

# **7 Technology Tools Grants Awarded**

- 1. CITY OF BENTON CITY**
- 2. CITY OF CAMAS**
- 3. HIGHLINE SCHOOL DISTRICT #401**
- 4. JEFFERSON COUNTY CENTRAL SERVICES**
- 5. SOUTH WHIDBEY SCHOOL DISTRICT**
- 6. SPOKANE REGIONAL CLEAN AIR AGENCY**
- 7. TACOMA-PIERCE CO HEALTH DEPT**

# CITY OF BENTON CITY

**Amount Awarded: \$28,520**

## **About the Problem**

***What is the impact to your agency by not having specific hardware/software in terms of your ability to respond to public records requests in a timely manner, and/or your ability to capture, retain and manage records for their minimum retention period?***

Being a small city and not having a full-time records management person, when we receive a Public Records Request requiring a complex search, it becomes necessary for one or more staff members to step away from regular job duties to fulfill the request. The City of Benton City processes an average of 15 Public Records Requests monthly, most of which are building permit requests. At this time, an easy request takes approximately 30 minutes. The more extensive requests can take several weeks or even months to fulfill. Boxes and files must be physically searched, documents located and removed, then copied and re-filed. This direct handling of papers increases the risk of misfiling or misplacing documents. The City will be utilizing a filing system already in place for our current archives; a system proven most efficient for our City. In the past few years, we've streamlined and thoroughly organized our archives and our next logical step would be to digitized our records.

## **About the Project**

***What hardware/software will be purchased and installed by May 31, 2020?***

The City would like to purchase and install Laserfiche ECM System via FreeDoc by the May 31st, 2020 deadline. Once the Contract Agreement for Services is signed, it will take approximately two weeks to get the software up and running.

***How many sections and staff in the agency will be able to use this hardware/software?***

Six of the City's nine full-time staff from all City Departments, including City Clerk, Code Enforcement, Building & Planning, and Public Works, will be able to utilize the Laserfiche software to manage and locate documents.

***What is the basic plan/project schedule to purchase, install, roll-out and train staff in using this new hardware/software?***

We plan to purchase and sign a Contract Agreement for Services with FreeDoc. FreeDoc will then design, develop and test software to the City's specifications. Software will then be deployed and staff will be trained accordingly. Once training is complete, current City staff will begin migration of existing digital files into Laserfiche and begin the scanning process of digitizing hard copy records. If any additional assistance is needed, FreeDoc will help with software questions, and the City will utilize the State Archivists for retention and disposal issues.

***List the type of work to be carried out by agency staff, temporary staff, vendors, consultants and Archives staff.***

City staff will do the migration of current digital files as well as scanning and cataloging remaining paper documents. This includes creating a procedure to capture current records for retention, archival or disposal as per contact meeting with State Archives staff for which we plan to utilize State Archive specialists. The City Clerk will work to properly train City staff in scanning and cataloging all records, past and present. Our vendor FreeDoc will customize the Laserfiche templates tailored to our established records filing system to include quick fields, batch scanning and Optical Character Recognition (OCR) features, for input into Laserfiche repository. The City will have one dedicated person for the transfer of our digital files into the Laserfiche repository and another staff member scanning and incorporating our paper documents into Laserfiche utilizing the fields requested to mimic our hard copy files.

***How much money are you requesting?***

The City of Benton City is requesting \$28,520.00 to purchase the initial investment of Laserfiche via FreeDoc.

***Is your proposed choice of hardware/software the most cost-effective solution?***

City staff has contacted two different vendors for quotes for Enterprise Content Management Software; FreeDoc and Cities Digital. Both vendors were recommended by other city entities in our state, however FreeDoc responded quickly with a lower cost estimate to provide services the City needs. They are also located in Washington State, and as our host company, staff believes this allows them to stay abreast of Washington State Archives standards. The City of Benton City considers FreeDoc to be the most efficient, not only in price but also in time as Laserfiche is contracted with the Washington State Master Contract and FreeDoc is a certified reseller.

**About the Expected Results**

***What improvements in response time to public records requests or records retention/management are expected?***

The City does not currently have an electronic records catalog and this software would provide a process to create and organize a functional records cataloging system that complements our current archives filing system. Implementation of the Laserfiche software will allow the City records to be retrieved from a single, convenient location as opposed to having to access records physically and digitally, dramatically reducing staff time to locate requested documents, then copy and re-file. It will also provide increased assurance of a complete and accurate search and eliminate the risk of misfiled documents as all City records would be safely stored digitally. With Laserfiche, a records request can be searched thoroughly in the background while staff is working on other tasks, which is highly beneficial to our small city. A recent request took 13 weeks to complete, due to having to locate multiple hard copy files and providing documents in multiple installments. With the Laserfiche software, we could have completed this extensive request in less than a day. The software would also assist in the accurate retention and disposal of public records, as well as allow the City to retain records beyond their original retention period if required for litigation, open public records requests or specific agency need. The software would free up storage space in the archives for long term records such as payroll and retirement records, and water and sewer reports.

***What new procedures/training will be in place to make best use of the hardware/software going forward?***

The City plans to incorporate the 10 Leading Practices as prescribed by the Washington State Archives, in our update of procedures and training once the implementation of Laserfiche software is completed. The City Clerk will be training staff on proper inputting of all documents and how to perform a document search. This will allow the City to track and maintain records as they are created or received so as to prevent a backlog of files to be digitized. Laserfiche software will also allow the City to update our Disaster Preparedness Plan and ensure an added layer of security for our essential records. The City of Benton City hopes to have all of our records incorporated into Laserfiche by May 31st, 2020.

***What is your plan to cover any annual subscriptions/license fees going forward? (Grant funds can only cover the first year of subscription/license fees.)***

The City of Benton City's City Council unanimously supports this application as well as any reoccurring subscription and licensing fees in our 2019/2020 biennial budget.

## CITY OF CAMAS

**Amount Awarded: \$20,981**

### About the Problem

***What is the impact to your agency by not having specific hardware/software in terms of your ability to respond to public records requests in a timely manner, and/or your ability to capture, retain and manage records for their minimum retention period?***

By not having the appropriate hardware, specifically enough scanners that perform in the most efficient manner with the City of Camas' (City) Laserfiche (LF) software; staff are slowed due to:

1. Waiting in line for the one scanner in the administration center,
2. Once scanned, return to their desk and perform the tasks of:
  - a. Open the email with the scanned attachment,
  - b. Review PDF for exempt information,
  - c. If present, apply redactions (time to perform this step is dependent on: a) the size of the record, and b) the number of redactions to apply,
  - d. Save the document using Adobe, which saves the original and redacted versions, and
  - e. File in the Network files under file names that are identical except for the addition of “\_REDACTED” in the file name of that version (records requests have not been moved over into a LF process due to not yet having the hardware/software components being requested through this grant).

By not having the needed software staff are spending, on average, 4-5 hours per request, in large part due to the steps above being performed on the majority of responsive records. With the City nearing close to 600 requests per year, and trending upward annually, this results in too many hours being spent on records requests due to inefficiencies, which puts the City at risk liability-wise.

Quick Fields technology along with dedicated scanners, can automatically apply redactions, integrate with LF, and would save staff an average of over a day and a half per week. This is a critical savings as the work demands increase, while the ability to hire more staff decrease. In addition, industry experts only expect records requests to increase annually, which is what we've been seeing at the City.

The scanner currently being used, which is mentioned above is not suitable for a LF integration. Due to the fact that it is used by all staff in City Hall for printing, copying, scanning, which makes utilizing it inefficient and unreasonable due to the wait time involved. Additionally, using it almost constantly for just Clerk's records work, is at the expense of other staff being able to access it.

With Quick Fields, making the records public at the time of creation, or nearly immediately thereafter can be a reality. The auto-redact feature will allow the public to access it and exempt information is redacted while authorized staff will be able to see through the redactions. Being able to build LF processes for the most commonly requested records can be a priority, once the software is in place.

