

Alternative Records Solutions and Shared Services Opportunities



Tompkins
CountyNY.gov

Dept of State - Local Government Innovations Conference

- **Governor's Municipal Restructuring Fund - \$150 Million**
- The MRF, which was included in the 2015-16 State Budget, will be used to fund and foster innovative and transformational local government restructuring efforts. Funds will be used to assist local governments with capital and other expenses related to the implementation of **local government** and school-district **shared services**, cooperation agreements, mergers and other actions that reduce operational costs and related property tax burdens on a permanent basis.

Ithaca is Gorges

Tompkins
CountyNY.gov



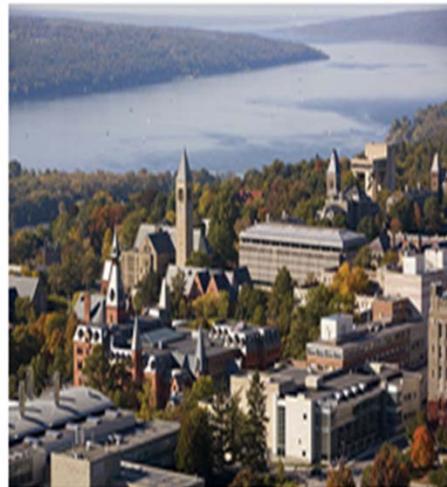
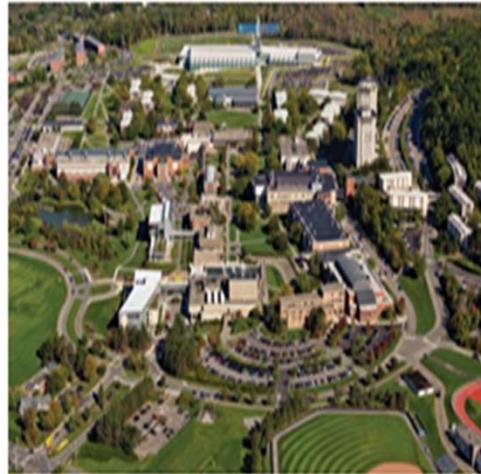
- Ithaca Ranked in Top 10 Best Places to Live
- America's Most Enlightened City
- Best College Town
- Smartest City in America
- America's Foodiest Towns
- 100 waterfalls



Best College Town – Cornell & IC




ITHACA COLLEGE



Voted - America's
smartest city



Background:

County Clerk EDMS Success

The County Clerk's Office has indexed and digitized **199** years of records, deployed a web portal service for secure, remote access to these records, achieved a local partnership with NYS Office of Court Administration focused on electronic access to Court records and improved processes by judges and support staff (paperless processing), and implemented e-recording & e-filing.

NYS Archives Grant Support

- 2000 - consultant to conduct County Clerk BPA for EDMS (\$15,000)
 - 2001 – County Clerk EDMS implementation (\$15,000)
 - 2002 to 2010 – annual grants for backfile and indexing documents into EDMS (\$376,734) – completed by Challenge Industries
 - 2007 – Board of Elections imaging software (\$74,370)
 - 2008 – records space study - \$17,500
 - 2009 – Legislature (MinuteTraq) – \$64,000
 - 2010 – Mental Health electronic medical records - \$50,847
 - 2011 - \$75,000 for scanning at Justice Center by Challenge for \$143,307 shared services grant with 6 towns
 - 2013 - \$150,000 to include the remaining 3 towns and the City of Ithaca
 - 2014 – \$150,000 to include the 6 villages and TCSWSD
 - 2015 - \$150,000 to include all town and village courts
- We have received over 1.6 million dollars in grant funding!**



