OPPORTUNITIES TO IMPROVE THE EFFICIENCY AND EFFECTIVENESS OF RECORDS MANAGEMENT PROCESSES IN THE CITY OF ROCHESTER

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SUMMARY

The City of Rochester received a grant from the NYS Archives (SARA) in summer 2004 to conduct a business process analysis (BPA) to identify how the City creates, maintains and stores information and records, and to also identify opportunities to make these processes more cost effective.

CGR conducted the project in three phases:

1) Reviewing the operations of Information Systems (IS) and the Records Management Center (Record Archives) and the flow of records between them and City departments

2) Targeting three records-intensive departments – Rochester Police Department (RPD), Neighborhood Empowerment Team (NET) code enforcement, and the Department of Environmental Services (DES) – for a detailed analysis

3) Developing a brief overview of the major records series of other City departments.

There are four major recommendations in this report and, where applicable, a description of the associated costs and benefits. The recommendations are to:

❖ Complete the final 25% of the journey to making RPD crime, accident and incident records electronic, thereby eliminating the costly paper records that currently constitute the City's "legal" police records.

❖ Consider one of two solutions – based on either handheld computer equipment or document imaging – to eliminate the inefficient and costly dual paper and electronic system in NET code enforcement and the resulting drain on resources in both IS and Record Archives.

❖ Involve City IS in a pivotal way in future Local Government Records Management Improvement Fund grant applications to SARA: 1) to ensure records process improvements and related technology decisions are made in an appropriate and integrated fashion in the future, and 2) to capitalize on the foundation IS has put in place in the past year to help prepare City government to begin significant automation of workflow processes.

❖ Change Record Archives from a records warehouse to a records management center for records that require long-term storage. This would include upgrading microfilm equipment.

The report also contains various records-related recommendations for DES. In addition, there are recommendations throughout the report that affect other areas of City government operations.

Note: CGR recommendations throughout this report are highlighted in bold italic type.

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OVERVIEW

In early 2004, Rochester's City Clerk, who also serves as the City's Records Management Officer, asked CGR to submit a proposal for a business process analysis (BPA) to identify how the City creates, maintains and stores information and records, and also identify opportunities to make these processes more cost effective. CGR subsequently proposed a plan of work as part of a Local Government Records Management Improvement Fund grant application by the City to the NYS Archives (SARA).

SARA approved grant funding in summer 2004, but at a significantly reduced level. In August 2004, CGR submitted a revised work plan to the City and agreed to provide the following services:

1. Conduct an initial review of procedures followed and records retained by the City's two central repositories, the Bureau of Information Systems (IS) and the Office of Records Management (Record Archives).

2. Conduct a review of the flow of records between departments and the two central repositories, and identify areas needing improvement.

3. Choose two or three departments to research in detail in consultation with the City. Identify the records series in the departments and determine the major opportunities for improvement in records management both within the department and between the departments and the two central repositories.

4. Provide an overview of the records in other City departments.

5. Submit a final report to the City Clerk that:

   ❖ Summarizes findings and recommendations (immediate and future)

   ❖ Describes current processes and recommended improvements

❖ Identifies the estimated costs and benefits of major recommendations

❖ Identifies key steps and primary issues, including significant training or investments in technology, facilities or equipment needed to implement the recommended improvement.

❖ Provides an overview, to the extent possible (given reduced funding), of the major records series, both paper and electronic, retained by City departments.

Opportunities to Improve the Efficiency and Effectiveness of Records Management Processes in the City of Rochester constitutes our final report. Our major recommendations target four areas: Rochester Police Department (RPD), Neighborhood Empowerment Team code enforcement (NET), IS and the Record Archives.

This report also summarizes major recommendations for the Department of Environmental Services (DES). In addition, Appendix A provides an overview of records maintained by other City departments, to the extent that CGR was able to obtain the information. Appendix B consists of correspondence from the Monroe County District Attorney related to Police records. Appendix C lists individuals who were interviewed for this report. Appendix D includes information from the City's Record Archives on the benefits of having a state-of-the-art piece of equipment (i.e., an archive writer) if funds could be obtained via a records grant.

Methodology

CGR divided the project into three phases.

Phase 1

We conducted an initial scan and review of the procedures followed and records retained by IS and Record Archives. This included a review of the flow of records between the departments and the central repositories. Subsequent to this phase CGR recommended that the City apply to SARA in the 2004-05 grant cycle for funds to inventory materials held at the Record Archives.

CGR found the City's only other inventory to date, which was completed in 1990, was in a paper format and could not be

updated. We also found that several departments, including the City's largest (DES), had not been part of the 1990 inventory.

The City recently learned it will be receiving grant funds and has scheduled the inventory to begin in summer 2005. IS is working closely with Record Archives to define an inventory system that will lead to improved electronic record keeping. By fall 2005, IS also anticipates identifying a document imaging solution that will not only be used by Record Archives, but will also become a standard for the City. As the City moves forward in making records management processes more efficient (and less paper intensive), having a standard document imaging solution will help streamline future record storage and retrieval.

Phase 2

Using what we learned in Phase 1, CGR, working with the City's Records Management Officer, identified three records-intensive departments to survey in detail – Police, NET code enforcement and DES. The goal was to define the most important opportunities that exist to improve the effectiveness and efficiency of records management both within the three departments and through interaction with the two central repositories. (Note: although RPD does interact with City IS, actual police records-related operations are handled by a separate Police IS unit.)