The price of “smarter” technology is steep; and the resources available to cities, are diminishing annually and the City is very concerned about the safety of all its records (all primarily stored in the basement of an aging city hall building). Various staff have attended State Archives classes, which has shed light upon how important it is to safeguard records, while at the same time, making them more easily accessible to the public. The City purchased Laserfiche a couple years ago exactly for these reasons and is appreciative of these grants to help us continue to build the City's technology infrastructure, which is clearly vital in today's fast-growing tech environment.

This grant program offers hope to the City, keeping us on track towards the City's goal of maintaining secure, reliable and easily-accessible records. It is anticipated that once this hardware/software is fully

implemented at the City, record request response times will be cut by 75%. The attached report showing the Clerk's timeline for producing records, shows that the majority of requests will be able to be fulfilled within 3 days on average, instead of the current average of 11+.

## About the Project

### ***What hardware/software will be purchased and installed by May 31, 2020?***

Hardware: Canon DR-G2100 Scanner (110ppm/220ipm)

Software: Laserfiche Avante Quick Fields, Zone OCR Validation Package, Quick Fields Year 1 Annual Maintenance, and Zone OCR Year 1 Annual Maintenance.

Details attached.

### ***How many sections and staff in the agency will be able to use this hardware/software?***

The City intends for 15 staff to be trained up front, consisting primarily of Administrative Support staff from each department in the City. These employees are the subject matter experts for their department's records management process and will be the primary users of the new hardware/software. The department-specific numbers for these staff are:

Administrative Services: 4

Community Development: 2

Finance Department: 2

Information Technology Department: 3

Engineering Department: 2

Temporary/Intern staff: 2

The work being performed in the beginning (during the grant period) is somewhat specialized in nature. It involves receiving the necessary training and then "training" the software to learn how to identify hundreds, if not thousands, of different types of documents that will be getting moved into the repository for safekeeping and easy access, not only by staff, but also by the public. The numbers of staff listed above, reflect the staff that will be primarily responsible for that effort. After all the training has been completed, the intention is for the majority of staff in each of those departments, a total of 35, to be able to use the hardware/software since by that point, they can just push the scan button and the software will do the rest.

The scanners will be centrally located in the Administration, Building and Community Development departments. The Quick Fields software will be accessible from all authorized workstations for all department staff.

### ***What is the basic plan/project schedule to purchase, install, roll-out and train staff in using this new hardware/software?***

Purchase: Five days for hardware / one day for software

Install: Two days for hardware/software

Train staff: Four hours training time for 8 staff members (these are the super users who will train the remaining 4)

Roll-Out: Two hours

The calendar timeline would look something like this, dependent on the timing of the grant:

August 1, 2019 Upon Grant announcement, IT staff will confirm with Administrative Services the preparations and timeline to ensure the City is ready for the scanner installation

August 9, 2019 Place the order

August 16, 2019 Scanners are delivered and setup

August 23, 2019 Software is installed and configured

August 30, 2019 Four-hour super-user training with 8 staff members

September 27, 2019 Software configuration and high-level training complete for integration with LF

October 25, 2019 Training/Quick Fields Setup: Public Records Request session setup is completed

December 27, 2019 Training/Quick Fields Setup: "Most Commonly Requested Records #1 Process" session setup is completed (these files will now be accessible to the public via the LF public web link; records will be created in the repository and staff training policies will include redaction application at that time. The software's approved staff will be able to see through redactions, so two files will no longer need to be retained.)

February 28, 2020 Training/Quick Fields Setup: "Most Commonly Requested Records #2 Process" session setup is completed.

March/April 2020 Training Documentation Completed / Roll Out to Remaining Department staff (total-35)

The ultimate goal of this effort is to have public records accessible immediately via the online LF WebLink (which the City has already purchased and is in the process of configuring), and redactions applied at the time of creation during scanning. This will ensure that the clerk, records, or administrative staff do not have to search for and apply the redactions manually at the time of request. The Quick Fields software is pivotal for this ability.

As is the current practice with the City's current grant work, the Clerk's Office will setup every-other-month/quarterly check-in meetings with State Archives staff to confirm best practices, ask any questions that have arisen and seek feedback/suggestions, and to learn as much as possible about records management statutes compliance.

***List the type of work to be carried out by agency staff, temporary staff, vendors, consultants and Archives staff.***

Agency staff: IT staff and Administrative Services staff (these two departments also function as LF Administrators who meet twice weekly about all things Laserfiche) will coordinate with the Vendor to ensure proper installation of the hardware and software (as the Vendor is the subject matter expert). Administrative Services staff will also coordinate with the Clerk's Office and all Administrative support staff for each City departments to ensure each department's needs in the configuration of the hardware and software is addressed. The Clerk's Office, the LF Administrators and the admin support staff will then be fully trained on the software, be involved in "training" the software regarding their department's records, and then assisting with the training documentation and training of remaining department staff.

Temporary staff: Temporary staff will be fully trained in the use of the hardware/software. This staff will be working on a future/separate project that the Camas City Council has approved budgeting for. This future project consists of digitizing Essential and Permanent records into the LF repository, organizing/dispositioning records within the City's network folders, and assisting with the LF business processes to move all most-requested records into the repository so they are accessible to the public via the WebLink portal.

Vendor/Consultant: Support agency staff with hardware/software connectivity with LF and train the eight super-users through initial high-level training, and then more in-dept for the public records, and the two most-commonly requested records Quick Fields sessions with these staff. Assist with development of all-staff training materials and remain a resource should issues arise in any training of staff.

Archives staff: Meet with Clerk's staff and LF Administrators to ensure the City's roll-out and implementation plans are best practices for records retention, request fulfillment and statute compliance; and to answer questions and provide suggestions/feedback.

***How much money are you requesting?***

The City is requesting \$20,890.85, detailed documentation attached.

***Is your proposed choice of hardware/software the most cost-effective solution?***

Yes, this hardware/software choice is the most cost-effective solution for the City of Camas and will remain so for many years to come. Based on staff research, the vendor is able to provide the hardware at \$4,054.44 each, not at the MSRP price of \$5,995.00 each. This vendor also has the ability to train staff via virtual meetings, which saves additional money.

The selected software will not only be implemented for this grant's purpose (assist with records requests, redactions, making public files "public" sooner), but it will also be utilized at a later date to transition all essential (but less often requested) records currently stored in the basement, into the repository for safe-keeping and quick access. So the return on investment will be far-reaching, long after the grant work is complete.

LF ECM, and its components and software integrations are leading the field as far as the many ways the software can streamline going paperless and automating workflows. This frees up literally hours upon hours of work time by staff across all departments city-wide.

**About the Expected Results*****What improvements in response time to public records requests or records retention/management are expected?***

The City expects to provide more immediate access to City records to the public via the LF online WebLink. This hardware/software combination makes that possible with minimal staff effort. Without staff even noticing it, while they are creating and managing records, any records that are to be "public-facing" will be due to the behind the scenes automation the hardware/software provide.

For the "most commonly requested records" sessions/processes, the City will ensure those records have any necessary redacting "built in" and making those records available immediately online, while ensuring exempt information is protected. The public won't technically have to "request" records as they will be able to access them immediately by going to the online LF WebLink.

Additionally, the City anticipates being able to provide responsive records, that are not already accessible online, 75% faster; averaging 3 days over 2 years instead of 11+ days. This hardware/software can still be used for those records (that haven't gone through a business process LF makeover yet) that still have to be provided in a more "manual" manner. Even at that, due to the hardware/software implementation/training, redactions will be applied "automatically". In addition, since the records will still be provided to the requester through the online WebLink, future requestors looking for the same records will now have immediate access to them.

