules
- Move to cloud-hosted County applications



Tompkins County: Transparent Records Management in Action

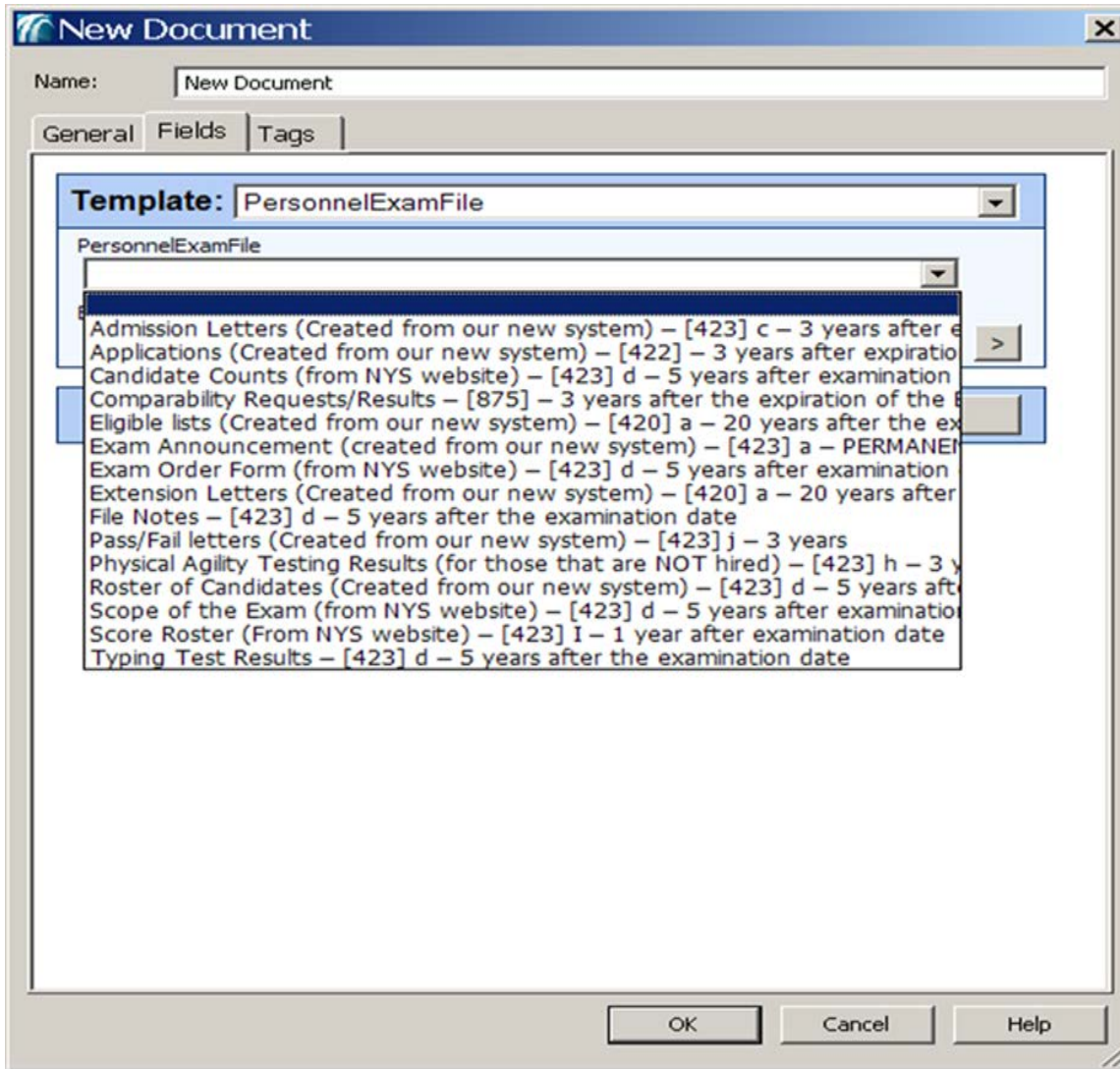
Transparent RM In Action

The screenshot displays a document viewer interface with a document titled "20121011100045702 (11) - Laserfiche". The document is an Erie Insurance Certificate of Insurance, dated 09/27/2012, issued to Tompkins County Public Works. The certificate details policy information, including policy number 0355120020, effective date 11/01/2012, and expiration date 11/01/2013. It lists various coverages such as General Liability, Fire Damage, and Bodily Injury, along with their respective limits. The certificate holder is James Barrett Merod II, and the named insured is JBM Construction D/B/A. The document is signed by Eric D. Lt. The viewer also shows a metadata panel on the right with fields for Tag, Description, and Vital Records.

**SAE AND NUMBER OF AGENCY
JE COMPANY, INC.
1: -NECA WAY
ITHACA, NY 14850 -4314
NAME AND ADDRESS OF NAMED IN
JAMES BARRETT MEROD 'II'
JBM CONSTRUCTION D /B /A
513 W BUFFALO ST
ITHACA NY 14850 -4013
CERTIFICATE HOLDER COPY
TEISSUED 09/27/2012
NAME AND ADDRESS OF CERTIFIC
1
TOMPKINS COUNTY PUBLIC WORK
470 BOSTWICK RD**

RM vs User:
Insurance
Certificates
need to be
maintained
legally for 6
years. The
department
only wanted
to keep them
one year.

Transparent RM In Action



Entry level staff scan the new hire documents. They do not need to know the retention schedule for each document. We assign it in the drop down selection in the template.



This Certifies That
Shared Services Electronics Records Repository