Phase 3

CGR conducted a brief review of how records are managed in the other departments in the City. This phase of the project was significantly reduced in scope as a result of the reduced grant funding. The information gathered in Phase 3 appears in Appendix A.

2. POLICE CRIME, ACCIDENT AND INCIDENT REPORTS SHOULD BE FULLY ELECTRONIC

One of CGR's top recommendations for improving the efficiency and cost effectiveness of record keeping in the City is to complete the process of making all RPD crime (and accident and incident) records electronic.

RPD is on track to have tablet computers and related hardware/software in all police cars by mid-2006.

RPD is on track to have tablet computers and related hardware/software in all police cars by mid-2006. Of 200 marked patrol cars, 120 already have units, 14 are ready and awaiting delivery of new cars, and funding has been awarded and approved for the remaining 66 vehicles.

RPD has been building patrol-car reporting capability (and related internal electronic capability) using various projects and grants that primarily addressed department needs that were not specifically tied to records. This process started in 2000 with the transition from Wang VS to an Oracle database, and has developed as the result of RPD receiving various grant funds made available to help law enforcement agencies move to TraCS – an electronic Traffic and Criminal Software system –- and equip police vehicles with computers (the Mobile Data Computer – or MDC – project).

The MDC project has involved outfitting marked patrol vehicles with tablet PCs using Microsoft Windows operating systems capable of secure broadband wireless data connections. This environment allows various applications to be extended as a "mobile office" for the patrol officer including, but not limited to CAD (computer-aided dispatch), electronic field reporting and routing, records access and query, and data sharing between related agencies.

Current Status of RPD Crime Reports

Despite these significant developments, currently there is a dual system for crime reports – one paper and the other electronic. In the current budget environment RPD has limited resources to complete all the components required for a beginning-to-end electronic records system that meets legal and RPD operational

standards. While its electronic records database is integral to internal operations, paper is used by police officers to complete the majority of their reports today, and paper records constitute the City's legal police records.

- ❖ Paper reports are filled out manually by officers; sorted, filed and processed manually; and then maintained for two years at RPD Headquarters. At the end of that period they are sent to Record Archives.

  Record Archives is currently "treading water" regarding space (boxes must be found that are at "destruction dates" in order for incoming boxes to be stored – and the problem has gotten worse in the past three years as Record Archives has taken in more records than it has been able to get official approval to destroy per designated destruction dates). Currently 26% of all Record Archives records are RPD-related – and approximately half of these police records are crime reports dating to 1965, and therefore a major contributor to the space crunch.

  In summer 2004 RPD sent seven new Police Academy graduates fulltime for three to four weeks (and again this summer plans to send more) to sort boxes of crime report records, since the consecutively numbered crime reports at Record Archives must be retained – but for varying lengths of time. (RPD must keep permanently all records retaining to Class A felonies, records involving children until they reach age 21, and those involving guns and fires, but most other crime reports must be saved for 10 or fewer years.)

  Paper records are RPD's "legal" records today and all retrieval of these records is manual, both while the records are kept in RPD and when they reach Record Archives. Retrieval of these records occurs frequently every week of the year.

- ❖ PACER is RPD's official records management database. It is maintained and only used by RPD. PACER is used for cataloging all criminal incidents and arrest incidents. It is a relational database, allowing queries, etc.

Data entry staff in Police IS enter a significant number of fields from paper crime reports into PACER. Staff also scan the original paper copy. However, due to the time demands of paper processing on clerical staff today there is no validation of what is entered into the system.

Creating an Electronic Flow System for Key Records – RPD Has Already Completed Three-Fourths of the Journey

As a result of the progress RPD has made since 2000, it is three-fourths of the way to having all major pieces in place to turn crime reporting (also incident and accident reporting) into an electronic flow system – beginning to end.

Existing law and practice allow for electronic legal records. CGR, along with representatives of the City's Law office and Police IS, met with the Monroe County District Attorney, who verbally endorsed the concept and followed up with recommended guidelines (see Appendix B). The District Attorney pointed out that electronic police records would be a tremendous time saver for his own office operations as well.

CGR notes that for the past year Syracuse has had electronic-based police reporting, including electronic signatures. The Syracuse Police Department, along with 19 affiliated agencies (e.g., Sheriff's Department, District Attorney's office) jointly implemented the new system to eliminate cumbersome paper processing. Today Syracuse police print out one copy of a crime report when needed by a court. The county District Attorney has direct access to the system and prints out copies for defense attorneys. Glens Falls also has an electronic record system.

Proposed Solution for RPD Records and Related Costs, Benefits, and On-going Maintenance

CGR's recommendations for RPD records, along with the related costs, benefits and on-going maintenance are outlined below:

Recommendation 1

The City should apply in the 2005-06 grant cycle for up to $125,000 ("complex grant") from SARA to cover a substantial portion of costs regarding the final 25% of the journey to taking RPD's key records electronic. Depending on RPD's budget resources (or its ability to obtain additional grants from law enforcement sources), the City may need to apply for a second grant for RPD in 2006-07 from SARA to fully complete the process.

Recommendation 2

RPD should determine the most cost-effective way to sort the remaining 25 years of unsorted paper police records at Record Archives.