Local Driving Forces

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

Former Records Center

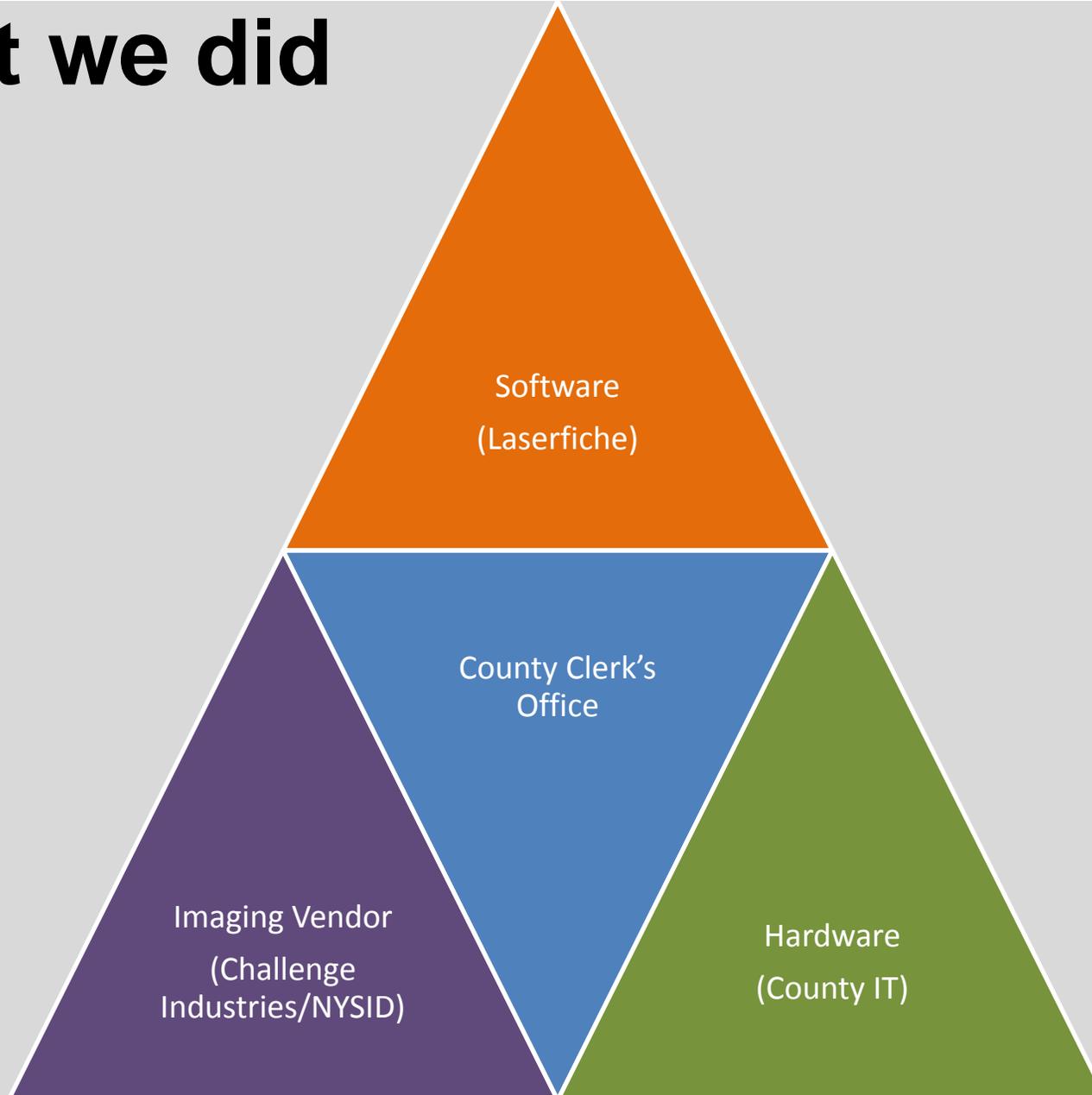


The County Records Center Problem

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



What we did



Current Digital Records Center

We have created a digital countywide Records Center by scanning the 9,000 boxes and thereby eliminated the need for a new large building to house a Records Center. All records previously stored in the old building have been scanned, indexed or stored, and incorporated into Laserfiche.



The Result!