***What new procedures/training will be in place to make best use of the hardware/software going forward?***

The City will implement procedures and training materials to ensure staff are able to quickly scan/create their records within the LF repository for immediate public access. This will be completed with super-user and general user training. Specifically, trained to utilize the new hardware/software to "do their work" while automation applies redactions (which authorized staff will be able to see through), automatically files the records according to the retention schedule, and makes the files immediately available to the public — all in the creating or scanning or auto-filing of a record.

The majority of the training will be for the super-users as they learn to train the software how to recognize all their department-specific records. Then, these super users will assist in rolling-out/training the remainder of staff within their own departments. The roll-out will include the creation of procedures and training materials that will be utilized when training any new staff on the hardware/software.

The City Clerk's office will work along all department staff (with the help of the State Archives staff) to ensure understanding and accuracy of the new procedures, while auditing on a quarterly basis for long-term consistency and compliance.

***What is your plan to cover any annual subscriptions/license fees going forward? (Grant funds can only cover the first year of subscription/license fees.)***

Even with the shortage of staff and resources over the past few years, the City, with the help of these grants, has made a consistent effort to streamline its records management practices for retention, requests-handling and safe-keeping purposes.

In that same vein, while resources are restricted, the City Council has supported staff's budget requests for the on-going maintenance of LF software; recognizing its return on investment in staff-time, as well as supporting usage of temporary staff to assist with records.

In summary, the City will continue its mission over the past 5 years of improving its Records Management program. The City will also continue its efforts to streamline processes by utilizing all the technology feasibly possible, while utilizing the State's grant program, making it a reality much faster than if the City had to budget it all on its own. It would likely take 3-4 times longer without the support. The grant program makes the City's goals a reality in a manner more consistent with how fast technology is being utilized across all disciplines.

## HIGHLINE SCHOOL DISTRICT #401

**Amount Awarded: \$14,740**

### **About the Problem**

***What is the impact to your agency by not having specific hardware/software in terms of your ability to respond to public records requests in a timely manner, and/or your ability to capture, retain and manage records for their minimum retention period?***

The main reason the district is applying for this grant is to purchase hardware and software to utilize the tools together with an efficient case management system to gather data in compliance with the Joint Legislative Audit and Review Committee (JLARC) Public Records Data Reporting and to timely and more efficiently respond to, track and satisfy Public Records Request. The difficulties of not having the tools slows our response time and makes managing, tracking and maintaining records extremely challenging which results in lengthened response times and less efficient records management.

Over the years we have seen a significant increase in the number and complexity of requests submitted in our district. We understand that there is more of an interest in public disclosure throughout the State of Washington and around the nation. In one school year beginning in 2015 the number of requests rose in our district from 52 to 98 requests. This is a nearly 50 percent rise in public records requests for our district. In 2016 the district created a new Public Records Officer position to assist with the increased requests by creating a robust system for logging, tracking and fulfilling public records requests. We have refined the duties and are in need of some tools to improve our response times and records management. First, we are operating with Excel Spreadsheets, MS Word and Outlook to track requests. In addition, we send requesters large files through Google Drive. Since many of our records are currently not in electronic format, we search through paper originals and numerous programs to manage requests, save and retrieve records and redact personal information. We have numerous programs to search through which causes us to be less efficient responding, tracking, managing and fulfilling request especially with respect to extremely complex requests. For example, we received several complex requests this past school year that significantly increased our time to fulfill because of the necessity to manually search through our previous school year logs for previously submitted requests. When we receive requests that we believe have been previously fulfilled, we search through prior logs, redacted documents and paper copies to eliminate the need to duplicate work. We are also spending an enormous amount of time on records containing the same personal information that needs to be redacted. These documents include emails to groups with responses which includes attachments containing personal information. To solve these series of problems, we would like to install GovQA Public Exchange Platform — Public Records Solution with Redaction Licenses (4) and Attachment Search with OCR to assist with logging, tracking and managing public records requests.

### **About the Project**

***What hardware/software will be purchased and installed by May 31, 2020?***

We will purchase GovQA Public Exchange Platform — Public Records Solution, Redaction Licenses (4) and Attachment Search with OCR. GovQA is a nationwide leader in Public Records Request Management Systems. GovQA contains many great functions including a built in redaction program, online request portal, public knowledge based, secure collaboration, public archive/reading room, Advance Search with OCR which allows advance searching capabilities, and SaaS platform tailored to best fit the needs of our district. GovQA also contains a program that ensures that our district remains in compliance with the Joint Legislative Audit and Review Committee (JLARC) Public Records Data Reporting.

List of Software/Hardware:

GovQA Public Exchange Platform — Public Records Solution with Redaction Licenses (4), and Attachment Search with OCR

***How many sections and staff in the agency will be able to use this hardware/software?***

All of our departments will be able to utilize GovQA's portal to transfer responsive records and send electronic responses. Highline Public Schools employs over 1900 full-time and 600 part-time staff members. Because certain records contain sensitive information, approximately two departments will be authorized to utilize the software purchased, including redaction licenses, and will have editing rights. The two departments are both the Technology Department and Policy and Strategy Department. Public Records is in the Policy and Strategy Department.

***What is the basic plan/project schedule to purchase, install, roll-out and train staff in using this new hardware/software?***

Once the grant is approved we will purchase GovQA Public Exchange Platform — Public Records Solution and begin immediately training our staff. Next, we will begin testing GovQA internally and externally. Once training is complete on GovQA, we will enter a test period and quality control our work. We believe that installing, training and testing will take approximately four (4) to five (5) months. We expect by December 2019 we will be utilizing our GovQA Public Exchange Platform — Public Records Solution, Redaction Licenses (4) and Attachment Search with OCR purchased through this grant.

***List the type of work to be carried out by agency staff, temporary staff, vendors, consultants and Archives staff.***

1. GovQA will provide collaboration with Highline Public Schools on developing, monitoring and maintaining a project plan
2. GovQA will Installation and set-up of the application with on request type related to public records
3. GovQA will provide advice to Highline Public Schools on best practices
4. GovQA will provide configuration of interfaces
5. GovQA will provide system integration testing of functionality (if applicable)
6. GovQA will provide training of trainers (Subject Matter Experts) on the software and basic system functionality
7. GovQA will provide transition to the Client Relationship team upon rollover to production
8. Highline will give access to GovQA to designated staff
9. Highline staff will be prepared and available to train on GovQA
10. Highline staff will provide feedback to GovQA
11. Highline staff will provide staff list with indication for level of access
12. Highline will manage staff functions and access
13. Highline staff will observe and verify set up
14. Highline staff will understand best practices and reporting export process
15. Highline staff will setup test account

***How much money are you requesting?***

GovQA Public Records Solution (Annual Subscription Services) \$6,000

GovQA Optional Modules — Document Redaction License (4 at \$350 year) \$1,400

GovQA Optional Modules - Advanced Document Search (1 at \$1,200 year) \$6,000

GovQA One Time Implemen

***Is your proposed choice of hardware/software the most cost-effective solution?***

Based on our research we are confident that GovQA Public Exchange Platform — Public Records Solution with Redaction Licenses (4) and Attachment Search with OCR is the most cost-effective solution to improving our records management, records retention and records request response time. With respect

to GovQA, our research shows that in the first and second round of grants you approved numerous state agencies that proposed this public records solution. As part of our research, we viewed your webinar “How to Apply for a Local Records Grant” and on several occasions we consulted with and provided a draft of our grant application which was reviewed and critiqued by the Senior Records Consultant at the Washington State Archives. With the research behind us, we believe GovQA Public Exchange Platform — Public Records Solution is the most cost-effective solution to move our district forward addressing the increasing challenges with tracking, managing and fulfilling public records requests now and in the future.

