



## CONSULTING PROJECT: FINAL REPORT

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## I. Executive Summary

The City of Milton engaged a team of consultants from the Leadership ICMA program to assist with the development of a holistic document management system. The scope of the project involved performing an in-depth analysis of the existing document management system utilized by Milton; identifying best practices from government and business entities as they relate to the challenges and opportunities identified within Milton; and creating a strategic implementation plan to guide city staff in moving forward with the next steps of the program. The L-ICMA team conducted an on-site visit in Milton to gain a better understanding of the existing system, and held small-group discussions with key Milton staff to discuss what challenges and opportunities existed with document management in the community.

One of the key issues identified during the discovery phase of this project is the current software system utilized by Milton. OptiView was implemented a number of years ago with the hope that it would serve as an electronic repository and help move Milton towards being a paperless environment. Unfortunately, as the City has grown and progressed, it has become apparent that the software is not functioning in that capacity and is actually creating more issues than it is solving. In addition, while Milton staff is open to utilizing a document management system, there is considerable confusion about what the purpose of the project is. Staff want clarification on whether they should view the document management system as simply a repository for documents that allows for easy electronic access and disaster recovery, or as an interactive system that would allow both internal and external audiences the ability to access key city documents and that would enhance the features of the software systems already utilized by departments. Finally, conversations with staff also revealed a lack of clarity in regards to records retention guidelines. Many departments are unsure how long they should be keeping documents, and are unclear who is responsible for keeping different types of documents.

Many government entities have engaged in a process of implementing holistic document management systems in recent years due to a variety of benefits associated with having records available electronically. There are many software programs available on the market to provide the framework for a document management system, and while this report does not recommend one software system over another, it does utilize the challenges and opportunities defined during the discovery phase of the project to serve as a foundation for exploring best practices related to key components in any holistic document management system implemented by Milton.

- **System Purpose** – One of the key concerns shared by Milton staff was identifying the purpose of the document management system. Based on the analysis conducted, the L-ICMA team recommends that the primary purpose of the document management system be records management with the goals of providing easy access to

documents for City staff and electronic storage of records for disaster recovery purposes.

- **System Interfacing** – One of the core tenants of the organizational culture at Milton is efficiency. It is important to make sure that any software system that is implemented has the capacity to interface well with existing software systems to avoid duplication of efforts. Many document management systems in the market already have the capability to interface seamlessly with the software programs currently utilized by Milton.
- **System Maintenance** – System maintenance should be a key consideration during the selection and initial set up of any software system. Developing a maintenance strategy early will help ensure the accuracy, accessibility, and reliability of the system into the future.
- **Operability and Ease of Use** – OptiView is generally regarded to be difficult to use and searches for documents within the system rarely return accurate results. A new document management system should be selected and system guidelines should be created with the end user in mind. It is important to ensure that the system is highly adaptable and creates efficiencies by automating many of the routine tasks within the system.
- **Security** – Proper document security is critical to the success of any kind of document management solution. The bottom line is that any file can be effectively screened to ensure that confidential information stays confidential. The reality is that electronic records systems have superior data integrity due to access controls, as well the ability to duplicate all records to a tape backup and finally the solution can accomplish all of this without sacrificing an individual's ability to search for and access the information.
- **System and Retention Training** – A great records management system should not require extensive training; the system should be simple to use and should become second nature to its users. However, for users to become familiar and, perhaps more importantly, comfortable with the system an initial on-site training or web-based walk-through is recommended. Training should go a step further and offer best practices, updates, and tutorials to users on a frequent basis. From a framework perspective, an annual training seminar, done at the same time each year, can greatly assist in the acceptance and overall utility of the system. While initial training can be done in conjunction with the software vendor, there are cost savings to be realized from training new users internally. Team L-ICMA has concluded that the best practice for document retention is to follow the State of Georgia's Retention Schedule and to set auto-delete dates for those recommendations with the system software. By doing so,

the City will be following statutes and recommendations by the state and will be keeping the system footprint to a minimum.

- **Transparency** – Nearly all solutions will have internal transparency – accessibility of documents between departments is a principal reason organizations make the move to electronic records solutions. External solutions are available through several products, and most often take the form of a web “portal” where external users can search for certain files.

Based on the recommendations and guidelines provided in this report, the next step for Milton staff is to develop an implementation plan. A sample RFP and Integration Schedule are provided in the appendixes of this report to assist with this process.

## II. Introduction

### a. Meet the Team

Leadership ICMA is a two-year program designed to help local government leaders build their skill sets in key areas, including leadership, ethics and integrity, analytical skills, strategic planning, community building, and organizational effectiveness. As part of the final phase of the program, Leadership ICMA participants serve as consultants for communities to help address a local challenge.

Meredith Hauck served as the Team Leader and Point of Contact. Meredith currently serves as the Director of Administration for the City of Riverside, Missouri. Her responsibilities include human resources, community relations, and parks and recreation, in addition to overseeing the general administrative operations of the city. Meredith is a graduate of the University of Kansas, where she received both her Bachelor's degree in Journalism and Master's degree in Public Administration.

Matt McCombs is the Assistant to the City Manager and Assistant City Secretary for the Town of Addison, which is just north of Dallas, Texas. He is the immediate past president of the Urban Management Assistants of North Texas and serves on various leadership advisory boards for the University of North Texas, where he received both in Bachelor's and Master's Degree in Public Administration.

Ryan Eggleston is currently the Township Manager of South Fayette, a growing suburb of Pittsburgh in Western Pennsylvania. Ryan is an alumnus of Syracuse University where he received his Bachelor's degree in History and Political Science, and received his Master's in Public Administration from Gannon University. He now sits on the Executive Board of the Association of Pennsylvania Municipal Managers and volunteers on the ICMA International Committee.

C. Seth Sumner is the Assistant City Manager at Savannah, Tennessee, filling a 20 year vacancy in the position. Seth received his Master's in Public Administration in 2009 from the University of Tennessee, was previously the City Manager at Clifton, Tennessee, serves on the Tennessee City Managers Association's Board of Directors, is serving a three year term on The University of Tennessee's Municipal Technical Advisory Service's Advisory Committee, and is a Certified Municipal Finance Officer, adjunct professor, and published author among other honors.

#### **b. Scope of Work**

The L-ICMA team was engaged to develop a holistic records management program for the City of Milton that involves:

- Conducting an in-depth analysis of the current records management system, including determining current city records management policies and practices; considering IT data storage capacity and physical storage capacity; and reviewing current state records management regulations
- Identifying best practices from both governmental and businesses entities as they relate to the challenges and opportunities identified within the City of Milton
- Creating a strategic implementation plan to guide city staff in moving forward with the next steps in this program

#### **c. Methodology**

The L-ICMA team utilized on-site meetings with City of Milton staff to conduct an assessment of the current state of Milton's records management system. Each city department provided an overview of how their department utilized the current records management system, identified challenges they faced with the system, and discussed opportunities and concerns related to transitioning to a new system. The team also performed an analysis of best practices in document management, focusing specifically on government entities, hospitals, and school districts. This research produced the findings detailed in this report, along with implementation recommendations to assist Milton staff as they move forward with this project.