6★ How a county saves \$5.5 million by going digital ★

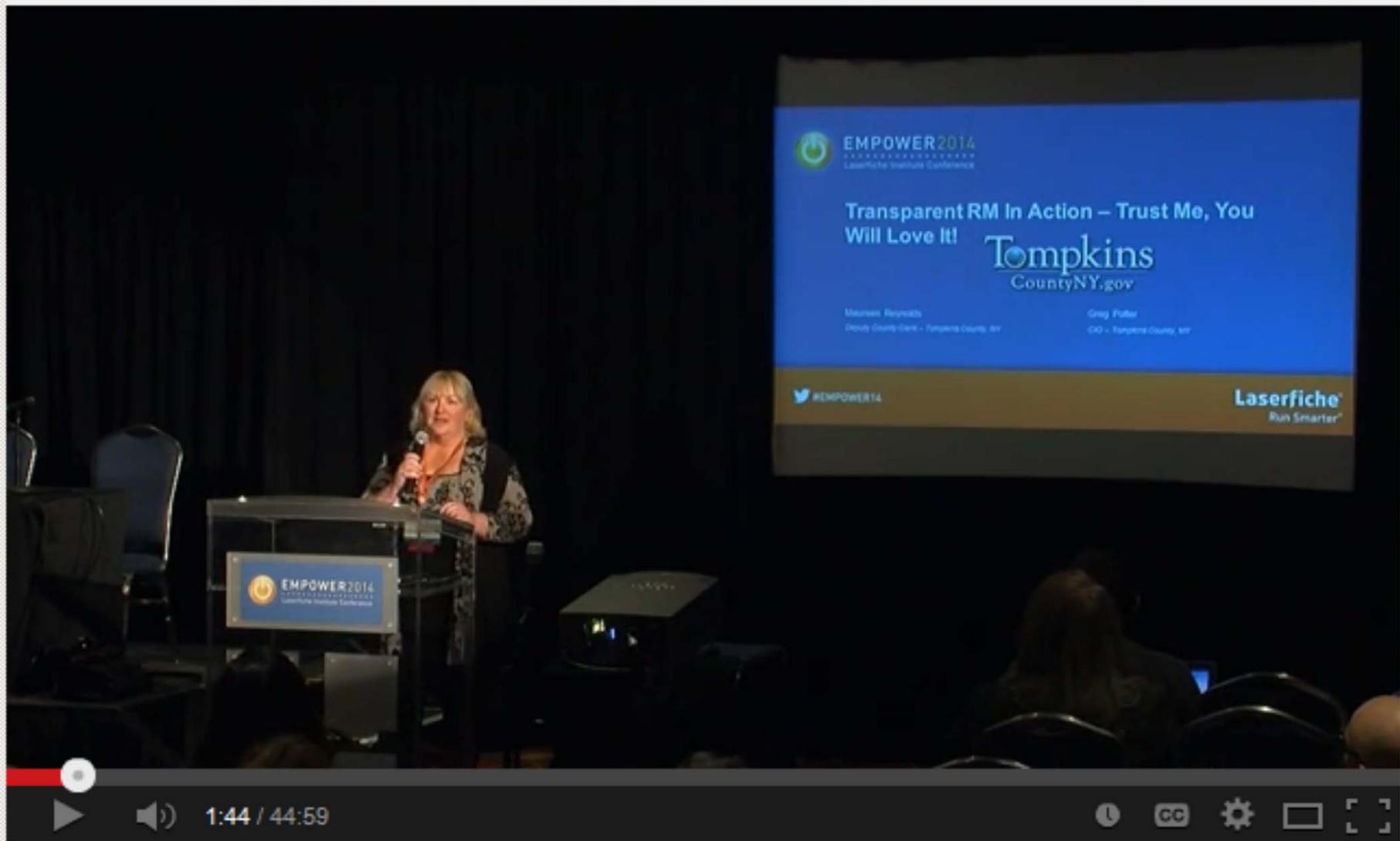
Run Smarter®

Laserfiche®

laserfiche.com

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Our software solution was recently highlighted at **Laserfiche.com**, highlighted in the keynote address at the **Laserfiche International Conference** in California January 2012 & presented in January 2014 for shared services projects, and the above Laserfiche ad was in the January 2012 issue of **The Economist** with our industry solution!



Tompkins County: Transparent Records Management in Action

DIGITAL COUNTIES SURVEY 2014 WINNER

Congratulations 2014 Digital Counties Survey Winners!

Up to 150,000 Population Category

- 6th Tompkins County, NY

**For a Second Year, Tompkins County
Achieves National Recognition as Top
Digital County in 2015**



Records Management Projects

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

Records Management Projects

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

Records Management Projects

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

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

Trust me, you will love it!

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

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



Maureen Reynolds
Deputy County Clerk
Tompkins County, NY

Records Management Concerns

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

Partners with Challenge Industries

Challenge Industries is a supportive employment agency and NYSID vendor

2009 & 2014 Business Partners of the Year



Laserfiche®

- Laserfiche is a Windows-based document imaging system that allows us to file, catalog and retrieve documents.
- Allows us to OCR images – text searchable.
- Has modules for automating workflows, auto-indexing of documents, e-forms, web access, and the assigning of CO-2 codes.
- It also allows users to highlight, redact, and add stamps and notes to the document image, just as with paper versions – but these are added as a layer on top of the electronic image so they do not permanently change the document.



Laserfiche®

Enterprise Vision

- Single software application for use across all departments.
- Potential for shared services with other municipalities.
- Dept of Defense certified audit trail.
- User based security.
- Ease of use for end user.
- Public access to public records thru web portals.

Smart Office Initiative

- ▶ Partner with Tompkins Cortland Community College
- ▶ Required for all new or major Tompkins County IT initiatives
- ▶ Identification of new processes leading to storage of final records in Laserfiche Records Management folder



Transparent RM In Action

20121011100045702 (11) - Laserfiche

File Edit View Tasks Annotations Tools Window Help

Image Metadata

ERT Insurance
301
- THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY -
CERTIFICATE HOLDER COPY

NAME AND NUMBER OF AGENCY
JE COMPANY, INC.
1: -NECA WAY
ITHACA, NY 14850-4314

DATE ISSUED 09/27/2012

NAME AND ADDRESS OF CERTIFICATE HOLDER
TOMPKINS COUNTY PUBLIC WORKS
170 BOSTWICK RD
ITHACA NY 14850-9303

NAME AND ADDRESS OF NAMED INSURED
JAMES BARRETT MEROD 'II'
JBM CONSTRUCTION D/B/A
513 W BUFFALO ST
ITHACA NY 14850-4013

This is to certify that policies, as indicated by Policy Number below, are in force for the Named Insured at the time that the certificate is being issued.

TYPE OF ASSURANCE	POLICY NUMBER	POLICY EFFECTIVE DATE	POLICY EXPIRATION DATE	LIMITS OF INSURANCE
GENERAL LIABILITY COMMERCIAL GENERAL LIABILITY OCCURRENCE FORM GEN'L AGGREGATE LIMIT APPLIES PER POLICY VOLUNTARY PROPERTY DAMAGE	0355120020	11/01/2012	11/01/2013	EACH OCCURRENCE \$ 1000000
				FIRE DAMAGE (Any one person) \$ 1000000
				MED EXP (Any one person) \$ 5000
				PERSONAL & ADV INJURY \$ 1000000
				GENERAL AGGREGATE \$ 2000000
PRODUCTS-COMPOP ADG \$ 2000000				
BOBLY INJURY (EACH PERSON)				
BOBLY INJURY (EACH ACCIDENT)				
BOBLY INJURY AND PROPERTY DAMAGE (COMBINED)				
EACH OCCURRENCE				
AGGREGATE				
STATUTORY				
BOBLY ACCIDENT \$ EACH ACCIDENT				
INJURY DISEASE \$ POLICY LIMIT				
BY DISEASE \$ EACH EMPLOYEE				