Tompkins County, NY
Has been named a
Bright Idea
By the Innovations in Government Program in 2015

STEPHEN GOLDSMITH
Director, Innovations in Government Program

ANTHONY J. SAICH
Director, Ash Center for Democratic Governance and Innovation

Bright Ideas is an initiative of the Innovations in Government Program at the Ash Center for Democratic Governance and Innovation



DIGITAL COUNTIES SURVEY 2014 WINNER

Congratulations 2014 Digital Counties Survey Winners!

Up to 150,000 Population Category

- 6th Tompkins County, NY

For a Second Year, Tompkins County Achieves National Recognition as Top Digital County in 2015 – 3rd Year in 2016 – and 4th in 2017!



Tompkins Shared Services Electronics Records Repository



TSSERR User Group



Town of Newfield



Each government has complete control over its own content within the system. They have their own dedicated repository and access to a robust enterprise document management system that they can then tailor to their own needs.

TSSERR



We currently have all of our towns(9), villages(6), TCSWCD and the City of Ithaca utilizing our county-hosted digital archiving solution. We have established a user group, by-laws, a governance structure and policy and procedures. The entire project has been covered by grant funds. Our user group has also worked on eliminating redundancies between the local governments.

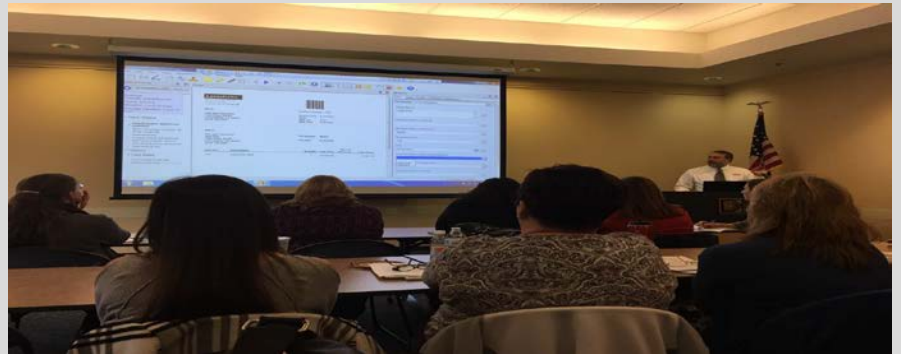
www.tompkinscountyny.gov/tsserr

TSSERR



Why did it work?

- Not the “Big Bad County”
- Partners still make all records
- Start with willing partners - build on your success
- Think big, start small
- Go to them
- Food!