#### **d. Limitations**

During the on-site meetings, at least two departments expressed their desire to have a one-touch GIS system that would incorporate document management. The L-ICMA team only minimally researched this topic, but was able to find a handful of informed resources for recommendation to the City of Milton to pursue either on their own, or as part of a new project. The team did consider this as an opportunity for the future;

however it was determined to be outside of the scope of this project and cannot be addressed in-depth at this time.

The questions staff raised about incorporating a GIS system appears to be a forward way of thinking about this technology and its use. Very few communities seem to have any experience with such data incorporation and openness; yet, there is at least a conversation taking place in limited areas. Research on this topic further than what we are able to provide in this project can be found via the following web links:

- <http://www.slideshare.net/smartsities/using-gis-for-better-eservices-smart-cities>
- <http://www.esri.com/library/brochures/pdfs/gis-tech-for-landrecords.pdf>
- [http://icma.org/en/Article/102418/Using\\_GIS\\_to\\_Enhance\\_Public\\_Engagement\\_\\_in\\_Auburn\\_AL](http://icma.org/en/Article/102418/Using_GIS_to_Enhance_Public_Engagement__in_Auburn_AL)

#### **e. City of Milton's Current Records Management System**

##### *i. Current Software*

The City of Milton currently utilizes the Optiview system an electronic repository for records. This software was an integral part in Milton's first attempt to create a holistic document management system. The intent was that staff would scan their documents into Optiview and it would serve as an electronic repository for records and assist the City in moving towards a paperless environment. As the City has grown and progressed, it has become apparent that the software is not functioning in that capacity and is actually creating more issues than it is solving.

During the L-ICMA's onsite meetings with City department, several issues with Optiview were identified:

- Optiview is perceived as unreliable – searches within Optiview rarely produce the documents staff members are looking for even though keywords are attached to the individual documents. In addition, documents have also been inadvertently deleted from within the system. Staff lack of trust in the system is the number one barrier to utilizing this program.
- Optiview cannot handle oversized plans – the file size is too large for the system so it is difficult for Optiview to serve as a solution for departments that regularly deal with a variety of plan sets.
- Optiview requires a key word to be attached to all documents – staff perceives having to assign keywords to the documents as additional work and a barrier for utilizing the system. Full-text search of documents is available within Optiview, but only if the file is saved as a TIFF. Most

departments do not know this functionality is available because they drag and drop PDF files into the system.

- Optiview has a static filing structure – only the administrator can create folders within Optiview so departments cannot easily create a file structure that works well for their department. Many staff members expressed a desire to have more files and be able to add and change files as they process their documents.
- Optiview does not interface with other software systems – many departments utilize other software systems to manage their day-to-day operations. Since Optiview does not interface with this system, staff feels like inputting documents into the Optiview system creates additional workload and does not enhance the service they are able to provide. This is a key contributing factor to the backlog of documents to be scanned into the system.

ii. *System Purpose*

A common theme during the discovery phase was identifying the purpose of creating a document management system. Two important components of any document management system are the ability to process active documents and the ability to store records. Active documents should be available to the user in their native format and retain the ability to be edited as needed. Records are documents that have been set aside and are no longer operational. Based on the initial analysis done with the City of Milton, we believe more work needs to be done to identify how to integrate active documents from a variety of software programs into the one-touch system desired by staff. Therefore, the L-ICMA team proposes moving towards a solution that offers total integration in a phased approach.

The first phase of the system would be records management, with the goals of:

- Providing easy access to documents for City staff – both within and across departments
- Electronic storage of records for disaster recovery purposes

The second phase of the project would be to interface existing software systems into the overarching document management system. Laying the foundation for this type of interfacing in the first phase of the project is discussed later in this report. Many document management systems are built on the enterprise content management (ECM) approach and easily allow both phases of this project to be integrated into one system.



While City departments expressed openness to utilizing Optiview or a new document management program, conversations with key staff revealed confusion about the purpose of the project. Optiview has been described as a key measure for both assisting with disaster recovery and reducing the amount of paper generated within the City. Staff want clarification on whether they should view the document management system as simply a repository for documents that allows for easy electronic access and disaster recovery, or as an interactive system that would allow both internal and external audiences the ability to access key city documents and that would enhance the features of the software systems already utilized by departments. Clarifying the intent of the document management system will help set the correct expectations for the system and assist staff with determining how it should be implemented and managed within their department.

iii. *Records Retention*

Although the current records management team at the City of Milton has made efforts to train department liaisons in records retention schedules by providing one-on-one training sessions and reference binders, many staff members are unsure of the records retention guidelines that apply to the records in their departments. While some departments are addressing this ambiguity by keeping everything they think might be important, other departments are potentially not keeping enough. Staff requested additional training and resources in this area to help them learn how to better manage their own records.

Another question that came up regularly is about who “owns” the documents – is the department that made the purchase responsible for scanning the invoice or is finance responsible for scanning the invoice? Is the department who manages the contract responsible for scanning the contract or is the City Clerk responsible for scanning the contract? Identifying which department is responsible for retaining different types of documents would provide much needed guidance and assist with avoiding duplicate scanning as a new system is implemented.

**f. Challenges and Opportunities to Consider When Transitioning to a New System**

During the conversations with Milton staff, they expressed many concerns about transitioning to a new document management system.

- Is it possible to go paperless?
- What is the intent of the document management system?

- Who is responsible for making sure documents get into the system and maintaining the system moving forward?
- How can staff avoid duplicating work that is already being done in another system?
- How will oversized plans be handled?
- Will electronic records be destroyed or retained indefinitely?
- How will native electronic files be inputted into the system?

A number of opportunities were discussed as well:

- Ensuring the new system interfaces with current department software to avoid duplication.
- Switching to electronic plans to help retain records and assist with going paperless in the field.
- Allowing the public to access some documents in the system to create additional transparency.
- Utilizing individuals who have community service hours for court to help scan into the system.

These challenges and opportunities will serve as the basis for the key system components and best practices discussed later in this report and serve as a foundation for the proposed implementation plan as well.