DESCRIPTION OF OPERATIONS/LOCATIONS/VEHICLES/EXCLUSIONS ADDED BY ENDORSEMENT/SPECIAL PROVISIONS

CANCELLATION: SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(s) must be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

THIS CERTIFICATE IS ISSUED FOR INFORMATION PURPOSES ONLY AND "NEARS NO RIGHTS ON THE CERTIFICATE HOLDER. IT DOES NOT MATIVELY OR NEGATIVELY LIST, AMEND, EXTEND OR OTHERWISE A THE TERMS, EXCLUSIONS AND CONDITIONS OF INSURANCE COVERAGE CONTAINED IN THE POLICY(S) INDICATED ABOVE. THE TERMS AND CONDITIONS OF THE POLICY(S) GOVERN THE INSURANCE COVERAGE AS APPLIED TO ANY GIVEN SITUATION. LIMITS SHOWN MAY HAVE BEEN REDUCED BY CLAIMS PAID. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER AND CERTIFICATE HOLDER.

ERT INSURANCE
SEE REVERSE SIDE
AUTHORIZED REPRESENTATIVE Eric D. Lt
CIP

Fields Tags Links Versions Signatures

Tag Description Watermark Cont

Replace with New Image

Vital Records Control Access to Vital Records

Create Tag...

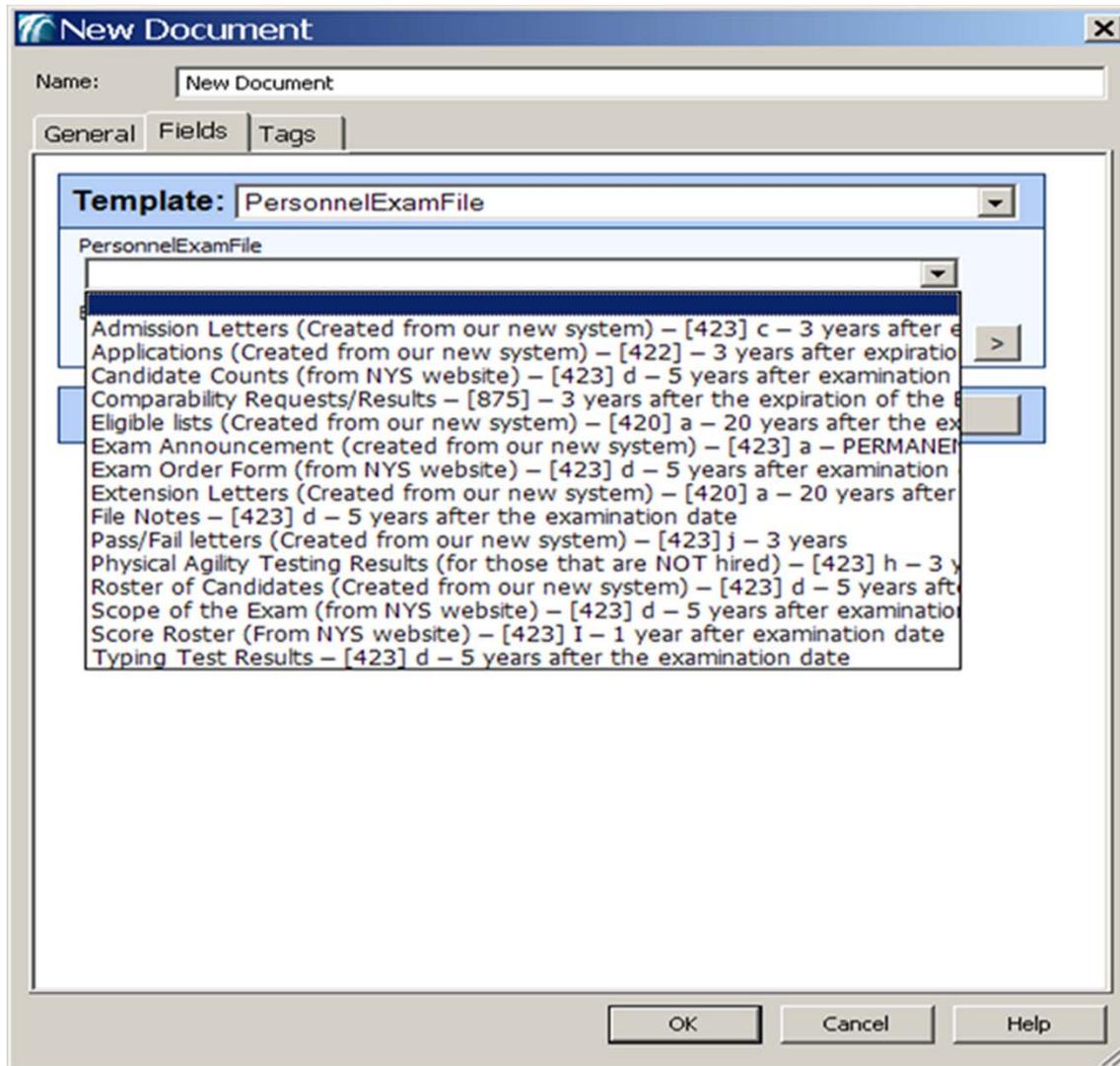
Text

SAE AND NUMBER OF AGENCY
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ITHACA, NY 14850-4314
NAME AND ADDRESS OF NAMED IN
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JBM CONSTRUCTION D /B /A
513 W BUFFALO ST
ITHACA NY 14850-4013
CERTIFICATE HOLDER COPY
TEISSUED 09/27/2012
NAME AND ADDRESS OF CERTIFIC
1
TOMPKINS COUNTY PUBLIC WORK
170 BOSTWICK RD