NYS Archives Grant Support

- 2000 - consultant to conduct County Clerk BPA for EDMS (\$15,000)
 - 2001 – County Clerk EDMS implementation (\$15,000)
 - 2002 to 2010 – annual grants for backfile and indexing documents into EDMS (\$376,734) – completed by Challenge Industries
 - 2007 – Board of Elections imaging software (\$74,370)
 - 2008 – records space study - \$17,500
 - 2009 – Legislature (MinuteTraQ) – \$64,000
 - 2010 – Mental Health electronic medical records - \$50,847
 - 2011 - \$75,000 for scanning at County Center by Challenge for DA
- Newest Grant is for Cortland County and Tompkins County - \$603,039**
- \$143,307 shared services with 6 towns
 - \$150,000 to include the remaining 3 towns and the City of Ithaca
 - 2014 – \$150,000 to include the 6 villages and TCSWSD
 - 2015 - \$150,000 to include all town and village courts
 - 2017 – large format maps for all municipal partners - \$36,873



Department of State - Local Government Innovations

- **Department of State - Municipal Restructuring Fund**
- The MRF, will be used to fund and foster innovative and transformational local government restructuring efforts. Funds will be used to assist local governments with capital and other expenses related to the implementation of **local government** and school-district **shared services**, cooperation agreements, mergers and other actions that reduce operational costs and related property tax burdens on a permanent basis.



The Rest of the Story: A Continuing Legacy of Shared Services in Tompkins County, New York

Studies in Shared Services and Efficiency Conducted by the
Cornell Institute for Public Affairs and the Cornell Johnson
Graduate School of Management

May, 2015

Prepared by:

Weihua Fu, Ling Quan, and Rachel Rhodes

Cornell Institute for Public Affairs

Varun Shah

Johnson School of Management

Cornell University, Ithaca, New York



Figure 15: Digital Records Management Municipal Annual Cost Savings

	<i>Training Savings</i>	<i>Time Savings to Clerk¹</i>	<i>Total Savings</i>
City of Ithaca	\$ 4,500	\$ 104,877	\$ 109,377
Town of Caroline	\$ 4,500	\$ 9,514	\$ 14,014
Town of Danby	\$ 4,500	\$ 6,994	\$ 11,494
Town of Dryden	\$ 4,500	\$ 12,092	\$ 16,592
Town of Enfield	\$ 4,500	\$ 4,759	\$ 9,259
Town of Groton	\$ 4,500	\$ 7,993	\$ 12,493
Town of Ithaca	\$ 4,500	\$ 29,049	\$ 33,549
Town of Lansing	\$ 4,500	\$ 13,733	\$ 18,233
Town of Newfield	\$ 4,500	\$ 11,819	\$ 16,319
Town of Ulysses	\$ 4,500	\$ 11,411	\$ 15,911
Village of Cayuga Heights	\$ 4,500	\$ 17,250	\$ 21,750
Village of Dryden	\$ 4,500	N/A	\$ 4,500
Village of Freeville	\$ 4,500	\$ 3,068	\$ 7,568
Village of Groton	\$ 4,500	\$ 5,474	\$ 9,974
Village of Lansing	\$ 4,500	\$ 14,820	\$ 19,320
Village of Trumansburg	\$ 4,500	\$ 3,197	\$ 7,697
Total	\$ 72,000	\$ 256,051	\$ 328,051