### III. Findings

#### a. Case Study

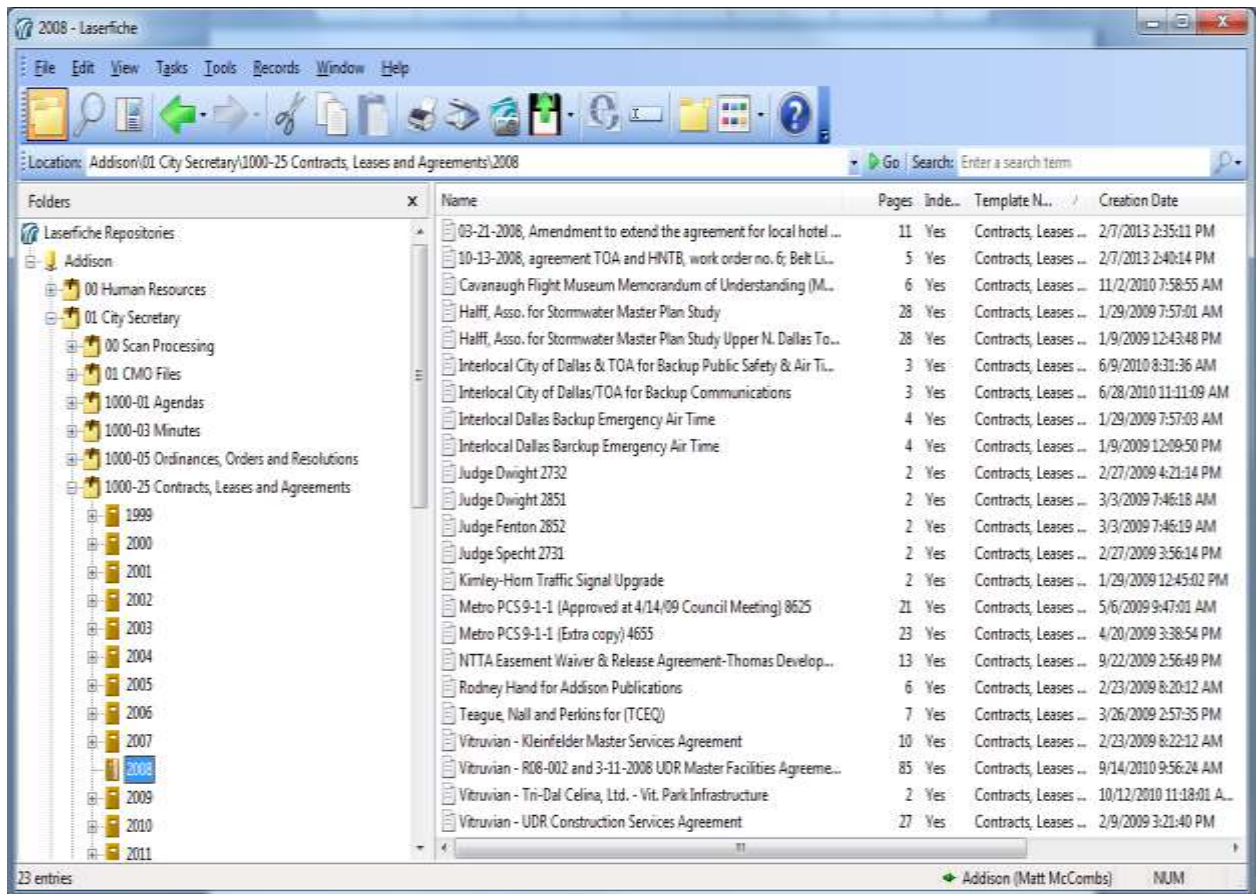
##### i. Statement of Qualification

The L-ICMA team chose to use the Town of Addison, Texas as a case study on this project because of the team's knowledge of the town and the similarities between Milton, Georgia and Addison, Texas; both municipalities have smaller, lean governing organizations with an emphasis on contracted services, streamlined service delivery, and superior customer service. Innovation and embracing best practices are organizational imperatives for both municipalities. General fund revenues and expenditures are comparable, and both carry high levels of fund balance. The Town of Addison has accomplished the goals of a comprehensive records management system that Milton is seeking and the team is using this as an example of best practices and recent success. The team has performed due diligence to find the best fit for Milton.

##### ii. How E-Records Management Works (Town of Addison, TX case study)

Ease of use was, by far, the most common concern among departments. End users accustomed to paper filing systems can be skeptical of what they perceive to be an overly complicated system. The good news is that records management solutions today are designed with a strong orientation to what is

familiar to users. Below is a screen shot of the electronic records management system used by the Town of Addison (Texas).



Note that the format is very similar to a Windows Explorer file tree, and large, user friendly icons are present for common tasks. The disk with the green arrow, for example, is a quick link to exporting a record to a .pdf format. The standard menu bar is available for those used to its functions, as well.

Document management systems are highly adaptable, and can be set up to meet Milton's needs. In the above picture, you can see how Addison has set up its records structure. Each individual record is numbered to correspond to the Texas Library and Archives Commission Master Retention schedule (1000-01 Agendas, 1000-03 Minutes, etc), and further subdivided by the year of the record. The window to the right displays further information, and the exact information displayed can be customized by each user.

Each document is first scanned in to the system, usually through a scanner/copier which has been set up to deliver the file directly into a desired server. Alternatively, an electronic document may be imported using

specialized print function which can be set up by the vendor and Milton's IT department.

Once imported, the file is "tagged" using a pre-made, customizable template. A series of fields are presented to the user to fill in. This lets the program know what kind of record the file is, and where to locate it within the system. Additionally, it is possible to search for these records once they have been filed. In the example below, it would be possible to search all "Contracts, Leases, and Agreements" for dollar amounts "not to exceed \$20,000" to locate the file.

Metadata - Kimley-Horn Traffic Signal Upgrade

Fields Tags Links Versions

**Template:** Contracts, Leases and Agreements

Contract Number

Subject  
Amendment No. 2 to Traffic Signal System Upgrade dated August 10th, 2004, to facilitate the construction of the traffic management system.

Departments  
Public Works

Contractor/Vendor  
Kimley-Horn and Associates. Inc.