CGR points out that SARA does not fund technology grants but it does accept grant applications for records improvement projects with a technology focus.

❖ Elements to be included in the application are estimated by Police IS to total $175,000 - $240,000 and would need to be completed in the following order:

1. Records database conversion/normalization with addition of needed New York State Incident-Based Reporting (NYSIBR) data fields. Estimated cost: $30,000 - $50,000.

   (Note: NYSIBR is a state version of a national effort to move police agencies to a new, enhanced crime reporting system, replacing the system that has been in place since 1930. To date, about 20% of local law enforcement in the state is NYSIBR-compliant).

2. Hardware such as servers and network equipment to house the electronic reporting application and its configuration. Estimated cost $30,000 - $40,000.

3. The actual electronic reporting enterprise application and configuration work that needs to be done by a vendor. Estimated cost: $115,000 - $150,000.

Savings to offset the cost of implementation total $130,000 annually, excluding on-going software maintenance – and there are additional significant benefits.

❖ Savings to offset the cost of implementation include:

◆ Staffing reallocation of two full-time clerks at $25,000 annual salary = $50,000 annual savings.

◆ Staffing reallocation of four part-time clerks at $20,000 annual salary = $80,000 annual savings.

❖ Benefits of an electronic records system include real time, or dramatically reduced wait time for key documents. Using paper records the following occurs:

◆ Typical wait today for reports on major felonies is 12-14 hours.

◆ Wait today for reports on Part 2 (less serious than above) crimes can be significant – currently RPD is 15-30 days behind.

◆ RPD estimates crime analysis delays for all crime categories are currently 24-48 hours.

◆ For another example of improved reporting capability, consider what has occurred in the City of Syracuse. To do a weekly map re: vehicle larcenies and criminal mischief formerly took eight hours. Now it takes two hours.

◆ RPD estimates officer time savings using an electronic system would be 1-3 hours per officer per shift. (An estimated one-quarter of the time savings would be lost in Year 1 due to training).

◆ RPD is awaiting more details from its long-term vendor, but anticipates the changes proposed would make RPD NYSIBR-compliant or nearly compliant.

◆ As part of a new electronic system Police IS would incorporate "validation" into its records process. Another plus is that security would be part of the database application selected – while the current PACER system requires customizing security all the time.

◆ Creating an electronic records system for key documents will result in significant time saved in Record Archives.

❖ Since RPD is already committed to the periodic replacement of computer equipment in police vehicles and must by necessity also fund related computer expenses (e.g., replacement cables), there is only one significant additional maintenance cost for completing

Since RPD is already committed to the periodic replacement of computer equipment in police vehicles and must fund related computer expenses (e.g., replacement cables) the only significant additional on-going cost is for software maintenance – estimated at $23,000 to $30,000 annually.

RPD's electronic journey for key documents. The annual cost of software maintenance is estimated at 20% of the $115,000 - $150,000 electronic reporting enterprise application and configuration work noted earlier. This would translate to an estimated $23,000 to $30,000 annually.

RPD says the new electronic system would have 700 users but would have no additional annual licensing costs.

RPD also notes that although current tablet computers and peripheral equipment come with three-year equipment warranties, the department anticipates the next purchase will include a five-year warranty to cover anticipated repairs. (The oldest tablet computers are now four years old and are scheduled for replacement at year-end 2005.)

Steps in an RPD Records Grant Application

❖ RPD IS personnel should confer with the City Clerk and Gail Fischer, the Regional Advisory Officer for Region 7 of the NYS Archives, in summer 2005 regarding a records grant submission.

❖ RPD and its IS unit should review the "NYS Best Practice Guideline #G04-001 Electronic Signatures and Records (ESRA) Guidelines" provided by the Monroe County District Attorney.

❖ As part of its grant submission, RPD should consider drawing upon two key sources of information in addition to the information contained in this report. They include: 1) the "Business Process Re-engineering Study of the RPD Data Entry Process" completed by Telperion Solutions Group, an outside vendor, in January 2005 and 2) a document created in May 2005 by Police IS entitled "Fully Automated Records Management System." The latter can be used to help graphically illustrate what exists and what is still needed to complete RPD's electronic records journey.

❖ The grant submitted to SARA should also include documentation from the Chief of Police re: RPD's ability to implement and maintain the electronic system over time.

3. NET's "Dual" Paper and Electronic Record System Is Inefficient and Costly for the City

Rochester's NET program is designed to solve "quality of life issues" for City residents (e.g., housing code violations, high grass and weeds, abandoned cars) quickly and efficiently from six field sites located throughout the City. Although police officers are co-located at these sites, the following information refers only to code enforcement and related records processes of the NET program. These processes primarily impact the six field sites and NET Central at City Hall, IS, and Record Archives.

> **At any given point in time NET has 9,000 to 12,000 open cases.**

At any given point in time NET has 9,000-12,000 open cases ("get tough" on grass, weeds, and trash season in the summer is the period of highest volume). The 28 NET inspectors (two are part-time) in the six field offices are responsible for inspecting and re-inspecting properties for code violations. Each field site generally has one to two clerical staff who are primarily responsible for assisting inspectors with records-related processes, including input of information from hand-written inspection reports into the City's Building Information System (BIS).