## **About the Expected Results**

### ***What improvements in response time to public records requests or records retention/management are expected?***

We expect to continue improving our time responding to public records requests. The software that we are requesting will ensure that we remain prepared now and in the future for additional increases in volume in requests for open public disclosure of records. We are confident that GovQA Public Exchange Platform — Public Records Solution will improve our request response time and will simplify our process by allowing us to utilize one program to respond, redact, scan, search, retain and manage public records request. GovQA Public Exchange Platform — Public Records Solution will allow us to log, respond, track, search, scan, redact documents, manage, and efficiently correspond with requesters. GovQA has an Attachment Search with OCR feature which allows advanced searching, scanning and redacting multiple documents by a general word or phrase search. This feature will simplify and speed up the redaction process which will approve efficiency and reduce response times. GovQA can be programmed to comply with the Joint Legislative Audit and Review Committee (JLARC) Public Records Data Reporting. By utilizing GovQA and continuing to follow the states recommended best practices for open public disclosure, we expect to decrease our average response time from 2.3 days to approximately just under 2 days, decrease staff hours responding to requests and reduce the time it takes to fulfill requests from an average of 79 to below 70 days.

### ***What new procedures/training will be in place to make best use of the hardware/software going forward?***

District staff members from multiple departments will be attending the training set up with GovQA Public Exchange Platform — Public Records Solution. We will begin to review and strengthen our procedures as we move forward with testing and implementing our new case management system. Should we have questions with operating the system, representatives of GovQA will be available to assist us. The Public Records Officer will be the point of contact with GovQA. If staff members have questions about the program functions, the officer will consult with GovQA representatives then share information with all applicable staff. Our goal is to ensure that we utilize the requested software to its fullest capacity.

### ***What is your plan to cover any annual subscriptions/license fees going forward? (Grant funds can only cover the first year of subscription/license fees.)***

Highline Public Schools Grant Pre-Approval Form was submitted March 21, 2019 and was approved by appropriate members of Superintendent, Dr. Susan Enfield's Cabinet and Business Services Department. The district is prepared to include the annual cost of GovQA Public Exchange Platform — Public Records Solution with Redaction Licenses (4), Attachment Search with OCR and taxes into subsequent yearly budgets.

## JEFFERSON COUNTY CENTRAL SERVICES

**Amount Awarded: \$14,150**

### **About the Problem**

***What is the impact to your agency by not having specific hardware/software in terms of your ability to respond to public records requests in a timely manner, and/or your ability to capture, retain and manage records for their minimum retention period?***

Jefferson County received 721 public records requests in 2018. This was a 40% increase over the 520 public records requests (PRRs) received by the County in 2017. This increase in volume has been matched by an increase in the size and complexity of requests, which place ever higher demands on the records management capabilities of the County.

In the past three to five years, a majority of the departments in the County have initiated or accelerated efforts to digitize their records and significantly reduce paper record-keeping. For example, since 2015 the Department of Community Development has been digitizing and indexing each new permit file as it is finalized. At the same time, DCD also initiated an effort to scan and index thousands of historical permit files and have so far completed the years 1990 through 1997. Similarly, the Prosecuting Attorney's Office and District Court are making a concerted push to digitize case files and other records.

To facilitate these efforts, the County has invested in a centralized Laserfiche ECMS. As a result, electronic records storage levels have been accelerating across the County. However, the County's capabilities for managing electronic records in the ECMS have not kept pace with the quickly-increasing volume. One critical issue is that the County still manages all records retention in a stand-alone database which was created primarily for management of paper records. Most County records retention processes are also still based around paper records. Currently we have no reliable and efficient process for identifying electronic records that have met the retention requirements. With this rapid, ongoing conversion to paperless records, it is critical that we upgrade our ability to timely track, locate, identify and dispose of electronic records. Without such management capabilities the proliferation of electronic records will, counter-intuitively, raise the County's Public Records Act risk profile by actually increasing the time and difficulty of records search and location.

Laserfiche offers a premium Records Management Module for its ECMS. Acquiring this module would allow Jefferson County to efficiently categorize newly-created electronic records, track retention requirements and effectively archive or destroy records according to schedule. These capabilities would be would empower the County to take significant steps towards reducing the growing liability due to the rapid proliferation of electronic records.

### **About the Project**

***What hardware/software will be purchased and installed by May 31, 2020?***

Laserfiche Records Management Module. Laserfiche is a certified DoD 5015.2 compliant records management application and the Laserfiche Records Management Module comes pre-programmed with all of Washington State Archive's current DANs.

***How many sections and staff in the agency will be able to use this hardware/software?***

Jefferson County currently installs Laserfiche client on all staff's computers. The Laserfiche client is installed on approximately 300 computers.

***What is the basic plan/project schedule to purchase, install, roll-out and train staff in using this new hardware/software?***

July or August, 2019: Install and deploy the module with the help of Cities Digital. Cities Digital is a value added reseller (VAR) for Laserfiche. The installation and Deployment phase will take approximately 4 hours of consultation time.

September, 2019: Create Workflows for the module. Cities Digital will assist with Laserfiche workflow design and development. This will take approximately 10 hours.

October, November and December, 2019: Cities Digital will train key members of the staff on how to use, implement and organize digital files in the Laserfiche Records Management Module. The training for the module will take approximately 15 hours.

January and February, 2020: Train all staff on the use of the Laserfiche Records Management Module. Key staff members trained by Cities Digital will accomplish this with assistance from Jefferson County records management personnel. Training for individual departments will be done in smaller groups. An additional 11 hours of Cities Digital's time has been budgeted to assist in Laserfiche training and deployment for each department once the module is in use.

March and April, 2020: Fine tuning of the process and creating standard operating procedures for each department. Webinars from Laserfiche and Cities Digital will be made available to staff.

Ongoing: As new staff members are hired, they will be trained on the Laserfiche Records Management Module and requirements of record retention. Records management personnel will oversee the destruction process for all digital records.

***List the type of work to be carried out by agency staff, temporary staff, vendors, consultants and Archives staff.***

Cities Digital consultants will assist with Laserfiche Records Management Module installation, workflow and staff training. County IT staff will also assist Cities Digital as required. The records manager will take a Records Management Module certification course, offered by Laserfiche.

Records management personnel and a designated member from each department will assist in ongoing staff training.

***How much money are you requesting?***

\$14,146.71 for the Laserfiche Records Management Module and 40 hours of Cities Digital consultant hours.

***Is your proposed choice of hardware/software the most cost-effective solution?***

Jefferson County looked into purchasing other software programs and found it cost-prohibitive.

The Laserfiche ECMS has been purchased, the infrastructure for the program is in place, and the County is already fully committed to using it intensively. By leveraging these existing capabilities, the Records Management Module provides a cost-effective approach to tracking electronic documents and managing electronic document retention.

## **About the Expected Results**

***What improvements in response time to public records requests or records retention/management are expected?***

In the first round of JLARC public records data reporting, Jefferson County reported an estimated total amount of just over \$160,000 expended in responding to public records requests for the period of July 21st through December 31st, 2017. This was 53rd highest out of 127 agencies who reported annual PRA expenses of over \$100,000 in 2017. It was also only about \$11,500 less than the total estimated PRR response costs of much-larger Pierce County (excluding their Health Dept.). Jefferson County's reported average cost per public records request was \$545 which was 58th highest out of all 185 reporting agencies. This compares to Pierce County's average cost of \$154 per request. We interpret these comparative cost estimates as a measure of the risk posed to Jefferson County by a relatively high level of inefficiency in our PRR response processes. In particular, since staff remuneration represents over 90% of PRR costs, the County's average cost estimate figures indicate that disproportionately large amounts of staff time are being spent on document search and PRR response coordination. As the volume of public records requests increases, the most cost-effective way to reduce the County's associated costs and risk profile, is to increase the efficiency and accuracy of our records management.

Furthermore, as County departments increasingly go paperless and electronic records proliferate, the costs of public records request responses may, ironically, increase unless effective management tools and practices are introduced. Acquisition of the Laserfiche Records Management Module will allow staff to apply DAN classifications at the time of document creation and those classifications will follow documents throughout their lifecycles. By meeting retention and destruction requirements Jefferson County will have fewer documents to search and review and will be able to more efficiently identify responsive records, thus replying to PRRs in a more timely and efficient manner.