TompkinsCounty (acongdon) | Page 1 of 1

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

Transparent RM In Action



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

Tompkins Shared Services Electronics Records Repository



Shared Services Grant

Since we have seen the success of our records program and achieved major cost savings, the next sensible step was to offer the clouding solution of our digital records repository, to our local city, town and village governments. We have invested in our network, Laserfiche software, disaster recovery solutions and have an established partnership with our imaging vendor.

Tompkins Shared Services Electronics Records Repository

We met with our town/city/village governments and shared this opportunity with them. Our clerks realized they had the same records problems that we had been dealing with: public access to public records, time spent searching and retrieving records, storage of records, disaster recovery, security, damage and loss of paper records. The County hosted “clouding” of our records solution just made sense.

TSSERR User Group

T S S E R R



Each government has complete control over its own content within the system with various levels of security, as required by the government.

They have their own dedicated repository and access to a robust enterprise document management system that they can then tailor to their own needs.

TSSERR



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

www.tompkinscountyny.gov/tsserr

TSSERR



Why did it work?

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





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

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

May, 2015

Prepared by:

Weihua Fu, Ling Quan, and Rachel Rhodes

Cornell Institute for Public Affairs

Varun Shah

Johnson School of Management

Cornell University, Ithaca, New York



Figure 15: Digital Records Management Municipal Annual Cost Savings

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

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

Figure 16: Digital Records Management Projected Cost Savings

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

Further Grant Exploration

- Expand grant possibilities by applying for a Local Government Efficiency Grant
 - Assistance to develop plans for implementation and/or to implement projects such as: consolidation or dissolution, functional consolidation, city or county charter revision that includes functional consolidation, **shared or cooperative services**, and regionalized delivery of services.
 - **One-time grant funding for \$150 million for shared services projects.**
- Explore additional NYS Archives Shared Services Grants - \$150,000 and/or new category Demonstration Grant – \$500,000

Where to Store Records Now?

The County has leased an underground storage bunker at the Seneca Army Depot for our permanent archival paper, data backup and microfilm storage. The bunker is temperature and humidity controlled (and can take a direct hit from a missile launcher – as it was used in the past to store nuclear warheads!). Additionally, there is a direct fiber optics connection between our data centers and this storage facility.

Former Seneca Army Depot Bunkers



CLOSE-UP AERIAL VIEW OF BUNKERS



BUNKER EXTERIOR - BEFORE AND AFTER



BUNKER MECHANICAL ROOM



BUNKER INTERIOR - BEFORE AND AFTER



Questions?

Maureen Reynolds

Tompkins County Clerk

Mreynolds@tompkins-co.org



Tompkins County, NY, Clerk Goes Green with E-Recording

New York has expanded e-recording in Tompkins County with Simplifile, helping the clerk's office "go green" and reduce their carbon footprint by using less paper while saving customers time and money on document recording.

ITHACA, N.Y. ([PRWEB](#)) November 18, 2013 -- Tompkins County Clerk has implemented a faster, paperless way for customers to have [land documents](#) recorded by using Simplifile's electronic recording (e-recording) service, helping the clerk's office "go green" while saving customers time and money.

When asked why her office decided to start e-recording, Tompkins' Deputy County Clerk Maureen Reynolds said, "Why wouldn't we do it? It saves us staff time by not having to scan and index the documents, and even though we have a policy of processing and returning documents the same day we receive them, it now allows us to be even quicker. Additionally, we don't have to process the checks and scan them to the bank for our deposit. The funds now just 'magically appear' in our bank account."

Through Simplifile's secure, web-based [recording service](#), customers such as title companies, real estate lawyers, banks, and lien filers can submit their documents electronically for recording as well as their recording fees to the county electronically via Automated Clearing House (ACH), eliminating the need to send paper originals and checks through the mail.

"So far everything has been great. Everything is processed quicker and available for viewing sooner. [E-Recording] allows us to reduce our carbon footprint, save taxpayer money and allow our staff to work more efficiently," Reynolds added. "We are located in Ithaca, N.Y., where going green is what we try to do; our county cars are hybrids, our newer county buildings are LEED certified and utilize solar panels. We eliminated the need for a records storage building by scanning the majority of our paper records, which was approximately 9,000 boxes."

Tompkins County joins 16 additional recording jurisdictions in New York that have started e-recording, enabling customers to submit their documents to the clerk's office electronically through Simplifile's online service.

"Cutting down on paper and helping the county turnaround time-sensitive documents faster for their customers are some of the biggest benefits that come with e-recording," said President of Simplifile Paul Clifford. "We're glad to see that our service in Tompkins County has helped contribute to their goals in going 'paperless' for the environment."

"If you can scan it, we will take it," said Reynolds regarding the types of the documents that can be submitted for e-recording.