Dollar Amount  
Not to exceed \$20,000

Approved by Council  
11/25/2008

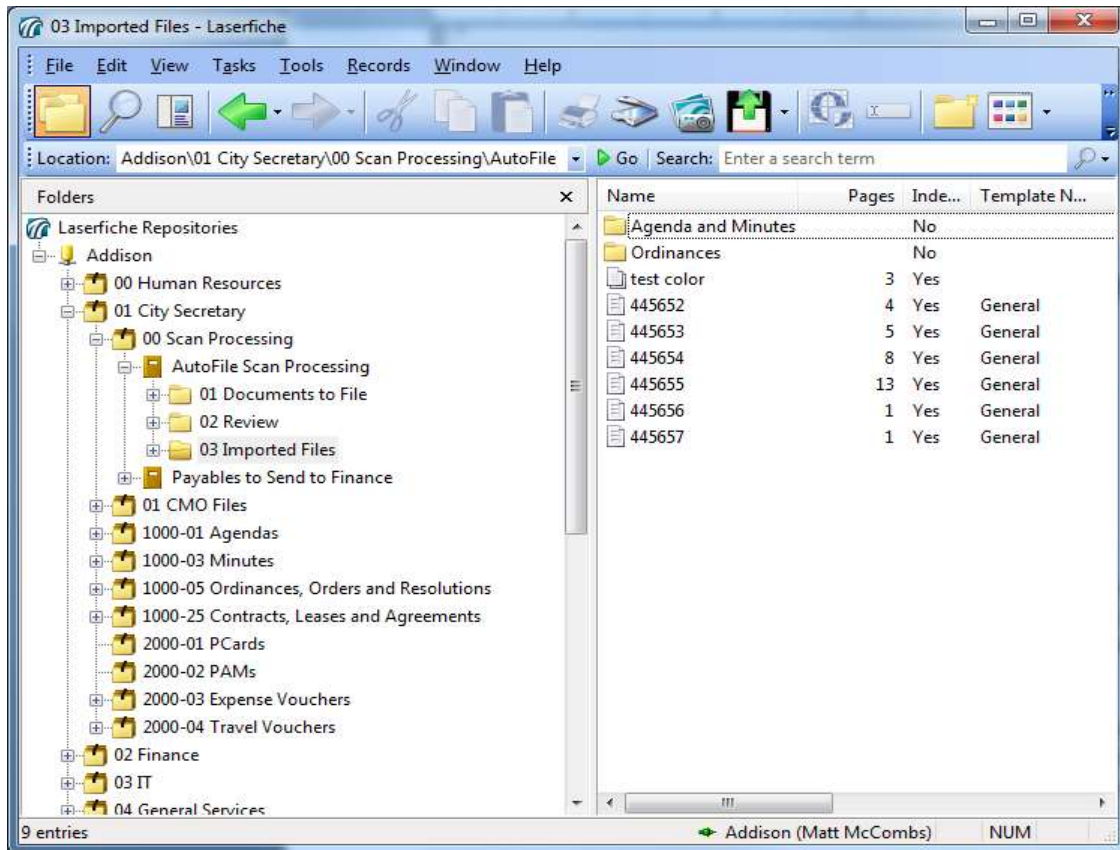
Contract Date  
11/18/2008

End of Contract Date  
11/18/2009

OK Cancel Help

Finally, once the document has been scanned and tagged, all that remains is to file the record within the system. Different systems have different methods of doing this, but the solution used by the Town of Addison is called an "auto-filer." In the picture below, all that would need to be done is to click and drag

records in the right box to the “01 Documents to File” folder on the left. That signals to the software that the record is ready to be filed, and will automatically be placed into the correct folder based on the information entered in the template.



## b. Operability and Ease of Use

- i. In nearly every interview with staff, team L-ICMA heard “ease of use” over and over again as the top concern. During our conversations, we were able to establish that records requests from citizens are minimal, with about 125 received per year. Staff also suggested record management software that allows interdepartmental use and communication is a priority; part of that conversation also included interoperability between current departmental software systems.

A great records management system should be efficient, natural to use, and safe. Users should understand why the system is being used and how best to use it. A key component of “ease of use” is how easily a user can find what they are looking for. A system that uses Optical Character Recognition or

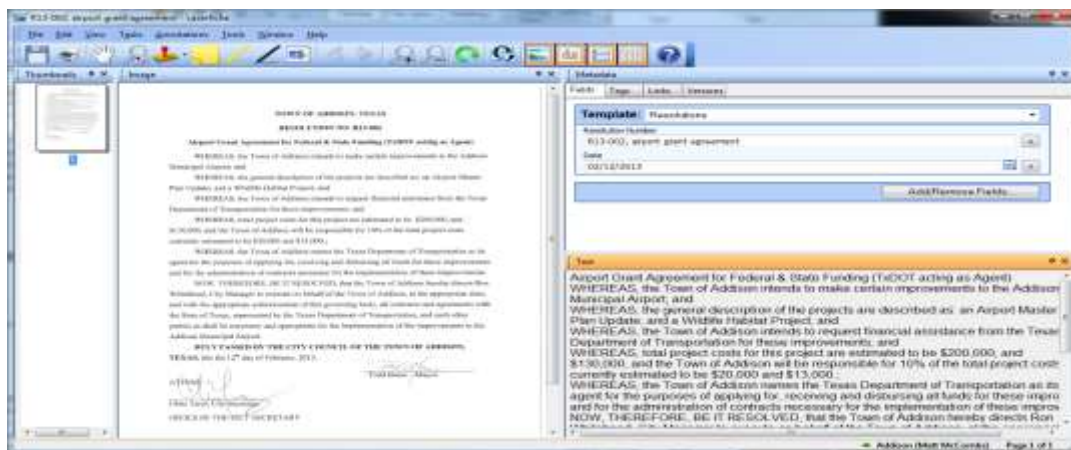


similar technology that can find any words in a scanned document and retrieve it will be pertinent to the operability and acceptance of a records management system by staff.

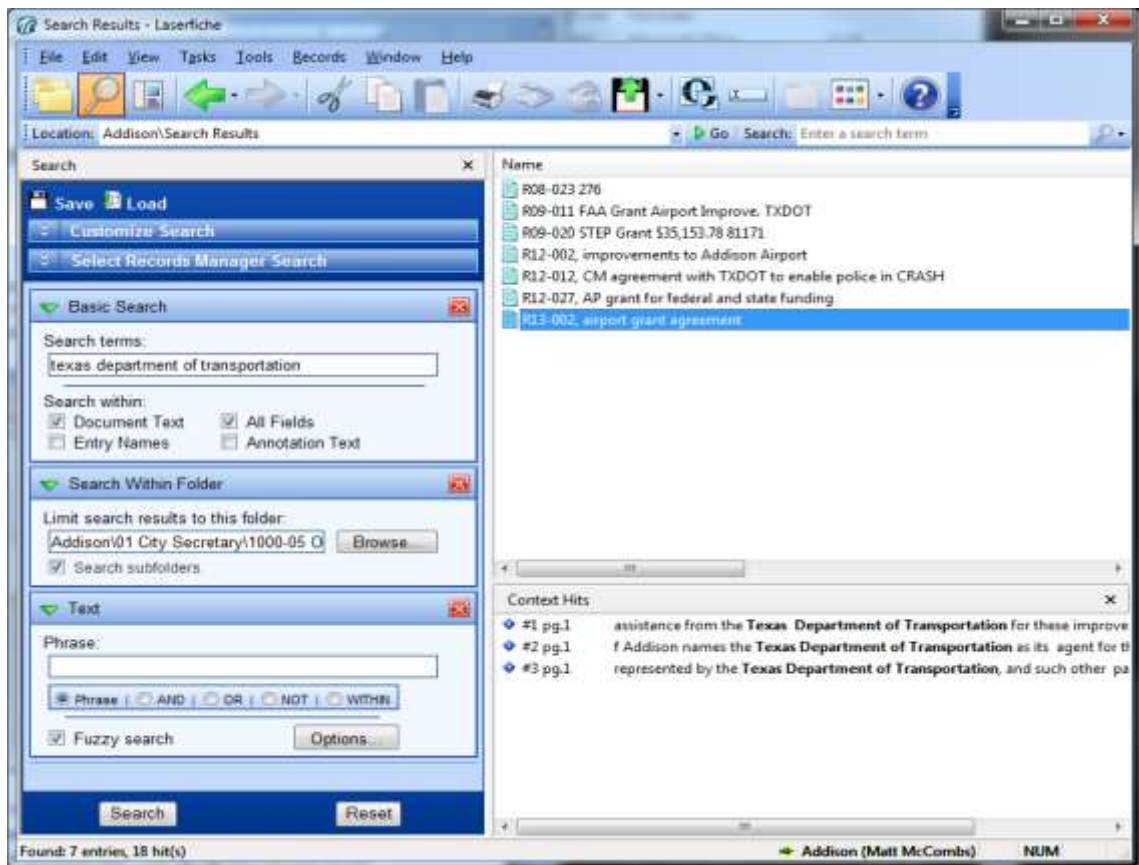
- ii. An area of concern for City staff was the accessibility of records. Several departments indicated either skepticism or confusion on how easy or simple it would be to locate and retrieve information.