At NET Central, located on the ground floor of City Hall, there are a total of 18 full- and part-time staff members, including the NET Code Coordinator, who oversees daily operations. In this group there are seven staff members (ranging from an executive assistant to a filing clerk) whose everyday work involves significant activities that are a part of code enforcement record-keeping processes. Several of these individuals also enter data into the BIS system for NET on a daily basis.

The records at NET are kept in two forms – paper and electronic – but only the paper files are comprehensive and therefore legal documents per SARA guidelines. However, the electronic system, which includes key information from paper documents, is absolutely essential to daily operations. Inspection appointments, Notice & Orders, tickets and most other critical documents are

generated electronically by the BIS system. The BIS system also provides access to other key City information, such as assessment and permit data, needed on a daily basis. However, because the electronic system does not include all necessary information (e.g., case-specific information from landlords, owners or agents), and data inputted into the BIS system is not audited on an on-going basis, clerical staff must retrieve paper or microfilm files when questions arise or documents that must meet legally admissible standards are required

> *Individuals at all levels within NET have a strong desire to streamline record processes.*

In meeting with NET staff members, CGR found that individuals at all levels of the organization have a strong desire to streamline records processes.

Brief Historical Overview of NET Record Processes

For many years after NET was established in the late 1990s the procedure was to send all closed case NET files after one year to Record Archives. At that time all records (e.g., single family, multi-use, high grass & weeds, trash, abandoned autos) were prepped (extra copies, staples, paper clips removed) and microfilmed at Record Archives, and duplicate microfilm was returned to NET. Depending on the time of year, Record Archives was then processing 27 to 40 boxes per month. (Note: 1 box = 1 cubic foot of records.)

A combination of cutbacks in staff at Record Archives, and adherence to SARA guidelines (single-family property inspection files can be destroyed six years after a case is closed per SARA MU-1 schedule, 2003 latest version) led to a decision about two years ago to begin separating out single-family NET records, which would allow Record Archives to dispose these records on their destruction dates with no need to microfilm them.

At about the same time, NET initiated a discussion with City IS about moving to an electronic system of record keeping. The hope of designing a system that would allow BIS to become NET's source of official records, combined with a growing backup in paper processing at NET Central (since initial sorting and purging previously done by Record Archives had now shifted to NET), led to a decision by NET to store 238 cubic feet of records, which had not been separated (single-family from other records), to rented space in Henrietta on a temporary basis.

A number of concerns, however, kept NET from moving to electronic record keeping, including these three: 1) NET administrators were unsure hand-held computer devices would be a workable solution for inspectors, 2) IS was concerned about undertaking a lengthy, multi-month process to complete needed programming without a firm commitment from NET to adopt hand-held devices, and 3) NET was worried about how it would fund on-going maintenance costs of electronic equipment.

The result was that paper processes have become particularly burdensome for NET. Today, NET Central, after time-consuming sorting and purging of closed case files, is sending about 13 boxes a month to Record Archives (down from 27 to 40 boxes previously), with single-family records already separated from other records.

In addition, whenever time has become available in the past year NET Central clerical staff have also been working on sorting and purging the backlog of records in storage. As of May 2005, some 175 cubic feet of the original 238 cubic feet of records remained in rented storage. (Note: it takes NET Central two hours to purge one box of closed case files. Not counting the additional purging described below that takes place at Record Archives, it would take one clerk 350 hours - or nearly nine weeks working 40 hours fulltime - to eliminate the backlog and prepare these records for delivery to Record Archives.)

In developing this report, CGR made the following additional observations concerning NET records processes and how they impact various areas of City operations:

NET's Record Processes and the Impact on IS

> *IS produces nearly 1.5 million printed pages per year for NET.*

❖ NET is dependent on IS to print information prior to every work day (e.g., pertinent information on previous history on properties, Notice & Orders, tickets, inspector schedules). Typically on every morning of the work week IS delivers to NET Central two boxes (containing a total of 24 reams of printed paper).

IS produces nearly 1.5 million printed pages per year for NET. By contrast, its second largest print run per year is for water bills, and they account for about a quarter million pages annually.

IS currently spends $12,000 annually for paper, and approximately $7,000 of the total is for NET.

The Impact of NET Record Processes on Its Internal Operations

CGR asked several members of the NET Central staff the following question: *What percentage of work time is spent juggling paper where the key information it contains has already been inputted into the electronic system?* NET Central staff agreed on the following percentages:

Executive Assistant – 40%

Senior Service Assistant – 60%

Three clerks (each supports two field sites) – 75% each

Ticketing/hearing clerk – 60%

Filing clerk – 100%

In addition, CGR also observed for this report that:

> *It is estimated by NET that it takes 130 hours per month (or 1560 hours per year) for inspectors to travel to and from NET Central to deliver and pick up paperwork.*

❖ Paper records (key information already inputted into the BIS system) are hand delivered from the six field sites to NET Central daily. At the same time, paperwork for each field office that was printed overnight by IS is picked up. It is estimated by NET that it takes 130 hours per month (*or 1560 hours per year, which is equivalent to 75% of one year's work time for one inspector*) for inspectors to travel to and from NET Central to deliver and pick up paperwork. (Note: NET inspectors, rather than clerks, make the deliveries/pickups because they are eligible for mileage reimbursement).

❖ Paperwork demands (exacerbated by the dual paper and electronic system) take so much time in NET that the Code Coordinator, by his own description, is hampered from being in the field "monitoring inspection services" as much as he wants to be. He notes there is also lost opportunity re: proactive inspecting due to the time inspectors lose related to travel to deliver and pick up paperwork.