For more information about [e-recording in Tompkins County](#), call 800-460-5657 or visit [simplifile.com](#).

About Simplifile

Simplifile is the nation's largest and fastest-growing e-recording service provider. Simplifile supports thousands of e-recording customers including title companies, banks, attorneys, lien filers, and other

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Based in Ithaca, NY, Tompkins County is a progressive community of just over 100,000 people who prize environmental and social sustainability. "Our county vehicles are hybrids, our new county buildings are all LEED certified and we are always on the lookout for environmentally friendly products," explains Maureen Reynolds, deputy county clerk.

In fact, Reynolds explains, one of the county's major goals for the next few years is to enable 10 to 20 percent of its workforce to work from home at least part of the time. "From a green perspective, this will allow us to cut back on the number of people driving to work, and it will save energy at the county buildings," she says.

"It's also very important from a disaster recovery perspective to enable an 'untethered workforce,'" Reynolds adds. "If another Hurricane Sandy were to hit, we want to be sure that key employees can still do their jobs from their homes. My biggest fear is to be on the front page of the paper under the caption, 'Why didn't they take care of this?'"

She also notes that many employees need to be able to do their jobs from the field, including county judges, the district attorney (DA) and the assistant district attorneys (ADAs). "We have five county judges who need to be able to access case files from the bench, and do rotate from court to court on occasion. Going paperless has had a lot of benefits for them."

The path to paperlessness

The Tompkins County Clerk's Office started scanning records back in 2001. Over a nine-year period, it scanned 133 years' worth of land and court records. Based on its success with scanning, county administration asked the clerk's office to take over the county records center, an old building with 9,000 boxes of records and an antiquated tracking database.

"They told us we wouldn't get any additional budget or staff. I actually called my IT director and cried a little before asking, 'What can we do?'" says Reynolds.

She explains, "We knew we had the on-staff knowledge, expertise, IT support, IT infrastructure and vendor partnerships to turn this program around—but we needed an enterprise system, so we started looking for one. Our CIO had seen a Laserfiche demo when he was interviewing vendors for our County Legislature's meeting minute software. He thought it would work well for our countywide records needs."

Reynolds notes that the original plan was to simply put barcodes on the boxes to keep better track of them. However, "once we saw what Laserfiche could do, we decided to scan all 9,000 boxes in the records center, destroy the paper and eventually tear down the building."

Tompkins County had been planning to either build a new records center or renovate the existing building, which would have cost somewhere between \$2.3 million and \$6 million. Analysis showed that spending between \$400,000 and \$500,000 for scanning, software upgrades and IT infrastructure updates would save Tompkins County between \$2.3 million and \$6.5 million dollars. "After that," Reynolds says, "it was pretty clear that digitizing the records was the way to go."

Paperless court cases

For the County Clerk's office, back-scanning old court records had a big impact. As the owner of the county's court records, the clerk's office used to be charged with sifting through paper files in the dilapidated records center.

Now, all civil and criminal cases from 1817 through 2009 have been digitized. Using Laserfiche's online, self-serve document portal (which Tompkins County has configured for both public and secure internal search and retrieval), judges, law clerks and legal secretaries can instantly view closed cases with the click of a button — saving a great deal of time for the County Clerk's Office employees.

According to Reynolds, the judges have been using the portal to view archived case files on their laptops and mobile devices such as iPads for the last three years. This has been particularly helpful when a judge needs to review the cases associated with a repeat offender.

Within the last year, the County Clerk's Office has begun handing the day-forward scanning of all court-related paperwork, which has eliminated delays in paperwork processing. "In the past, people could file their papers in our office, with a court clerk or with a judge," Reynolds explains.



INTRODUCES THE
**2014
MPS
MOBILE
SALES
PITCH KIT**



Baseline

N.Y. County Reaps ROI on Mobile Records Management

By Guest Author | Posted 2014-08-13



By Maureen Reynolds, Greg Proffer and Loren Cottrell

Tompkins County, N.Y., which encompasses the Ithaca metropolitan area, started scanning records in 2001. Over a nine-year period, it scanned nearly 200 years' worth of land and court records.

When the county's administration asked the clerk's office to take over the county records center, we knew we had the staff, knowledge, support and IT infrastructure to handle it, but we lacked an enterprise records management system that we could use across all departments and integrate with a wide variety of departmental systems.

Our original plan had been to put barcodes on the boxes of records to keep better track of them and then to either build a new records center or renovate the existing one. However, we quickly realized that we could extend the value of the system by scanning all 8,000 boxes of files into a Laserfiche system.

Building a new records center or renovating the existing building would have cost between \$2.3 million and \$8 million. Our analysis showed that with an investment of \$400,000 to \$500,000 for scanning, software upgrades and IT infrastructure updates, using Laserfiche could save us as much as \$5.5 million dollars.

We then asked the county administrators to let us invest some of the saved money in expanding the records management project to additional departments. These included the airport, assessment, county administration, county clerk, district attorney's office, finance, geographic information systems division, health department, highway and facilities, legislature, mental health, office for the aging, personnel, purchasing and the sheriff's office.

From an IT perspective, one thing that's been extremely helpful is making our SmartWork initiative available to all departments. The county puts up a pool of dollars every year, and departments have to compete for the use of the money. The initiative allows us to work with Tompkins Cortland Community College and workflow process experts to analyze existing processes, document what the new processes will look like, and get buy-in from all stakeholders.