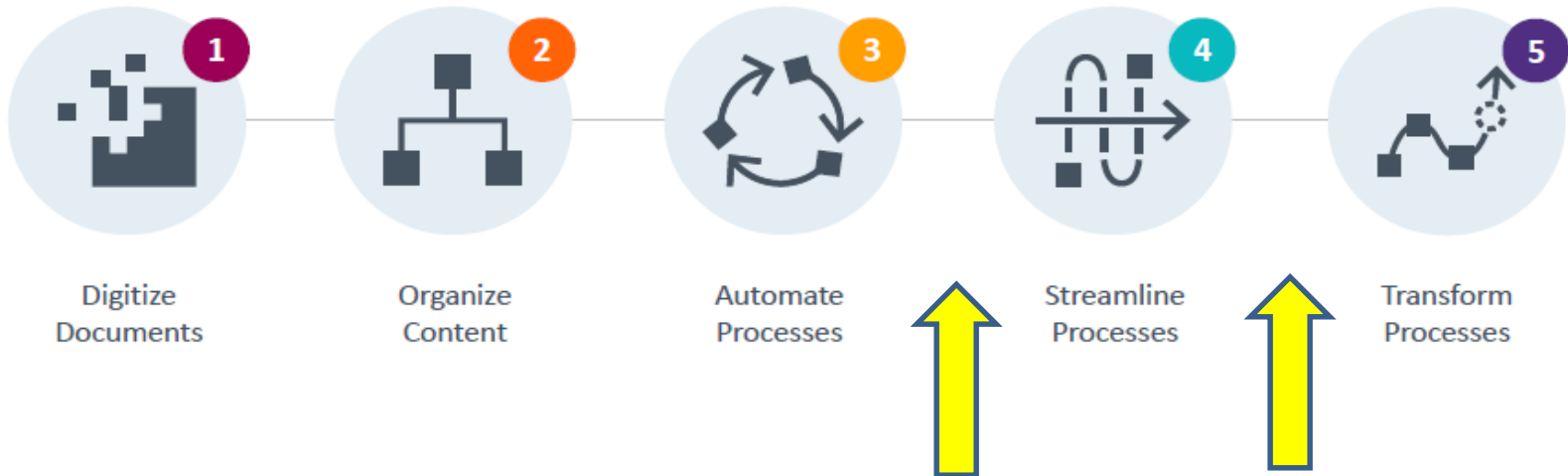
Source: Tompkins County Clerk. Municipal Budgets (most recent year)

Figure 16: Digital Records Management Projected Cost Savings

	<i>Savings to County¹</i>	<i>Savings to Municipalities²</i>	<i>Savings Total</i>
2012	\$ (88,321)	\$ -	\$ (88,321)
2013	\$ 212,015	\$ -	\$ 212,015
2014	\$ 210,758	\$ 328,051	\$ 538,808
2015	\$ 106,106	\$ 334,612	\$ 440,718
2016	\$ 100,395	\$ 341,304	\$ 441,699
2017	\$ 94,074	\$ 348,130	\$ 442,204
2018	\$ 87,082	\$ 355,093	\$ 442,174
2019	\$ 79,352	\$ 362,195	\$ 441,546
Total	\$ 801,461	\$ 2,069,384	\$ 2,870,844

Where We Are Now:

Digital Transformation Model



Business Process Automation: Current Internal

- Automated FOIL
- District Attorney case management integration
- Assigned Counsel
- Personnel
- Payroll
- Direct fiber connection between the County, City and Town of Ithaca
- Shortly, we will have a fiber connection between Cortland and Tompkins Counties

Business Process Automation: Current Internal

- Account Management
- Security Breach
- Training
- Vacancy Request
- Civil Service Exams
- Contracts Review
- Administrative Policy Manual
- Mental Health Utilization Review

Business Process Automation: Current External Partners

- FOIL
- Building Permits
- Demolition Permits
- Failure to license dogs
- Report a problem work orders
- Anonymous tip line
- Integration with Municipity
- Sealed court case files with town courts

The Future!

- Any piece of paper generated needs to be automated
- Travel expenses
- Training program participation
- Corporate compliance
- Data capture from cloud systems
- Continued business process automation and support for processes
- Analytics growth

Where to Store Records Now?

The County has leased an underground storage bunker at the Seneca Army Depot for our permanent archival paper and microfilm storage. The bunker is temperature and humidity controlled.

Former Seneca Army Depot Bunkers



CLOSE-UP AERIAL VIEW OF BUNKERS



BUNKER EXTERIOR - BEFORE AND AFTER



BUNKER MECHANICAL ROOM



BUNKER INTERIOR - BEFORE AND AFTER



Questions?

Maureen Reynolds

Tompkins County Clerk

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