Once records have been scanned, tagged, and filed away, several software solutions offer a program called Optical Character Recognition (or OCR). OCR will scan the document and automatically generate text for the document. This is important because files are saved as images, and not as word or character based files like those found in Adobe Acrobat or Microsoft Word. OCR allows a user to search for a file, even if they are unsure of the title, date of archival, or type of record.

Below is a screenshot of a records file in Addison's e-records solution. The left pane contains thumbnail images of each page of the record. The middle pane is the image of the record. The top right pane contains the file labels, and the bottom right contains the searchable text generated by OCR.



If a user wanted to search for this file, but only knew it had something to do with the Texas Department of Transportation, they could simply enter “Texas Department of Transportation” into a search box. The image below displays the results from a simple search of archived files. The highlighted file links to the above image. The “context hits” in the bottom right shows the search “hit” in context.



### Automatic Records Destruction

Another excellent feature present in many e-records solutions today is the ability to automatically purge records as they meet retention thresholds. This tool is usually accessed by system administrators, and allows specific kinds of files to be purged based on data contained in the record “labels.”

For example, if a contract was dated 6/18/2013, and record retention for that contract was 3 years from contract execution, it would be possible to set up a rule within the system to automatically purge the file on 6/19/2016. Addison’s solution also has the ability to generate an electronic records destruction “summary” to send to relevant users within the organization. The choice whether to utilize the automatic destruction function or to keep the records for an indefinite period can be decided by the municipality depending on what option works best for Milton.

### Back Scanning

Some records personnel indicated that there were certain records which have considerable backlogs of files to be scanned in, and these individuals were unsure if they had sufficient staff resources to bring everything up to date. A

staff suggestion to address the problem was to possibly use community or volunteer services to assist with the process. While this may be a compelling alternative if no funding is available, entry errors can be common with volunteers, particularly if they are not closely supervised. Staff can end up spending more time locating and fixing mistakes than if they had simply done the work themselves.

A possible alternative for this situation would be to consider leveraging a private company to assist with the process. Firms exist which specialize in document scanning and archival, and boast dramatically more efficient processing rates. These businesses are accustomed to working with even the most sensitive of records; the company Addison uses also has a contract with the National Security Agency, and maintains a top-secret clearance specifically for these kinds of projects.

Prices for this solution widely vary, but have been consistently lower than the costs of either adding positions or authorizing overtime.

### **c. Security**

Proper document security is critical to the success of any kind of document management solution. Some documents may be confidential, or contain private information, such as credit card data, bank account numbers, police reports, or social security numbers. Any solution will need the ability to screen off this data so that only authorized personnel can even view it, much less modify or export the data.

Many e-records software clients come equipped with document filters to control access to certain files. An administrative user may select who may access which record set, who may export those records, or otherwise manipulate the contents of any file. Most files at the Town of Addison are set to be readable (and exportable) by any user in the system, but only modified by the department which generated them. For example, purchase orders and billing receipts may be accessed by anyone in the organization, but those files can only be changed or deleted by the Finance Department.

This functionality can be broadly applied at the folder level, or applied specifically to certain types of files. The bottom line is that any file can be effectively screened to ensure that confidential information stays confidential. However, it is the L-ICMA team's recommendation that only files which have actual confidentiality requirements be screened. If non-confidential documents are screened, the overall utility of the system is negatively impacted. As a general rule, the more files users can access through an e-record solution, the more often it will be used.



Another common security concern is the integrity of the data. Users accustomed to the “dependability” of paper records may be reluctant to trust an electronic medium to do so. Once scanned, there is a feeling like the paper copy must be maintained in case the software fails.

While it is possible that electronic records can be deleted or otherwise lost, the same is true of paper records. Even if a physical copy is kept under lock and key, it can still be misplaced, lost, or damaged. The reality is that electronic records systems have superior data integrity due to access controls, as well the ability to duplicate all records to a tape backup (which, in Addison’s case, is stored offsite in a secure location), and the solution can accomplish all of this without sacrificing an individual’s ability to search for and access the information.

#### **d. System and Retention Training**

- i. A great records management system should not require extensive training; the system should be simple to use and should become second nature to its users however, for users to become familiar and, perhaps more importantly, comfortable with the system an initial on-site training or web-based walk-through is recommended. Training should go a step further and offer best practices, updates, and tutorials to users on a frequent basis.

Technical support should be available whenever needed by the client. On-going training and tips by the system provider will add value to staff’s experiences and aid in developing buy-in, as well as increase efficiencies in records management.

Team L-ICMA has concluded that the best practice for document retention is to follow the State of Georgia’s Retention Schedule and to set auto-delete dates for those recommendations with the system software. By doing so, the City will be following statutes and recommendations by the state and will be keeping the system footprint to a minimum.

- ii. Software training is industry-standard for most Records Management Solution vendors today. In Addison’s case, Laserfiche provided training for a set number of “seed” users who would, in turn, train all other users in the organization. Administrative and client-side support is available at a negotiated rate after system roll-out.

From a framework perspective, an annual training seminar, done at the same time each year, can greatly assist in the acceptance and overall utility of the system. While initial training can be done in conjunction with the software vendor, there are cost savings to be realized from training new users internally.

Through an annual seminar, new employees have a chance to learn first-hand tips and tricks from veteran users. Changes to retention schedules can be communicated by the Records Manager, and software updates can be presented by IT personnel. Perhaps most importantly, the organizational culture of electronic records is routinely transmitted between all users, thereby promoting overall sustainability of the solution.

#### **e. Interfacing**

- i. While creating a one-touch system is not the primary focus of this project, it is important to note that it is possible to lay the foundation for future interfacing with GIS and other software within the document management system. Most document management systems will provide features that automatically OCR (optical character recognition) documents allowing for a full-text search without assigning keywords. While this is the easiest way to quickly get documents into the system, the L-ICMA Team recommends continuing the current practice of assigning keywords or template fields to documents to lay the groundwork for interfacing in the future. For example, filling in the parcel number as a keyword or template field for all planning documents will allow for those documents to be easily pulled by that number in the current system and in the future. Departments should consider common identifiers that are used within their departments and use that as a foundation when determining naming conventions and template fields as the document management system is implemented.

Many document management systems in the market place have created interfaces for common software used within the public sector, such as Granicus and Tyler Technologies solutions. We recommend including a list of software systems that the City of Milton would like to see future integration with as part of the RFP to allow potential document management software companies to identify current interfaces that exist.

- ii. Modern applications are beginning to be designed with records management software in mind. Some have the ability to directly interface with a centralized records database. In the worst case, physical outputs can be simply scanned or “printed” into the records solution.

Advanced systems integration, if desired, would need to be discussed with prospective vendors, possibly in the solicitation phase on an RFP.

**f. System Maintenance**

- i. While developing a document management system is an important first step, equally as important is deciding how the system will be maintained in the future. Identifying the maintenance strategy early in the process is a critical component to help ensure the accuracy, accessibility, and reliability of the system.