For process-driven projects, the departments must go through this initiative to define their processes before we will jump in on the IT side. It helps us determine which departments are ready and which ones are likely to succeed.

We started to work on implementing an enterprise records management system in 2011. We now have a backlog of more than 25 projects, so having a way to prioritize them is important.

Scanning Civil and Criminal Cases

Digitizing court records was one of our first Laserfiche projects, and the court's use of the system has evolved over time. We started by back-scanning all civil and criminal cases from 1817 to 2006.

Now, using an online document portal, judges, law clerks and legal secretaries can instantly view closed cases on their laptops and mobile devices with the click of a button. Court personnel find this mobile capability crucial when they deal with repeat offenders.

In the past year, the county clerk's office has begun handling the scanning of all court-related paperwork as it is produced or received during the course of the business day. The county court handles approximately 1,400 civil cases and 4,500 criminal cases a year, so processing everything the day it is received saves a lot of time.

Paper documents are scanned into Laserfiche, which is integrated with a file-management system that time- and date-stamps the documents. After that, documents are immediately emailed to the judges.

Judges sometimes have the reputation of being slow to embrace change, but our judges look to the paperless approach readily. Because of that, we're confident that our district attorneys and assistant district attorneys, who have traditionally had to drag large boxes of files into court, will also appreciate our mobile, paperless approach to case management.

We're currently looking to migrate the district attorney's office from a legacy case management system into NYPTI, a state system developed by the New York State Prosecutors Training Institution. Laserfiche will be integrated with NYPTI, so case documents will be created in NYPTI and archived in the Laserfiche repository. Documents will be digital from the very start, eliminating the need for paper records.

While the IT department is mapping out the streamlined case-management process and preparing to integrate Laserfiche and NYPTI, it is also expanding the WiFi access points in the courthouses so that the district attorneys and assistant district attorneys can access their case files using mobile devices.

The sheriff's department has also benefited. In the past, the staff had to navigate a roomful of arrest reports by using an index-card system to find what they needed. After digitizing the arrest reports, the department transformed its records room into viable office space and cleared the paper out of its garage so officers have a place to park.

Committed to Innovation

We believe that we're a forward-thinking county, adopting technology that creates efficiencies, reduces costs and, ultimately, helps us serve the citizens of Tompkins County in a socially and environmentally sustainable way.

Toward that end, our county vehicles are hybrids, and our new county buildings are all LEED (Leadership in Energy & Environmental Design)-certified. One of our major goals for the next few years is to use our enterprise records management system to enable 10 to 20 percent of our employees to work from home at least part of the time. This will allow us to cut back on the number of people driving to work, and it will save energy at county buildings.

From a disaster recovery perspective, giving key employees remote access to digital documents will allow them to do their jobs from their homes in the event of an emergency. We never want to be featured on the front page of the newspaper with the caption: "Why didn't they plan ahead for this emergency?" Thanks to Laserfiche, we never will.

About the authors:

Maureen Reynolds is the records management officer and deputy county clerk for the Tompkins County, N.Y., Clerk's Office, where she has worked for 21 years.



Tompkins County Crumples the Paper Jam

By Samuel Greengard | Posted 04-30-2014



By Samuel Greengard

The transition from paper to pixels has presented enormous challenges for many organizations. However, for government entities that are mired in paper—and with documents that date back decades or centuries—the migration to a digital business environment is an often daunting task.

[Tompkins County](#) in New York, which encompasses 476 square miles and has a population of just above 100,000, is a leader in migrating from paper to pixels. “In the past, we had mountains of paper and we had a building that was starting to fall down and leak. We recognized that we had to move to a more sophisticated electronic document management system,” says deputy IT director Loren Cottrell.

The transition was a difficult ordeal. Among other things, Tompkins County had 200 years of criminal and court records tucked away in file cabinets and storage boxes. Overall, it had more than 9,000 boxes from 29 departments dating back to 1817. “We had every record conceivable with every county department,” Cottrell notes.

Although the county had embarked on a document imaging initiative in 2000—it included land and civil records—it wasn’t until it began receiving state grants totaling nearly \$600,000 in 2011 that it had the resources to go entirely digital (the project actually commenced in 2010). “Although we outsource the scanning, the existing imaging system couldn’t handle all the documents we needed for the new project,” he explains.

The county adopted an electronic content management (ECM) system from [Laserfiche](#). By converting the paper records to digital content, the county has streamlined internal workflows, trimmed costs and built a more efficient environment. For example, judges now use iPads to access court documents from the bench. Employees can view pertinent records without having to leave their desk. In the past, fetching a record could take anywhere from minutes to hours.

An added benefit is that the records are more securely managed and Tompkins County can conduct audits more effectively. “We have a far more sophisticated indexing and retrieval system in place,” Cottrell points out. What’s more, the records are integrated with applications the employees use, and all the records are available through a web browser, either on the desktop or via a mobile device. The mobile feature makes key documents and records available to engineers, inspectors and others in the field.

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Cities Lose Paper & Gain Efficiency

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"Government" and "efficiency" are two words rarely spoken together, but at a conference last month, they fit like peanut butter and jelly.