***What new procedures/training will be in place to make best use of the hardware/software going forward?***

Standard operating procedures will be available to all staff to help guide them as they identify records with the Laserfiche Records Management Module. On-going Laserfiche training by records management personnel or departmental records managers will be available. Webinars will be available from Laserfiche and Cities Digital. Records management personnel will perform annual destruction of electronic and paper documents and departmental managers will approve their respective destruction requests.

***What is your plan to cover any annual subscriptions/license fees going forward? (Grant funds can only cover the first year of subscription/license fees.)***

Jefferson County Central Services has identified internal funding sources for annual maintenance of the Laserfiche Records Management Module.

## SOUTH WHIDBEY SCHOOL DISTRICT

**Amount Awarded: \$29,432**

### **About the Problem**

***What is the impact to your agency by not having specific hardware/software in terms of your ability to respond to public records requests in a timely manner, and/or your ability to capture, retain and manage records for their minimum retention period?***

South Whidbey School District requests a technology grant to purchase the Enterprise Content Management software system to digitize employment: payroll, retirement and human resources records. We are in phase two of our project and purpose to organize and make more accessible the employment records which are requested regularly. As a recipient of the Organize the File Room grant in Round 2 of the Local Grants projects, we have analyzed boxes of records, reviewing and managing each record based upon the Washington Records Management Retention Schedules. We purchased locked cabinets to remove the records from under the water tank and store the employee payroll and retirement records. Employee benefits records for retirement and pension verification must be retained for sixty (60) years after separation from the agency or one hundred (100) years after employee's date of birth (DAN GS 2017-009 Rev 0). Every year, we are creating more records everyday that fit in this category. Today, many of these records begin as digital records that are printed and then saved for future review and public record requests. We create a dozen binders a year to store these records. At the rate we are going, we will be back under the water tank with these records due to the lack of space to hold additional filing cabinets outside of the water tank space. It is essential that we find a way to store these records digitally and stop making paper copies. We need technology that we can trust that will store and manage these records for the long haul.

Each time our payroll and benefits specialist receives an inquiry (which come at least 2-3 times a month) for past employee benefits records, she is searching for five to twenty-four hours and more trying to find the information she needs. This single benefits specialist is our payroll specialist as well. Being a small district, we only have one person who monthly manages timesheets, prepares, executes and distributes monthly payroll, manages and administers the complete district benefit program, reconciles the appropriate payment of all payroll relating to vendors, manages and implements the new employee orientation of payroll, retirement and benefits information, manages all leave programs, manages and monitors all employee accident reports and claims, prepares and submits accurate and timely payment of federal payroll taxes and reporting, manages the district COBRA, researches the existing and new legislation to enforce District adherence to the requirements and coordinates updated benefits between the different programs. As such her time is limited and the five to twenty-four hours needed to find the records is difficult to find in her valuable time. Sometimes it takes going onto a ladder and risking her safety. Sometimes as she leans in to grab one binder, the boxes piled in the center go tumbling. Employee benefits records for retirement and pension verification must be retained for sixty (60) years after separation for the agency or one hundred (100) years after employee's date of birth (DAN GS 2017-009 Rev 0).

Our goal is to purchase the ECM technology that will allow us to keep our employment records in digital format. The ECM technology will tag the records with the DAN numbers for ease of records management. Most importantly, the technology will allow our payroll and benefits specialist to be able to search through the records from her computer. The future goal is to digitize by scanning the current paper records that need to be kept long term. By purchasing the ECM software first, we can set up the system to keeping the records digital. In the future, we can apply for the Digital Imaging Grant that will allow us to scan and toss these paper records.

## About the Project

### ***What hardware/software will be purchased and installed by May 31, 2020?***

South Whidbey School District requests a grant to purchase the Laserfiche Enterprise Content Management software through Free Doc. Laserfiche allows districts to automate processes reducing costs and conserving valuable resources, including storage space and time. They have helped school districts nationwide. According to Bryan Independent School District "HR estimates that it has reduced its annual costs associated with document management by over \$350,000, as compared to the previous paper process."

Free Doc is a local company founded in 1999. They have over twenty years experience in records management. In 2017, they performed 60% of all Laserfiche ECM installments. They have a Washington State contract and work with our current records programs. Over the last two years, I have discussed our issues in detail with Garret Frix, Free Doc's Records Management Strategist and Leslie Turner, Free Doc's Records Management consultant who was previously on staff at the Washington State Archives.

### ***How many sections and staff in the agency will be able to use this hardware/software?***

We intend to purchase the Laserfiche Avante Records Management Edition Server with six licences for staff as named full users with the advanced audit trail and Laserfiche connector. The six staff include our Information and Technology (IT) Director, Business Director, Payroll and Benefits Specialist, Human Resources Specialist, the Superintendent and myself as Records Management Specialist.

### ***What is the basic plan/project schedule to purchase, install, roll-out and train staff in using this new hardware/software?***

If in June 2019, we are awarded the technology grant to purchase the software, our plan would be to purchase the ECM software as soon as we have moved into our Qmlativ Education Management System. We are currently doing a data clean up of our records system in Skyward as we prepare to transition to Qmlativ. We expect to transition into Qmlativ later this year (2019). The date is dependent upon WSIPC. Free Doc has a contract with WSIPC. They are familiar with processing the records from Skyward and Qmlativ into Laserfiche. The Laserfiche training will follow as the staff are training on Qmlativ. The goal will be to train in December, 2019 so that we start 2020 with the new practice of keeping the records digital. Instead of printing records as they normally do now, the records would transition to Laserfiche.

### ***List the type of work to be carried out by agency staff, temporary staff, vendors, consultants and Archives staff.***

Please see the attached quote from Free Doc.

The cost is as follows:

Laserfiche Avante Software is \$15, 350

Laserfiche Maintenance and Support \$3070

FreeDOc Profession Services for design, consulting, development and testing, security deployment and training and project management \$9400

Estimated with tax \$29, 432

### ***How much money are you requesting?***

\$29,432.00

### ***Is your proposed choice of hardware/software the most cost-effective solution?***

The South Whidbey School District has learned and reviewed ECM software for many years due to the plague of public records requests. Over the last five years, The South Whidbey School District answered the constant public records requestor who costed the district approximately \$400,000 in legal fees and settlement costs. Often his request had staff searching for the single document that was known of but location not determined. These public records requests have led to hundreds of staff hours in search of documents, thousands of dollars in attorney's fees, battles in court cases, settlement fees and multiple issues of stress and strain.

We have attended ECM Boot Camps, Vendor conferences, Records Management conferences, webinars and more.

At South Whidbey, like other government agencies we have long retention requirements for certain records yet limited funds and space to keep these records. Laserfiche offers greater functionality and expansion. South Whidbey looked at their stability and proven reliability for records that are depended upon for long periods of time. FreeDoc is a local company with experienced professionals from the Washington Archives on their team. They have provided assistance to many school districts and private schools including Shoreline and Edmonds School Districts.

ECM Software will save South Whidbey School District from creating the dozen binders of paper each year. We will avoid eventually purchasing more cabinets and having to build a greater storage building for records that must be kept for long periods of time.

## **About the Expected Results**

### ***What improvements in response time to public records requests or records retention/management are expected?***

The ECM software is the first step to a paperless approach to managing long terms records at South Whidbey School District. We will create a safe and efficient process to manage records in accordance with the state retention schedules. With all of the retirement records kept in the ECM, they will be accessible at our fingertips. This will make the public request for these records much much faster. Instead of searching through binders of paper records searching for the needed information, our staff can do a search that will pull the information up immediately and from their desk.

### ***What new procedures/training will be in place to make best use of the hardware/software going forward?***

Free Doc will install the software, configure the software, and conduct training. The District IT will need to provision the server location, roll out the application client to the desktops, maintain server backups, support FreeDoc during implementation for security groups and other questions, and other related tasks common to IT supporting user applications. Laserfiche is IT friendly and shouldn't require much IT support after the project is completed. The users of the software would need to go through training and commit to learning the software. Free Doc will provided the necessary professional training for our staff. We intend to make a training book for any new staff to be able to use the software efficiently.