As the Milton staff begins the development process, here are some key considerations in developing a maintenance strategy:

- Develop written policies and procedures to help define normal operations for the development and maintenance of the system by each department.
- Provide training and support for key staff members to ensure the policies and procedures are understood and properly implemented.
- Develop and utilize system controls within the document management software to ensure quality and reliability of records. Many programs offer audit trail components to assist with this.
- Conduct routine tests of system performance.
- Routinely test and document the reliability of the hardware and software. Hardware and software manufacturers should provide recommended testing guidelines and be available to assist with developing a testing plan.
- Establish systematic procedures for the input and output of documents to ensure accuracy and timeliness.
- Create and maintain a comprehensive system document that captures all aspects of the system, including design, implementation, maintenance and oversight.

*(Adapted from the Kansas Electronics Records Management Guidelines)*

As mentioned elsewhere in this report, properly maintaining a document management system includes following records retention guidelines and destroying records in accordance with such. Records that need to be maintained long-term will require on-going maintenance to ensure they remain accessible in the future. There are two ways to address this challenge. The first is to preserve the original software or hardware. The second is to convert the documents into an open file format and continually migrate the files to new technology. While many state archives recommend doing both, preserving files in an open format may be more easily achieved. Consider storing these files on magnetic computer tape or an optical disk off site, and developing a standard schedule for moving the files to new tape or disk.

- ii. Generally speaking, the initial setup and integration of e-records management solutions is a joint effort between the vendor and the information technology department. Once the system is operational, periodic system patches and firmware upgrades for scanning equipment is likely.

In terms of ongoing staff-directed maintenance, it is strongly suggested that all departments assist the IT department by providing feedback on issues, file structure, and system optimization requests

**g. Transparency – Internal and External**

Nearly all solutions will have internal transparency – accessibility of documents between departments is a principal reason organizations make the move to electronic records solutions. External solutions are available through several products, and most often take the form of a web “portal” where external users can search for certain files. Addison does not currently offer this feature. However, a neighboring city recently went live with agendas, minutes, and ordinances for the past three years to address an influx of public information requests, and has had some degree of success in reducing overall volume of these requests.

#### **IV. Conclusion**

After visiting with Milton personnel on March 18-19, several concerns emerged. Generally, these centered on perceived reliability issues and ease of use for the e-document management solution, as well as trepidation with wholesale process integration with existing practices. Fortunately, many of these questions can easily be addressed through components of various software solutions.

L-ICMA team members are most familiar with Laserfiche, and there may be several examples which use Laserfiche as a reference point. Please be advised; however, that other document management systems exist which may or may not be a closer fit to Milton’s needs. Also, purchasing law may present vendor selection issues, as purchasing law in Georgia may trigger sealed bid requirements if the expected cost exceeds \$25,000. The issues and corresponding answers below are worded without reference to specific products wherever possible.

It is the L-ICMA team’s recommendation that project owners spend some time resolving these concerns prior to obtaining a software solution. As noted in meetings with executive management, it is important that all records personnel are “on the same page” with regard to features, processes, and expectations.

Also, it can be tempting to begin electronic records management solution, and hold on to physical copies “just in case” the system fails. While certainly understandable, it is important to realize that parallel processes invariably results in a duplication of work. As the perception of work duplication was another prime concern of departmental personnel, it is advisable to make a clean break and fully commit to digital records when the transition to a new digital records system is completed.

The attached Exhibit A outlines an overall framework for integration, including touch points and periodic check-ins to ensure that all departments are communicating, resolving concerns, and proceeding forward in a timely manner.

The attached Exhibit B contains a draft version of an RFP which can be adapted by City of Milton personnel in the acquisition of an electronic records solution.

A reminder to review the latest Georgia State Records Retention Schedule for Local Governments is attached as Exhibit C.

## V. Exhibits A – C

### **Exhibit A: Potential Integration Schedule**

- 1) Receive and accept final report
- 2) Form project development team
  - Include a cross section of departmental users across the town, particularly IT
  - Include records and city management personnel
- 3) Create records management manual
  - Identify documents which are used in the City's operating processes
  - Outline workflow for each document
  - Identify an ultimate records manager for each document
  - Include a copy of retention schedules as appendices for departmental reference
- 4) Identify records managers
  - If the process is centralized, ensure that City ordinances or charter match operating practice
  - If process is decentralized, each department will want to have a point of contact for the management of records
- 5) Draft Records Management RFP
  - Conduct focus testing of desired elements of a records management system with project development team
  - Outline specific components of RFP
- 6) Evaluate and award contract
  - Leverage project development team to review and recommend award of contract to best solution
- 7) Schedule integration with vendor and IT

- Identify staff members of implementation team
  - Meet with awarded vendor to determine integration schedule
  - Coordinate regular meetings to update project status until live
- 8) Schedule training with records management staff
- Identify trainers and trainees
  - Set up an annual training seminar for all records personnel

**Exhibit B – Sample RFP**

**Town of Addison, Texas**

**Request for Proposal (RFP)**

**RFP 08-11 Document Management System**

**Proposals are due by 4:00 PM on May 2<sup>nd</sup>, 2008**



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**FINANCE DEPARTMENT / PURCHASING DIVISION**

5350 Belt Line Road, Post Office Box 9010, Addison, Texas 75001  
(972) 450-7089 – Fax (972) 450-7096

**REQUEST FOR PROPOSALS**

The Town of Addison is accepting proposals from all interested parties for a Document Management System.

Proposal Number: 08-11  
Proposal Name: Document Management System  
Proposals Due: May 2<sup>nd</sup>, 2008 at 4:00 pm  
Office of the Budget and Procurement Manager  
Addison Finance Building  
5350 Belt Line Road  
Addison, TX 75254

Since [DemandStar.com](http://DemandStar.com) maintains the vendor files for the Town of Addison, proposers do not need to notify the Town if they do not intend to submit a proposal for this project. For vendors that would like to be removed from the bidder's list, please notify the Town of Addison in writing.

If you are not a member of DemandStar.com and wish to obtain a free copy of this proposal, you may pick up a copy at the Purchasing Division, 5350 Belt Line Road, Dallas, TX 75254 or by contacting Matt McCombs, Management Analyst, at 972-450-7090.

Late proposals will be returned unopened, and unsigned proposals will be rejected as non-responsive.

For questions concerning the bid process, contact Matt McCombs, Management Analyst, at 972-450-7090 or e-mail at [mmcombs@addisontx.gov](mailto:mmcombs@addisontx.gov). For questions concerning the specifications or the work to be performed, contact Hamid Khaleghipour, Information Technology Director, at 972-450-2868 or e-mail at [hkhaleghipour@addisontx.gov](mailto:hkhaleghipour@addisontx.gov).