❖ As a result of paperwork engulfing the NET clerical staff there is no time to audit in the NET field sites or at NET Central what's been entered into the electronic BIS system (except daily the executive assistant goes through printed Notice & Orders from the BIS system and compares them

with paper documents). The only other routine verification of data entered into BIS is when questions arise and staff go back and check paper/microfilm records.

❖ NET spends about $5,000 annually in photo processing materials and equipment related to ticketing for non-responsive owners whose properties have been cited for code violations. In 2004, for example, NET issued about 5,000 tickets, and because these cases could ultimately end up in hearings, digital photos re: violations at these properties were printed in field offices and delivered to NET Central as part of the daily drop off and pick up of paperwork. The existence of such photos almost always saves NET personnel from having to attend hearings and wait for cases to be called. NET photos and supporting documentation are generally sufficient to illustrate a violation exists. However, NET is very interested in identifying a way to streamline and reduce photo printing and delivery, due to cost and production issues.

❖ Notice & Orders regarding code violations are a standard document in NET. For example, in 2004 NET issued more than 21,500 of them. At NET's request, IS makes three copies of Notice & Orders needed on any given work day and delivers them as part of its normal morning delivery. Subsequently NET mails one copy to the property owner, and files two copies in the appropriate case file. If clerical staff "pull" one copy for any reason the second remains.

Recommendation 3

NET should immediately evaluate reducing the number of Notice & Orders printed nightly by IS to two copies. NET clerical staff could print copies for files on an "as needed" basis rather than have IS makes thousands of "convenience copies" that are often not needed and must later be purged by hand.

Demand on NET for FOIL Requests Related to Lead is Significant and Growing

There is a growing demand on NET to respond to Freedom of Information (FOIL) requests due to the public's increasing awareness of the detrimental effects of lead contamination. FOIL requests related to the presence of lead have been on the rise for the past two years, and according to the NET Code Coordinator, have "at least doubled" in the past year. In recent years total FOIL requests received by NET have ranged from approximately 350 to 550, and staff estimate lead-related requests now account for 45% of NET's FOIL requests.

> **Monroe County is legally responsible for maintaining lead paint inspection, re-inspection and citation records.**

CGR notes that Monroe County is legally responsible for maintaining lead paint inspection, re-inspection and citation records. The County notifies the City about sites containing lead and the City issues a Notice & Order, and sends a copy to the County. However, because of the comprehensiveness of NET's files (the organization needs and desires to be aware of lead issues at City properties) and growing public awareness, the NET records are increasingly being "foiled" by attorneys, County social service workers, citizens and others doing research on properties containing lead. Since these records exist, the City must by law respond to the FOIL requests.

CGR points out that the number of lead-related FOIL requests is not an accurate indicator of the time involved in responding to them. A request might involve a single property or multiple properties (e.g., an attorney recently asked for all building code, enforcement, violation and other NET records for three addresses from 1975 to 2004).

> **Responding to FOIL requests typically involves time-consuming searches through paper and/or microfilm files, since they are NET's official records.**

On average it takes one clerical staff member in NET Central one half day to one full day per week to respond to FOIL requests submitted to NET. Most of this work involves time-consuming searches through paper or microfilm files, since these are the official records. Printouts from the BIS electronic system do contain most of the information that is being requested and would be instantaneous to retrieve, but they are not legal documents and are not "user friendly" to the public, since they contain codes and other information that are not readily understandable to the public.

Recommendation 4

The City's Law department should jointly determine with County Legal staff if there is a way to reduce the burden on NET by having the County become the first-source-of-reference for key documents for which the County is already legally responsible.

Recent Efforts to Reduce Paperwork

CGR also observed for this report that NET has moved within the past year to reduce and streamline paperwork and redundant paper trails in two ways:

NET has consolidated final review and signoff of the Certificates of Occupancy (C of Os) processed by the NET site offices annually. The consolidated process serves the public faster, eliminates the need for a second hand-written signature by NET field administrators and a related second round-trip delivery/pickup process between field sites and NET Central. CGR points out, however, that the remaining signature process continues to be labor intensive for the NET Code Coordinator, who still must sign by hand three copies for each of the approximately 5,000 C of Os issued annually.

> **NET has moved within the past year to reduce paperwork and redundant or unnecessarily cumbersome paper trails in two ways.**

NET adopted in late summer 2004 a new approach for residents with high grass & weeds, trash & debris, and unlicensed vehicles so that an inspector, under specified circumstances, can post a "door hanger notice" or sticker (called a Notice of Violation) rather than immediately cite a property owner and open a case involving paperwork. The notice identifies problem(s) to be fixed in "X" time period or the property owner will be cited by NET.

The full impact of the new approach will not be known until after summer 2005 but it is anticipated it will eliminate substantial paper inspection reports, input to BIS, paper filing, sorting, purging and microfilming for thousands of NET cases that often "open" and "close" within a week's period due to owners who respond quickly when notified of a problem. The program is for occupied properties, where there has been no official complaint filed and the owner is not a chronic offender.