### ***What is your plan to cover any annual subscriptions/license fees going forward? (Grant funds can only cover the first year of subscription/license fees.)***

While the South Whidbey School District cannot afford to pay the initial capital investment for the software, the district can budget the annual fees to maintain, update and support the software. The annual Laserfiche Maintenance and Support fee is \$3070. This amount can be worked into our annual school budget for business and technology expenses.

# SPOKANE REGIONAL CLEAN AIR AGENCY

**Amount Awarded: \$25,540**

## **About the Problem**

***What is the impact to your agency by not having specific hardware/software in terms of your ability to respond to public records requests in a timely manner, and/or your ability to capture, retain and manage records for their minimum retention period?***

Spokane Regional Clean Air Agency (SRCAA) is a small, special purpose district with 20 employees. We have one administrative staff whom, among many other duties, is assigned the lead to fulfill records requests, which includes navigating the records requests through the agency's various sections, depending on the request. SRCAA receives approximately 50-60 record requests annually. An alarming trend is the breadth and depth of the records requests we are receiving. In the last few years, there have been 2-3 requests that have been very large, involving most of the agency's staff as well as each individual member of our Board of Directors. These requests have taken at least five months to complete and were completed in several installments. We take the Public Records Act very seriously. Our staff and our board members receive regular training by an attorney on the topic. We believe taking several weeks or months to fulfill a records request is unacceptable.

Our more recent experience with very large, complex records requests has made it painfully clear that we have an inadequate electronic records management system and we also lack an equally important Records Management Policy and Procedures document and adequate training. This seriously affects our ability to efficiently and effectively manage our agency's records as well as the more complicated public records requests we are receiving.

Currently, electronic documents of all sorts are created and saved on individual user drives (20 users). In addition, many electronic documents and files are also saved to a "shared drive" that all users can access. The shared drive has no agency-wide policy or procedure on how and where documents are stored. The poorly planned and managed shared drive has resulted in inconsistent use among agency staff. This creates burdensome and often obsolete and redundant records. It is very difficult to retrieve and retain records efficiently and effectively in this decentralized environment.

In 2013 the agency purchased Docuware software for \$35,000 for the sole purpose of disaster recovery for over 600 "registered source" files-- facilities we regulate under a state mandated program. The source files include annual registration and emissions data, facility/equipment permits, inspection reports, enforcement actions, etc. that were scanned by clerical staff and saved into large files that do not have full text search capabilities.

Because of the agency's lack of understanding of the need in 2013 for a full-blown records management system, the procurement and use of software solely for disaster recovery seems short-sighted today. The source files were scanned without procedures or structures for the size, organization, or appropriate indexing of documents placed into the system. Because of this, Docuware's current functionality has not been used to its fullest. Staff never received training on the software and it has never been used by employees to access electronic records or to fulfill public records requests. The system also was never used to manage the multitude of other agency electronic documents, including e-mail, educational outreach materials, correspondence, photos, inspection and enforcement reports, Board of Directors records, rulemaking documents, etc.

The result of these inadequate systems and software is agency staff spending time reviewing hard copy registered source files, other paper files, user drives and shared drives to identify, manage, and retrieve records to meet our business needs and fulfillment of public records requests.

## About the Project

### ***What hardware/software will be purchased and installed by May 31, 2020?***

An electronic records management system is needed so that we can reduce the amount of staff time necessary for searching, retrieving and managing both paper and electronic records. SRCAA staff conducted research over a 3-4 month period, including talking with Enterprise Content Management experts at several state agencies to better understand the subject. We secured information from three vendors: Laserfische, OpenText, and Hyland.

Our research helped us understand what we currently have and what we need moving forward. We were surprised to learn that our existing Docuware system purchased for disaster recovery has capabilities that go far beyond its current use for disaster recovery and could be used as a robust system for electronic records/content management.

In order to expand this platform to function as an electronic records management system, we need a new server. Our current server doesn't have the capability to host the Docuware system configuration we envision transitioning to where electronic documents can be organized, stored, managed and used by employees to meet our business needs, including fulfilling public records requests. A system that employees in the office or in the field can use to access and save documents is needed to do their jobs more efficiently.

The documents currently scanned and stored in Docuware for "disaster recovery" will need to be transferred to the proposed new records management system. Prior to transferring the data into the new records management system, SRCAA plans to establish an electronic records strategy and policies with defined structures, index values, and retention schedules and to train all employees to ensure the efficient and consistent use. This should ensure proper collaboration, storage and archival, distribution and retrieval, and retention and compliance.

Our current Docuware server (hardware) does not contain the required CPUs (processing power), memory, or storage capacity to meet the demands of, or support for, the additional functionality to use Docuware as a records management system. Our current Docuware server, installed in 2013, cannot handle the load of performing a full text search on the information currently stored in Docuware and cannot adequately handle multiple users accessing Docuware. Without a full text search capability, the data cannot be searched or retrieved by users and Docuware cannot be used for public records requests. Without this capability we are left with having to visually search either the paper or electronic records.

We would like to expand the use of Docuware to manage additional agency records. Currently, we only store the scanned records from our industrial source registration / permitting program in Docuware. We would like to expand Docuware to manage the majority of agency documents including e-mail, outreach materials, correspondence, photos, inspection and enforcement reports, financial records, Board of Directors' records, rulemaking documents, etc.

Currently, SRCAA pays ~\$4,600 / year for the current "disaster recovery" version of Docuware that we have, which includes 5 concurrent licenses (only 5 people can access system at any time). In order to use Docuware agency-wide as an electronic records management system, we need additional licenses. To meet future demands, we anticipate needing 3 additional "named" licenses that would be licenses for specific "heavy" users of Docuware (i.e., SRCAA employees that deal the most with records).

SRCAA is also investing in a new HP copier this spring that can be used directly to scan and ingest records into Docuware. The new copier comes with OCR (optical character recognition) software that will integrate with Docuware for full text search capability. SRCAA is also in the process of developing a new agency database system using the Caspio system. The new database system has the capability to integrate with Docuware. With the new copier and database system, SRCAA's goal is to achieve greater efficiencies in records storage and management.

We made the initial investment in the Docuware platform in 2013, and now we are requesting funding for the necessary hardware and software to support new functionality to change from a disaster recovery

system to a records management system. This project represents a cooperative effort between SRCAA and J&H, our Docuware service provider. J&H will work with SRCAA staff, with input and guidance from state archives staff, regarding the development of procedures and structures for digesting, indexing, storing, searching, and retrieving electronic records as well as training of staff on the new system.

#### CURRENT DOCUWARE for Disaster Recovery

Use: Disaster recovery / "archive" for records pertaining to 600 regulated industrial facilities

Version: 6.9

Server: Server purchased in 2013 running Windows 2008

Server Capability: Server does not have adequate CPUs, memory, or storage capacity to perform full text searches

Licenses: Currently 5 people can use Docuware concurrently

Users: No employees use system to access records - go to hard copy files for everything, including fulfilling public records requests

Records: Only registered source files are kept in Docuware in "large" files with limited index fields

Remote Access: Cannot remote into Docuware from the field (due to server limitations) for staff to access information

Public Records Requests: Not used for public records requests because no full text search capability

Training: Current SRCAA staff received little to no training on how to use Docuware

Canon Copier: Does not have ability to interface directly with Docuware (does not support OCR software)

#### FUTURE DOCUWARE for Records Management System

Use: Full-blown records management system for storing, retrieving, and managing records pertaining to 600 industrial facilities and additional Agency records (e-mail, info sheets, board documents, rulemaking, etc.)