**TOWN OF ADDISON  
REQUEST FOR PROPOSALS NO. 08-11  
DOCUMENT MANAGEMENT SYSTEM**

**INTENT**

The Town of Addison Information Technology Department is soliciting sealed written proposals from qualified vendors for the implementation of a Document Management system, Records Management system, and an Agenda Management system. Proposer should have adequate prior experience working with local government. For each of the above systems, proposals should include:

- Hardware requirements including storage, scanning stations, and use of existing multifunction copiers
- Software requirements including user and system licensing structures
- Major component feature explanations of each module
- Integration options with Town's existing systems:
  - Harris Enterprise Financial System- Government eManagement Solutions
  - Infosol - Courthouse 2000
  - Tiburon - Record Management
  - Zoll Data Systems - RescueNet
  - ESRI GIS - ArcDesktop
  - RealForms - Online Forms
  - Greenwich Technologies - ESP 2000
- Annual maintenance cost for support and upgrades
- Itemized module cost including Workflow and Web Content Management (if not part of above three systems)
- Rates for scanning of past paper documents (Optional)
- Business process review, implementation, and training itemized costs for the following departments
  - City Manager's Office
  - City Secretary
  - Conference & Theatre
  - Development Services
  - Financial & Strategic Services
  - Fire
  - General Services
  - Human Resources
  - Municipal Court
  - Police
  - Public Works
  - Special Events

**NOTE:**

The proposed system must work with the Town's standard PCs, enterprise server environment and operating systems... The Town uses IBM Lenovo PC's running Windows XP and HP servers running Windows 2000 operating system with McAfee anti-virus and Spyware... Backups are performed with CA's Arcserve backup...



## **CRITERIA FOR PROPOSAL ACCEPTANCE**

The proposals will be evaluated with respect to criteria specifically developed to examine the technical competence and suitability of prospective proposals. The Town will only award the contract to a responsible bidder. In order to qualify as responsible, vendor must meet the following criteria as they relate to this proposal request:

- 1) The successful vendor must have adequate technical and financial resources to ensure satisfactory performance.
- 2) The successful vendor must have the necessary experience, organization, and technical skill to ensure satisfactory performance.
- 3) The successful vendor must have a satisfactory record of performance in developing and implementing similar jobs.

## **PROPOSAL EVALUATION PROCESS**

Proposals will be evaluated using the following weighted criteria:

### **MAXIMUM PROPOSAL GRADE IS 100 POINTS**

#### **50 Points:**

Total cost, which considers both initial acquisition and ongoing operating costs

#### **20 Points:**

Integration to aforementioned systems

#### **20 Points:**

Vendor's ability to support our users' needs (Qualifications of the Vendor's staff).

Results of reference checks (Vendor's reputation).

Level, quality, and type of client training and technical assistance provided.

#### **10 Points:**

Ability of hardware/software to meet our requirements,

Ease of use and operation of the system.

## **VENDOR PROPOSAL EVALUATION MEETINGS**

Discussions may be conducted with vendors to clarify the Town's requirements and the vendor's proposals.

## **AWARD**

Award shall be made to the responsible vendor whose proposal is determined to be the most advantageous to the Town taking into consideration the criteria for proposal acceptance and the proposal evaluation composite score.

Once awarded by Council, the contract will be good for 6 months from award date to proceed with work.

## **CONTRACT TERM**

Negotiations may be undertaken with those contractors whose proposals, as to price and other factors, demonstrate them to be qualified, responsible, and capable of performing the work. The contract selected will be the one most advantageous to the Town of Addison, cost and other factors considered. The Town reserves the right to consider proposals or modifications thereof received at any time before an award is made, if such action will be in the best interest of the Town.

The contents of the proposal by the successful agency shall become contractual obligations if a contract ensues. Failure of the successful contractor to accept these obligations may result in cancellation of the award.

## **TIMELINE**

- RFP Released April 4<sup>th</sup>, 2008
- Pre-bid Meeting April 25<sup>th</sup>, 2008
  - Pre-bid meeting will begin at 10:00 a.m. at the Addison Service Center, 16801 Westgrove Dr. **Attendance is mandatory. Proposers that do not attend will be disqualified.**
- Proposals Due at 4:00 p.m. May 2<sup>nd</sup>, 2008

## **PROPOSAL FORMAT**

To assure consistency, proposals must conform to the following format:

### **1) Table of Contents**

### **2) Introduction**

This section should contain your understanding of the Town's needs and objectives.

### **3) Descriptive Literature**

Provide complete descriptive literature for each item. Bidder is cautioned that any product delivered which does not meet specifications in every aspect will not be accepted.

### **4) Vendor Questionnaire**

Complete the vendor questionnaire (Form 1). All questions must be answered.

### **5) References**

This section (Form 2) shall contain names of at least five organizations, most preferable local governmental entities for which you have provided this service. Please include organization name, address, telephone number and contact person.

**6) Fee Structure**

Provide a fee schedule for your services. This schedule should include a description of the following products and services; hardware, software, implementation, installation, configuration, training, documentation, licensing per concurrent user, SQL standard server license, and project management.

**7) Contract**

Enclose a copy of your standard contract. Indicate any clause(s) that are conditional or non-negotiable.

## **SPECIFICATIONS FOR RFP 08-11 DOCUMENT MANAGEMENT SYSTEM**

Please address each requirement in proposal:

### **1. All Systems**

- a. Easy to use intuitive interface
- b. Security tied into Microsoft Active Directory controlling what users can do and see based on profile given. This would include the ability to grant or deny permissions to see redactions.
- c. Explanation of implementation plan including process reviews with departments
- d. Logging of each document's history including workflow audit tracking
- e. Easy to find documents needed based on full text search or indexed methods
- f. Security Audit trail logging and reporting
- g. Should be scalable for all departments
- h. Ability to use a web client interface for most functions

### **2. Document Management**

- a. Ease of use in scanning/importing documents into system including use of bar codes
- b. Ability to use existing copier multifunction systems to scan documents in addition to having scanning stations
- c. Must support multiple scanning stations
- d. Ability to perform image adjustments on scanned documents
- e. Auto-indexing of scanned/imported documents
- f. Ability to batch process scanned documents
- g. Easily cross reference documents based on keywords
- h. Full-text indexing of all captured documents and zonal OCR
- i. Ability to perform full-text search on entire database
- j. Ability to perform custom queried searches
- k. Search results should highlight term in returned documents
- l. Ability to use templates to distinguish document types and associate metadata for indexing
- m. Ability to annotate, highlight, and redact without changing original document
- n. Ability to easily print, fax, or email documents. Emailed documents should have option of using PDF format.
- o. Integration with Microsoft Office to where documents can be imported directly
- p. Documents should be stored in non-proprietary formats
- q. Users should be able to access the same document at the same time
- r. Ability to rename and reorganize documents
- s. Ability to import documents from Windows Explorer

### **3. Records Management**

- a. Explanation of retention schedules
- b. Configurable retention schedules with triggering events
- c. Meets DOD standard guidelines for records retention certification
- d. Ability to manage physical records as well as scanned documents
- e. System is fully integrated with document management and imaging



**4. Agenda Management**

- a. Ability to easily post to public web site
- b. Ease of use in item submissions, approvals, and distributions
- c. Ability to setup workflows to meet needs including email notification
- d. Ability to edit, reorder, publish and reassign items
- e. Ability to record votes, motions, and actions taken for minutes creation