To give some indication of the potential impact on record keeping of this policy change, CGR notes that in 2003, the last full year before the new policy, there were 5,200 Notice & Orders issued by NET for trash & debris and high grass & weeds but nearly 3,500 of them were abated by the time of the first re-inspection. In the same year NET also opened nearly 1,800 cases for unlicensed vehicles but only had to end up towing 30% of them. Had the new policy been in effect in 2003, NET estimates it would have saved more than 66,300 sheets of paper records and the time spent by clerical staff to open, close and process more than 4,700 cases.

NET Record Processes and the Impact on Record Archives

As noted earlier in this report, the City's Record Archives faces a space crunch. As a result, reducing unnecessary paper storage is always an on-going priority. At the Record Archives, CGR found:

❖ A part-time City employee works 20 hours a week spending virtually 100% of her time prepping and filming NET records. Although significant purging of redundant paper and prepping for microfilming (e.g., removing staples, paper clips) has already occurred at NET Central by the time boxes arrive at Record Archives, this employee is typically able to reduce three incoming boxes to 1 - 1.5 boxes. CGR observed on site that there are often 3 -5 copies of the same multi-page document in incoming case files.

❖ Microfilming costs for NET for the most recent six-month period totaled just over $1,500.

CGR's Approach to Addressing NET Record Issues

In studying NET records processes it was apparent to CGR that paper records are overwhelming NET personnel; that staff at all levels view the records process as time consuming; and the dual paper and electronic system is expensive for the City to maintain. It was also clear that any solution should involve IS since NET records are so integrally tied to the BIS system and its linkages to other City departments' data.

In response to these issues, CGR undertook the following four-step approach:

1) Conducted research to locate NYS communities that have reportedly made progress in document imaging or electronic

record keeping of NET-type documents, including contacting the regional SARA representative for recommendations.

2) Talked to officials in Troy, New Rochelle, Syracuse, and Buffalo about the approaches they have taken, funding sources, progress to date, etc.

3) Discussed with IS Bureau Director Thomas Green and key IS staff the current records status in NET, and CGR's findings regarding other municipalities' approaches. The information that was most pertinent was from Syracuse, and IS subsequently contacted the individual who provided significant information to CGR and is contemplating a future site visit.

4) Recently brought together NET leaders, an IS key staff member, and a representative of the City's Law Department to discuss the appropriate next steps.

Proposed Solution—Portable Electronic Equipment

Due to technology improvements, IS is now able to offer NET a solution that it could not offer two years ago. IS recommends NET pursue wireless connection direct to the City's mainframe. IS noted that Assessment is currently using this approach for its appraisers to record data, and Building/Zoning is in the process of researching the same approach for its permit inspectors.

As a result, IS and NET recently began a "proof of concept." One or more inspectors, beginning in late June 2005, are using an (IS-owned) pentablet (tablet computer with pen) portable electronic device equipped with a cellular card. Using the equipment gives the inspector immediate access to all the "mainframe screens" available in the field office, per regular I.D. login process. This approach, if ultimately successful, would involve the following costs to implement:

> *The proposed solution involves use of pentablets (tablet computers with pens) equipped with cellular cards, providing wireless connection direct to the City's mainframe.*

- ❖ A pentablet handheld computer for each of the 28 inspectors (IS uses a model with indoor/outdoor screen capability that costs $2200; cost for 28 = $61,600)

- ❖ A cellular connection for each handheld device (cost: $64.79 per month for 28 inspectors = $21,770 annually)

❖ A scanner or scanners for documents NET receives that are only in paper formats. Price TBD based on location of scanner or scanners (e.g., field sites or NET Central).

❖ Procedures for signatures and approvals upon return to NET sites.

❖ In-house training, increased security measures, on-going maintenance, extra hardware/cellular cards in event of breakage or theft, and potentially some modifications to the BIS system based on results from testing this solution in the field.

One of the advantages of this proposed solution is that it can be implemented almost immediately after hardware is obtained. Another is that it would give inspectors immediate access to a wealth of data in the BIS system (e.g., C of Os, zoning variances, permits in place) while on site, which in turn would eliminate countless callbacks at 6 cents per minute to field offices for information. Another plus is that IS is contemplating purchasing, within about 6-8 months time, a tool that would allow automatic "pulling of information from a code table" and putting that information into a "drop-down list," which would make data entry more user friendly for inspectors, without the need for time-consuming programming on the part of IS.

Alternative Solution or Another Phase of the Solution – Document Imaging

The key to the solution described above is whether use of the hardware by inspectors in the field is feasible. If not, another solution – or another phase of a comprehensive solution – would involve document scanning and software. IS is currently working with the City's Record Archives (see page 3) to research a comprehensive document imaging solution, and has already interviewed several vendors and various municipalities that use the systems. IS recommends, and CGR underscores, that if NET ultimately decides to pursue a document imaging solution (e.g., paper inspection reports scanned, allowing the original paper to be discarded) that NET should utilize the comprehensive solution selected for Record Archives. One document imaging solution to encompass all Bureaus in the City will standardize the record storage and retrieval process. It will also facilitate the sharing of stored documents.

In addition, a comprehensive evaluation of NET that is separate from records processes is expected to be completed for the City of Rochester in the fall of 2005 by an outside consultant. Due to that anticipated study, which may or may not recommend modifications in NET's structure, and the fact that IS is currently researching an appropriate document imaging solution, it is not reasonable for CGR to estimate the cost savings vs. cost of a document imaging solution for NET at this point in time.