At the Empower 2014 conference in Anaheim, Calif., put on by content management software firm Laserfiche, two government agencies demonstrated how they transformed arduous paper processes into simple electronic processes using enterprise content management (ECM) and business process management (BPM) technology. These local government bureaus serve as templates for private sector companies searching for technology-based efficiency. The following are summaries of both cases:

Taming paper in the O.C.

Newport Beach, Calif., is more than *The O.C.* It's one of the wealthiest communities in Southern California. But in 2010, finding paper documents in the city archives was like the ending of *Raiders of the Lost Ark* — once information was filed, it would take a search party to locate it.

CASE STUDY

Tompkins County

A Shared Services Success Story

Maureen Reynolds, Deputy County Clerk of Tompkins County, NY knows a little bit about document management. One could say that she climbed an enormous paper mountain, and helped turn records management around for her county and the communities it contains. When the process began, the task looked insurmountable. Reynolds describes the situation on Day One: "We were given the assignment to manage the Tompkins County Records Department and the County's Inactive Records Center. These were contained in a dilapidated former library building, where the boiler and HVAC were barely working and the roof leaked. Inside this document dungeon were stored the paper records for 28 separate County departments, equaling a grand total of 9,000 boxes! Our program also inherited a pair of obsolete databases (Access and MASS-11). On top of that, the County's records program had been severely neglected for the past 10 years and it really needed our help." And that's just the beginning. Little did Maureen (or anyone in Tompkins County for that matter) realize that a strong combination of planning, a whole lot of elbow-grease and document scanning could manage to yield a county-wide Laserfiche solution that would include villages, towns and even the City of Ithaca.

Nothing succeeds like success.

Positive momentum is critical for consensus and "buy-in" amongst department heads and colleagues. Capitalizing on her early successes, Reynolds and her team of Laserfiche experts further expanded their document management integration across Tompkins County. Walking us through the spread of Laserfiche into multiple departments and communities, Reynolds states: "We replaced an Access and MASS-11 database in the records program that only was used to track the boxes stored in the records center. As we have implemented Laserfiche in other departments, we have replaced those departments' databases with Laserfiche and have used Affinity to instantly integrate Laserfiche with other third-party applications. Our biggest success with Laserfiche integration was with our new HR/Payroll system. Prior to the HR/Payroll implementation, we had



scanned all of that department's paper records and they are now available in Laserfiche. We recently upgraded to Laserfiche RIO and have all 28 County departments (as well as 13 Tompkins County towns and villages, plus the City of Ithaca) using Laserfiche, and plan on upgrading to 100 County users by next year. We also offer County-hosting for the records of the 16 cities, towns and villages in our County. Some specific examples include: In our shared services for our towns, we have automated the routing of their legislative resolutions from an incoming folder, and with the individual towns' building departments, we automated the notifications of their "land parcel splits" at the county level. This allows the towns' code enforcement officers (CEOs) to obtain this information from the appropriate town repository, and simultaneously notifies that town's CEO via e-mail about the new land parcel information."

All of this digital document management and shared services has not gone unnoticed at a state level either, resulting in grants for further expansion and also simplifying compliance with New York State records retention requirements. "We have been awarded grants for shared services to implement this through the New York State Archives and their records management program. Also, all new software for any County department must be able to digitally drop the official record copy into Laserfiche at least once a year – as we are using Laserfiche to meet our records retention requirements as set by New York State."

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**GENERAL
CODE**
CMB Division

County digitizes 200 years of records – and stays on budget

- By William Jackson
- Aug 20, 2014

Four years ago, Tompkins County in upstate New York had to make a decision on what to do with nearly 200 years of paper records. The vintage county library building where old records were stored was being repurposed, and a new home had to be found for more than 9,000 boxes of documents.

Financially, the decision turned out to be simple, said IT director Greg Potter. The county already had begun using some digital documents in the mid-2000s, so digitizing existing records was an option. And building a new records storage center for paper documents would cost an estimated \$6 million. “We did a cost comparison for digitizing the records we had and that came out to \$500,000.”

With \$600,000 in state grants, the county began scanning and digitizing documents in 2010, and two years later had converted 13 million records into electronic files. “It wasn’t as bad as I thought it was going to be,” said Deputy County Clerk Maureen Reynolds. “And it was cheaper than I thought it was going to be.”

The files now are held on mirrored storage-area networks in two county data centers. If additional grant funding comes through as expected in the coming year, the next step is to move the electronic records to nearby secure, climate-controlled digital storage facilities. The space is being converted from Cold War-era military bunkers by Finger Lakes Technology Group (FLTG), a local networking company.

Tompkins County is at the southern tip of Cayuga Lake and has a population of about 105,000. Ithaca, the county seat, is a college town, with Cornell University and Ithaca College the largest employers. Most of the paper records maintained by the county go back only to the 1970s, but some date to 1817.

Just as important as technology in successfully moving from a paper to a digital environment is business analysis, said Katie Burke, government program manager for Laserfiche, the company that provided content management software for the conversion.

“The challenge is imagining the business process in a digital way,” Burke said. “Tompkins County has been impressive in the way it scaled the project.”



Shared services grants go a long way in New York State.

- Tompkins County, New York, began digitizing land and court records dating back to 1817 a decade ago, with grants funding most of what blossomed into a shared service across all its local jurisdictions.