## INSTRUCTIONS TO PROPOSERS

### 1.0 RECEIPT AND PREPARATION OF THE PROPOSAL

- 1.1 **Two (2) copies** of a sealed proposal should be delivered to the Purchasing Division in the Finance Building of the Town of Addison located at 5350 Belt Line Rd., Addison, TX 75240 by 4:00 p.m., May 2nd, 2008. Proposals must be received by the specified time in order to be considered, and proposals submitted after this closing time will not be considered and will be returned unopened.
- 1.2 Each proposal shall be enclosed in a sealed envelope, addressed to the Budget and Procurement Manager, Town of Addison, P.O. Box 9010, Addison, Texas, 75001. Proposals must be labeled in the lower left-hand corner with the Proposal Number and Name (RFP 08-11 Document Management System). Proposers must also include their company name and address on the outside of the envelope. **In addition, proposers should include a copy of the proposal in digital format.**
- 1.3 Proposers are responsible for making certain proposals are delivered to the Purchasing Division. Mailing of a proposal does not insure that the proposal will be delivered on time or delivered at all. If proposer does not hand deliver the proposal, it is suggested that he/she use some sort of delivery service that provides a receipt.
- 1.4 Proposals may be withdrawn prior to the above scheduled time set for closing of the proposals. Any proposal received after the time and date specified shall not be considered.
- 1.5 The Town reserves the right to request additional information or to meet with proposers to discuss points in the proposal before and after submission, any and all of which may be used in forming a recommendation.
- 1.6 The Town reserves the right to reject any all proposals, to waive any non-material irregularities in any RFP, and to accept or reject any item or combination of items. The Town of Addison reserves the right to postpone the date and time for sealed proposals through an addendum.

### 2.0 ADDENDA AND EXPLANATIONS

- 2.1 Proposers having any questions regarding the true meaning of the specifications or terms and conditions shall submit these questions to the Budget and Procurement Manager. Any and all interpretations or supplemental instructions, which, if issued, will be posted on the Town's website, e-mail and faxed to all prospective proposers. A copy of all addenda issued must be signed and returned with your bid.

### **3.0 TAXES**

- 3.1 All proposals are required to be submitted without State Sales tax. The Town of Addison is exempt from payment of such taxes and a Tax Exemption Certificate will be executed for the successful bidder.

### **4.0 SCOPE OF WORK**

- 4.1 The work under this contract shall consist of the items or services contained in the proposal, including all materials, equipment, labor and all other items necessary to complete said work in accordance with the contract documents.

### **5.0 EXAMINATION OF CONTRACT DOCUMENTS**

- 5.1 Before submitting a proposal, each proposer must thoroughly examine the contract documents to ensure that the services you are proposing meet the intent of these specifications.
- 5.2 The Town of Addison is not responsible for incomplete bid packets.
- 5.3 Proposers are instructed to return all pages of the proposal packet that contain written responses.

### **6.0 BIDDING**

- 6.1 Proposers are instructed to consider the following factors in preparation of your proposal:
- a. Proposals shall remain firm for a period of 45 calendar days after the scheduled bid opening.
  - b. Exceptions to any specifications, or part thereof, must be clearly stated and included with your Proposal Form.
  - c. Proposers are instructed to include all necessary charges, related to this contract.
  - d. All costs incurred in responding to the RFP shall be the responsibility of the entity submitting the proposal.
  - e. The contract will be governed by the laws of the State of Texas. Venue shall be exclusively in Dallas County.
- 6.2 Proposers shall mark any information, which is a trade secret or confidential, as "CONFIDENTIAL" on each page. Pricing of goods and services is not considered as confidential information. Proposals shall be opened so as to avoid disclosure of contents to competing proposers. The contents will not be disclosed during the process of evaluation, revision, and negotiation. All proposals shall be open to the public after contract award, except for information marked "confidential."

### **7.0 AWARD OF CONTRACT**

- 7.1 The Town of Addison reserves the right to reject any or all proposal, reject any particular item on a proposal and to waive immaterial formalities. The contract will be awarded to the lowest responsible proposer whose proposal is most advantageous to the city, price and other factors considered.
- 7.2 Award will be based upon an analysis of the following criteria: Bidders ability to produce the goods or services requested, performance on similar contracts, and an evaluation of the bidder's understanding of the purchaser's needs. To demonstrate bidder's qualifications to perform the work, each bidder must submit with their bid, five (5) customer references for similar projects, including name of customer, telephone number and individual to contact.
- 7.3 The anticipated start date is as soon as practical after the bid is awarded.

## **8.0 NON DISCRIMINATION POLICY**

- 8.1 It is the policy of the Town of Addison to afford all people an equal opportunity to bid or propose on any contract being let by the Town.
- 8.2 The Town of Addison has a policy that prohibits discrimination against any person because of race, color, sex, or national origin, in the award or performance of any contract.
- 8.3 The Town of Addison will require its employees, agents, and contractors to adhere to this policy.

**FORM-1****VENDOR QUESTIONNAIRE**

1. How many installations, similar to the one asked for in this RFP, have been made or installed by you? \_\_\_\_\_
2. What part of the work will you sub-contract, if any?
3. Explain your policy on service and repairs and guaranteed response times or how many hours it takes to resolve 95% and 100% of your service/repair requests.

Policy and guaranteed response:

**OR**

<u>Type of repair or service</u>	<u>95%</u>	<u>100%</u>
Routine and minor	_____	_____
Major	_____	_____
Emergency	_____	_____

4. How long has your company been in business? \_\_\_\_\_ Yrs.

How long has your company been under current/owner/management? \_\_\_\_\_ Yrs.

5. Please list any exceptions to the required features, referring to a particular page, paragraph, etc. Please attach separate sheet (s) of exceptions.

**FORM-2****CUSTOMER REFERENCES**

Please provide names of companies or organizations, phone numbers, and names of contacts of five customers with which you have done business.

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

4. \_\_\_\_\_

5. \_\_\_\_\_

## PROPOSAL CHECKLIST

**The following list should assist in assembling your proposal. It may not be all-inclusive; therefore, you must review the request to make certain your proposal is responsive.**

- \_\_\_\_\_ Have you signed your proposal?
- \_\_\_\_\_ Is the return envelope properly marked?
- \_\_\_\_\_ Are “CONFIDENTIAL” and /or “PROPRIETARY” pages properly marked?
- \_\_\_\_\_ Are you allowing sufficient time for delivery of your proposal?
- \_\_\_\_\_ If any Addenda were issued, is a copy signed and enclosed?
- \_\_\_\_\_ Did you exclude all sales taxes?
- \_\_\_\_\_ Are you returning all pages that have information entered by you?
- \_\_\_\_\_ Do prices quoted by you include all charges?
- \_\_\_\_\_ Have you made an entry in all blank spaces or entered “n/a” for “not applicable”?
- \_\_\_\_\_ Have you included a listing of “exceptions”, if there are any?
- \_\_\_\_\_ Have you initialed all erasure and/or corrections?

**Exhibit C – Local Government Retention Schedules per  
State of Georgia**

**PLEASE SEE THE GEORGIA ARCHIVES  
RETENTION SCHEDULES – NOT  
PRINTED HERE TO CONSERVE SPACE**



## **Retention Schedules**

**For Local Government Paper &  
Electronic Records**



**THE GEORGIA ARCHIVES**

5800 JONESBORO ROAD MORROW, GA 30260 TEL: 404-756-4860 FAX: 678-364-3860 [WWW.GEORGIAARCHIVES.ORG](http://WWW.GEORGIAARCHIVES.ORG)