However, NET has calculated it would achieve the following major benefits if a scanning system, with scanners in field offices and NET Central, existed today, and City Council approved use of the system as the source for official NET records:

❖ 213 clerical support hours each month (2556 per year) now devoted to filing and records processing would be eliminated (however, an unknown number of hours would need to be added back in to verify data in the system).

❖ 130 hours per month (1560 per year) of inspector time to deliver and pick up paperwork at City Hall and process photos for ticketing would be eliminated.

❖ An annual reduction of 250,000 sheets of paper (equivalent to a savings of approximately $1200).

❖ Freeing up the NET Code Coordinator to conduct more inspection audits.

❖ Freeing up inspectors to spend more time in their area performing inspections.

❖ Freeing up much needed space within NET Central by eliminating an entire wall of records (and also freeing up storage space and staff time related to NET records at Record Archives).

❖ Giving NET offices the capability to directly access all case information without coming to or contacting City Hall.

> **NET believes a scanning system would eliminate more than 200 clerical support hours each month (about 2500 per year) now spent filing and processing paper records.**

Recommendation 5

NET should remain in close contact with IS to determine which of the two alternatives described above offers the best solution for dramatically reducing paper in NET. Cost savings should be calculated based on the solution selected (e.g., personnel, mileage, paper, phone charges, photo processing, microfilming). CGR believes both solutions will produce significant cost savings for the City and improve efficiency within the NET operation, even after on-going maintenance costs are factored in.

> **5a) NET should work with IS when a solution is selected to explore incorporating electronic signatures for various purposes (e.g., eliminating, for example, the need for the NET Code Coordinator to physically sign his name more than 15,000 times annually on three copies of C of Os).**

> **5b) NET should explore with IS whether the solution selected would allow it to eliminate at least one of two sets of C of Os now maintained at NET Central (one is filed by case number, the other by certificate number).**

> **5c) NET should continue the discussion with IS that was initiated by CGR, to streamline NET photo production and processing. Since only a relatively small percentage of digital photos taken today for properties being "ticketed" are ultimately needed for actual hearings, IS anticipates being able to develop a process whereby NET Central (not field sites) print digital photos, and does so only when there is a scheduled hearing. This process would reduce the number of photos processed from an estimated 5,000 to 500 annually. The cost savings, CGR estimates, will be more than $3,000 annually.**

CGR points out that either solution selected will lead to a culture change for NET. The cost of making the changeover cannot be estimated.

Note: CGR points out that no matter which of the two solutions is ultimately selected as the preferred approach for NET, the solution will lead to a significant "culture change" for the NET organization. The cost involved in making the changeover is not one that CGR can estimate.

4. INFORMATION SYSTEMS – CATALYST AND KEY DRIVER FOR RECORD PROCESS IMPROVEMENTS

As the previous sections clearly illustrate, making significant improvement in managing records in the future will be heavily dependent on appropriately integrating technology into daily records procedures. CGR believes it is essential that IS become involved in City grant applications involving records improvements in order to help the City progress – in an integrated way – in automating records processes. It is a benefit that IS provides centralized solutions that can have a broad impact across the City.

CGR notes that City Budget and Purchasing already require IS to sign off on all technology purchases. CGR also points out that IS has put in place, within the past year, the foundation that will, over time, enable e-forms (instead of paper forms) and automated workflow processes within City government.

> **In the past year IS has put in place the foundation that will, over time, enable e-forms (instead of paper forms) and automated workflow processes within City government.**

IS has rolled out an employee portal, accessible by individual employees via secure I.D. login. In essence, the portal is a gateway or front end that has the potential, as automating business processes progress in the City, to give employees the ability to log into a variety of authenticated accounts. IS has worked with the Bureau of Human Resource Management (BHRM) as a model for how the new system works. For example, via the employee portal, employees will soon be able to access direct deposit authorization forms and give employees the ability to make, via computer, updates regarding name or address changes. IS predicts its joint effort with BHRM, though still in its infancy, will make a "major impact in HR within a year." Two of the projects in the very early stages involve automating PASS forms (used for any change in personnel status, e.g. long-term illness, promotion) and employee applications.

Making full use of the employee portal's capability (and the accompanying technology) will require funding. In the extremely tight budget environment in which the City operates, it is likely that IS will be better positioned to make progress on this front if it consults on records grant applications for the bureaus/departments applying to SARA for records improvement

funds. IS would act in a consulting role to the City's Records Management Officer and help identify bureau/department projects as priority candidates for SARA records applications. The actual applications would still be written by and come from the bureaus/departments identified.

Status of Employee Portals

Every employee who has a PC on his/her desktop has access to the portal today except personnel in RPD, which had not yet made the changeover at the time of this report. The Payroll department says the total number of civilian employees in the City ranges between 2,500 and 3,000 due to seasonal employees, and about 70% have direct access to PCs.

> *Some City employees will access employee portals via kiosks. The first two kiosks are already in place.*

For City employees who do not have either direct or easy access to PCs (e.g., firefighters at their fire houses) IS is putting in place another option. These employees will be able to access employee portals via kiosks (similar to ATM machines), to be placed at locations that can take advantage of the City's existing fiber network.