Version: 7.1

Server: New server that meets specs to run Docuware Version 7.1

Server Capability: Need new server that will allow capability to perform full text searches

Licenses: Keep 5 concurrent licenses, add 3 dedicated "seated" licenses

Users: Move to "paperless" environment, where records can be accessed through Docuware by employees for doing their jobs and for fulfilling public records requests

Records: Expand use of Docuware to manage additional Agency records

Remote Access: New server will have VM Ware for staff to remote into Docuware from field

Public Records Requests: Use for public records requests instead of using hard copy files

Training: J&H will provide training to all staff

HP Copier: The copier we'll procure this fiscal year has the ability to interface directly with Docuware and has OCR software

The following hardware/software will be purchased and installed by January 1, 2020:

— Server Hardware:

- o HPE Tower Server
- o HPE Intel Xeon

- o HPE Power Supply Kit
- o HPE 16GB RAM
- o HPE 2.40 TB Hard Drive
- Server Software:
  - o Microsoft Windows Server 2019 Standard - License - 16 Core
  - o Microsoft Windows Server 2019 - License - 1 User CAL
  - o Microsoft SQL Server 2017 Standard - License - 1 Server
  - o Microsoft SQL Server 2017 - License - 1 User CAL
  - o VMware vSphere Essentials Kit v.6.0 - License - 3 Host (Up to 2 Processors Per Host)
  - o VMware vSphere Essentials Kit v.6.0 - Subscription License - 1 Year
- Docuware Software 7.1 and three DocuWare Client License(s) for named user licenses for identified super users for one year

***How many sections and staff in the agency will be able to use this hardware/software?***

All SRCAA staff will have some degree of appropriate access to the new records management system. 20 staff comprise five agency sections: air monitoring, compliance/enforcement, engineering/IT, outreach/education, and administration. Most will utilize one of the five concurrent licenses and there will be three “super-users” with dedicated licenses who will have access to the full system on a regular basis.

***What is the basic plan/project schedule to purchase, install, roll-out and train staff in using this new hardware/software?***

— In consultation with state Archives experts, SRCAA will develop a Records Management Policy and Procedures document that will involve input and training of staff, Board Members and volunteer advisory council members (June — August)

o Duration 4 — 6 weeks

— Docuware vendor (and ECM and Workflow Consultant) will conduct initial discovery and design for Docuware processes and configuration (June-September)

o Remote discovery calls with SRCAA staff to review processes, tasks, roles and documentation

o Two (2) to three (3) calls of an hour each to document basic document workflow and tasks

o This can be completed concurrently while other tasks are being completed

o Discuss current and potential new document scanning options, batch, distributed, Multi-function Printer based

o Involve state Archives experts along the process as appropriate and as their time allows

Duration 2 weeks

— Procure new server hardware (September/October)

o SRCAA staff obtains approval, generate PO and order system

o Vendor receives PO, prepares system and delivers

o Duration 4 weeks

— Installation of server operation system and configuration (October)

o Vendor installs server, powers on and completes testing

o Operating systems are installed, configured, partitioned, etc.

- o Duration 1 week

- Upgrade of Docuware software to V7.1 (October)

- o Vendor installs Docuware and applies V7.1 upgrades on new server

- o Vendor configures V7.1 software

- o Duration 3 days

- Docuware vendor on-site meeting, discovery and design (October/November)

- o Conduct meeting with users, introduce new Docuware design and intended benefits

- o Introduce “change management” concepts to generate support and adoption of changes

- o Meet with current and new users, complete observations and discovery

- o This can be completed concurrently while other tasks are being completed

- o Duration 2 days

- Docuware vendor configures new Docuware with newly designed cabinet and index fields cabinets and index fields (November/December)

- o Duration 1 day

- Docuware vendor migration of data to new server / cabinet (November/December)

- o Migrate images and metadata from old version/server to new server

- o Duration 3 days

- Docuware vendor training for users on new Docuware system and use (December)

- o Provide training to all users, current and new

- o Overview of new version (V7.1) and design

- o Discuss “archived” documents and design of new cabinets

- o Complete training on features functionality, intended uses and benefits

- o Provide specific training to users who may complete unique functions

- ? Batch scanning

- ? Document purging at end of retention period

- ? Migration of documents from “archive” cabinet to “active” cabinet

- o Duration 3 days

Cost-breakdown/budget (quotes attached)

- Server Replacement Project: \$20,198.55 (tax included, details in Quote A attached)

- o Hardware: \$9,323.41

- o Software, licenses: \$8,125.14

- o Professional services: \$2,750

- Docuware 7.1 Software, 3 “super user” one-year licenses: \$2,340 (details in Quote B attached)

- Docuware vendor consultation services - \$3,000 (details in Quote C attached)

Professional services for: server upgrade and reconfiguration, data/image migration, database

conversion from MySQL to MS-SQL, user expansion and training, discovery and design for additional cabinets, index fields, process evaluation, use case development and workflow automation

***List the type of work to be carried out by agency staff, temporary staff, vendors, consultants and Archives staff.***

— Vendors:

o J&H (Docuware vendor): discovery and design services for configuration of cabinets, index fields, select lists, etc.; process evaluation and improvement services to evaluate use cases and automation; transfer of existing Docuware data to new server; training services to current users, train new users and apply currently unused features and functions

o SCW: (Server vendor): Build computer tower Docuware will be on, install Windows Server 2019 Standard onto tower, install SQL Server 2017, patch as necessary, apply best practices, install VMware, install machine onto premises, connect to network

— Key agency staff —develop a Records Management Procedures and Policies document working with Docuware vendor and state Archives staff, Procure hardware and software, work with vendors on the discovery and design, training, installation, and configuration of the new hardware and software

— All agency staff — undergo training on the new records management system, including policies and procedures

— Temp staff — none

— Archives staff — meet with agency to review and provide input on the draft Records Management Policy and Procedures document and other input as requesting during the Initial Discovery and design for Docuware processes and configuration

***How much money are you requesting?***

\$25,538.55

***Is your proposed choice of hardware/software the most cost-effective solution?***

Yes, based on our research of options and price quotes, this is the most cost-effective solution. We conducted a lot of research for this grant application. We had several either in-person and/or phone meetings with Docuware, Laserfische, OpenText, and Hyland. Our research helped us understand what we currently have and what we need moving forward. The next closest quote for a similar system to meet our needs was in excess of \$40,000, including a server and software. The most cost-effective, common-sense option is to purchase, install and configure a new server, migrate and restructure current electronic records, and increase the licenses so that we can install, design and train staff on the more robust Docuware 7.1 version to meet our electronic records management needs now and into the future.

## **About the Expected Results**

***What improvements in response time to public records requests or records retention/management are expected?***

The change to using Docuware as a content/records management system provides an organized, centralized repository of existing electronic files as well as managing future electronic documents as they are created. By eliminating processes that take too long, cost too much to complete and lead to errors we better serve our customers and the general public. Our staff time fulfilling requests will be reduced, especially time spent on the large records requests we have been receiving more of in recent years. Our best estimate is that we should be able to improve our response time, especially for the large requests, by several weeks. We anticipate that we could see a reduction of staff time spent on the large requests of 60% or more.

***What new procedures/training will be in place to make best use of the hardware/software going forward?***

This process was informative to agency management that proper planning and training is essential moving forward. To make the best use of our new system, SRCAA will develop a Records Management

Policy and Procedures document. We will tap into the expertise of the state Archives staff to review and provide input along the way. The policy and procedures will include an electronic records strategy with a defined structure, index values, and retention schedules, as well as training requirements for employees to ensure efficient and consistent use of the system. Employees must have the necessary training to understand how to operate within the new system, including the retrieval of documents in the office and in the field. This will increase efficiencies in our jobs and help us better serve the public. We will conduct initial training and provide ongoing training as needed. Training will include agency-wide training, as well as training that is tailored for employees based on their accessibility to, and interactions with, specific areas of the system.

***What is your plan to cover any annual subscriptions/license fees going forward? (Grant funds can only cover the first year of subscription/license fees.)***

The SRCAA Executive Director, with support from the Board of Directors, will include any annual, ongoing costs for software updates and licenses, and hardware maintenance in the agency's fiscal year budget each year. In addition, an equipment reserve account will be funded annually for updates or replacements to the Docuware server as needed and estimated to be every 4-6 years.

## TACOMA-PIERCE CO HEALTH DEPT

**Amount Awarded: \$25,350**

### **About the Problem**

***What is the impact to your agency by not having specific hardware/software in terms of your ability to respond to public records requests in a timely manner, and/or your ability to capture, retain and manage records for their minimum retention period?***

In 2018, the Health Department received 639 Public Records Requests (PRRs). The average time to respond was 11 days. 60 requests took more than 30 days to respond. PRRs have increased 23% between January-March 2018 and January-March 2019. They have also become harder to track, with a 16% increase in "any and all" requests for the same period. Standard response times have increased by approximately one week for a standard request. Requests with installments have increased approximately one week for each installment, with four to six installments on average per request. The Health Department has multiple missed deadlines, including five-day acknowledgment letters. This increases the chance of litigation, reduces transparency and decreases customer satisfaction.

The Health Department's lack of specific software impacts our ability to respond to PRRs in a timely manner and our ability to capture, retain and manage records for their minimum retention period:

-Currently, records are duplicated between multiple systems used to track requests (Outlook, shared drives, SharePoint, SFPT site). Depending on workload, it can take IT up to one week to grant access for the appropriate staff person to access a folder or SFPT.

-As of late 2018, PRR e-mails come into a shared e-mail box. This has increased compliance with acknowledgment letters, but ongoing due dates and reviews remain difficult to track. The calendar function doesn't work for a shared group. As a result, requests are currently separated by division and tracked on personal calendars. Manual entry is time consuming and creates the opportunity for data entry mistakes. There is no oversight on this process. Additionally, if someone needs to step in to help complete a request or installment, it is difficult to track where staff is in the process. Generally, it requires using extension letters which delay response times.

-Records management is nearly impossible for Public Record Requests. Most responses are completed through e-mail and there is no records management tool for Outlook. E-mails are kept indefinitely. Documents can be destroyed from shared drives, Sharepoint and SFPT site.

-Records are stored in shared drives. The lack of permission control leaves sensitive information open to unauthorized staff. There is no set staff to review requests and new staff are added as needed. Adding new reviewers requires IT to add new users. IT does not grant temporary access to folders and is hesitant to grant access to individual folders.

-Records need to be routinely shared and reviewed by external counsel. Documents contain sensitive information and cannot be shared via e-mail. An SFPT site is currently used, but there is no oversight or tracking of review. The current SFPT site is failing and must be replaced in the next three months. There are ongoing access rights issues. It relies on IT to get a customer created, which can add up to a week on response times.

- Requests tracked on Sharepoint are cumbersome and each field requires manual entry. There are many repetitive data fields. The new JLARC report requirements can take five-ten minutes to capture all required data points. There are many instances of incomplete or missing data in the current system.

-Requests released through e-mail are inconsistent in size and unreliable. If files are too large, IT must create an SFPT site for the requestor which can delay response around a week. E-mails are permanently stored with large files. E-mail also creates duplicate copies of records between the original location, shared drive document storage and e-mail attachments.

-The Health Department does not follow internal policies regarding charging fees because invoicing is cumbersome. Invoicing is done manually or through case management software. Manual calculations can have errors. There is no electronic payment method. Finance software is not meant to invoice for items not created in the system. This causes reports not to balance and a need to manually backout unpaid invoices.

-In one division, automatic payments require a system that is not built for invoicing outside the normal scope of the program. Daily monetary reports get skewed and require management intervention if an invoice is not paid. This second system also creates a duplicate record of the PRR that is not tracked and cannot be destroyed as part of the normal destruction authorization process.

-Currently, redaction logs are manually created using a Word and Excel document. Depending on redactions, logs can be longer than 1,000 pages. In one case, an 800-page document had HIPAA and other protected data on each page. For this log, staff had to manually copy and paste a separate line for each page. Each line then required customization based on the content of the page. The log itself took more than four hours to complete.

## **About the Project**

### ***What hardware/software will be purchased and installed by May 31, 2020?***

GovQA

### ***How many sections and staff in the agency will be able to use this hardware/software?***

All public records requests for Tacoma-Pierce County Health Department will be tracked through GovQA. Approximately five to seven staff throughout the Department will review, redact and respond to requests. Approximately 30 regular staff will have "read only" access rights for management approval, depending on the content of the request.

### ***What is the basic plan/project schedule to purchase, install, roll-out and train staff in using this new hardware/software?***

If this grant application is successful, we intend to complete contract signing by June 30, 2019. Based on staff and vendor availability, full implementation and "go live" would be in early September 2019. The timeline below is approximate and flexible depending on contract signing. Full implementation will take two months.

Milestone/ Completion Date:

Project Kickoff Meeting 7/5/2019

Requirements Gathering 7/6-7/12/2019

Site Setup and Configuration 7/15/2019

Site Review 7/29/2019

Testing 8/1-8/15/2019

Finalize Site 8/16/2019

Training 8/19-8/30/2019

Go Live 9/1/2019

Project Completion 9/2/2019

### ***List the type of work to be carried out by agency staff, temporary staff, vendors, consultants and Archives staff.***

Agency Staff:

1) Information Technology-Provide permission access and collaborate with vendors to install software.

2) Records Team- Learn new software, fully integrate into standard Public Records Request process at implementation, train new members as needed on an ongoing basis.

3) Leadership- Fund implementation, add software to annual Records Management budget.

Vendors: Provide software, implement project management, provide training and documentation, provide ongoing software updates and customer support.

Temporary staff, Consultants and Archives- No role.

***How much money are you requesting?***

\$25,350.00

***Is your proposed choice of hardware/software the most cost-effective solution?***

Yes, this is the most cost-effective solution currently available. We reviewed demos and received quotes from three vendors and selected GovQA based on their redaction log capabilities and HIPAA compliance certificate. Current GovQA customers gave extremely positive reviews regarding increased productivity and reduced processing times with minimal administrative oversight. Gov QA can invoice and collect fees easily and more efficiently, which will help the Health Department maintain compliance with our internal Public Records Policy.

## **About the Expected Results**

***What improvements in response time to public records requests or records retention/management are expected?***

We expect zero late acknowledgment letters after successful implementation of GovQA. Response time will be improved by:

- Tracking ongoing deadlines.
- Reducing administrative oversight time viewing and assisting with requests.
- Reducing litigation and non-compliance risks.
- Granting rights for document reviewers to only see the records requests they need to see.
- Improving the automatic redaction log to be intuitive, thorough and automatic.
- Reporting JLARC automaticallyâ€”Reduce time for manual corrections from 15 hours per year in 2017 and 2018 to approximately 2-3 hours.
- Publishing non-sensitive documents directly to the website.

Although outside the scope of Public Records Requests, the HIPAA compliance certificate will help us integrate Medical Records Requests in the future. This will further increase productivity and save the Health Department time and money.

***What new procedures/training will be in place to make best use of the hardware/software going forward?***

All Health Department staff who process or review Public Records Requests will be required to fully use GovQA upon implementation. The vendor will provide training documentation. Current staff will receive extensive hands-on training from the vendor. New hires will use the system from day one using provided documentation with support from records staff and the vendor.

***What is your plan to cover any annual subscriptions/license fees going forward? (Grant funds can only cover the first year of subscription/license fees.)***

Health Department leadership has approved the ongoing cost up-front, assuming this grant application is successful. This item will be added to the Records Management budget for future years. The fee includes subscription licenses for unlimited users, seven redaction licenses, training and ongoing training and implementation support. Optional services include fortress deployment (HIPAA compliance), advanced document search, invoicing module, online payment calculator and ADFS connector