IS recently rolled out the first two kiosks at Genesee NET and the Assessor's office. Seven to 10 more kiosks are planned in the near future that will be located throughout the City (e.g., Recreation Centers, NET sites, Parking Violation Bureaus, City Hall). IS is working with DES to build the kiosks.

These kiosks will offer everything that is on the City's new web site, which IS also rolled out in the past year. The kiosks, existing and future, can be used by any member of the public, but certain areas will be accessible only by authorized log in.

High Need for Automated Processes Exists in Many City Departments

By making use of the capability described above, IS believes that within two years the City will have an electronic time and labor reporting system that is electronic. Employees will then enter time via the employee portal, and supervisors approving employee time will sign off via electronic signature.

IS has recently been developing specifications for the new system – working directly with Accounting, and is now beginning to write programming for the electronic time and labor system. This project is a high priority project for both IS and Accounting, and when completed will have a dramatic impact on improving efficiency and eliminating significant paper tracking throughout City government.

Building on the capabilities of the employee portal and accompanying technology, IS is now targeting developing an electronic Work Order System for DES. This project is not only a high priority for IS but, as CGR learned in its research, would also help improve management of DES operations, as noted in a later section of this report.

To further understand the potential value to City departments of tapping the capability of the employee portal/related technology to automate processes, consider the following information from the Budget Bureau.

Budget manually processes anywhere from 2,650 to 3,500 paper transactions each year, including contract approvals (with additional manual processes occurring within departments).

❖ Nearly two-thirds of purchase requisitions come from DES, Parks Recreation Human Services, and RPD.

❖ The same three areas account for more than half of personnel requests.

❖ The same three areas plus the library account for more than two thirds of financial system transfer requests.

Budget seeks a system with required "checks," an authorization protocol, and a full audit trail so that anyone involved in the process can call up an item and immediately check its status.

Recommendation 6

The City Records Management Officer should involve IS integrally in the annual SARA records grant application process in order to help the City progress – in an integrated way – in automating record processes.

5. RECORD ARCHIVES NEEDS TO MOVE FROM RECORD "WAREHOUSING" TO RECORD "MANAGEMENT"

> *The inventory grant the City recently received will be key to organizing existing materials, weeding extraneous materials, and ultimately freeing Records Archives staff to assist more effectively in managing records.*

The inventory grant that the City recently received for its Record Archives will be key to organizing existing materials, weeding extraneous materials (input from departments will be needed), freeing up storage space, reducing retrieval efforts by staff, and ultimately freeing staff time that can be used to assist, more effectively, in the effort to retain and maintain records per state guidelines.

In its research CGR found indications two or more DES departments may be sending the same materials to Record Archives, leading to unnecessary duplication of records in storage. We also found that even though there is always one department in the City that is responsible for maintaining specific records (per SARA guidelines), other departments in the City sometimes send the same records because they recognize they are important, thereby adding to the number of duplicates in storage.

In at least two instances CGR also found that departments have records stored at Record Archives but were unaware of their existence. In DES, in particular, some records managers were unaware of SARA MU-1 guidelines regarding records retention; a few expressed being uncertain about how Record Archives works; and some were wary of any storage outside their own areas. However, CGR found one DES department had a cabinet full of old records, of unknown value, that had been damaged and the records rendered unusable as a result of being stored in a basement where there was water leakage.

> *The time spent in tracking routine records destruction approvals is often time consuming.*

In addition, while onsite at Record Archives, CGR noted that the time spent in manually tracking where a "records destruction approval form" was located in what is now a multi-step, progressive sign-off process can lead to significant delays for routine document destruction. Other delays in planned records destruction can be due, in part, to working with a records liaison within a department who does not have the authority to make records destruction decisions. (Example: there has been one

civilian for the entire RPD operation in the Public Safety Building responsible for acting as records liaison, but she has not had authority to make decisions about the records. As a result, destruction requests could be in limbo for months, leading to police records long past their destruction dates – and contributing to the space crunch in the Record Archives.)

As noted earlier, the inventory process within Record Archives will tie to a document scanning solution that is being identified by IS at the current time. This solution, once fully implemented, will also help make storage and retrieval easier at Record Archives, again helping to free the small number of staff for more productive records activities.

Bottom line, these developments should make it possible for the Record Archives to move from being a records warehouse (and occasional "dumping ground") and instead become a records management center for records retained in long-term storage. The goal should be to begin, as soon as possible, to reduce occurrences of the problems that CGR observed.

Recommendation 7

Training should be provided by Record Archives for records liaisons within departments. The level of training will be dependent upon Record Archives available staff time and departmental needs.

- ❖ Training should always occur whenever the records coordinator changes, and when there are significant procedural changes that will impact departments.

- ❖ Record Archives may need to meet with some records coordinators on a one-on-one basis, but may not need to meet with some departments very often (e.g., Accounting, Law have well established processes).

Recommendation 8

The City's Records Management Officer should investigate whether the multi-step sign-off procedure for scheduling records destruction could be streamlined.

❖ The investigation ideally should start with a discussion involving the Finance Director, IS Director, Corporation Counsel, and City Historian/Record Archives Director.

Recommendation 9

The Records Procedure Manual at Record Archives should be updated. The revision should be complete prior to the new tracking system going live.

New Equipment Is Also Needed

Record Archives critically needs new equipment to replace at least one, but ideally both of its two existing outmoded pieces of microfilm equipment. (Note: there is a third piece of equipment, dating from 1997, but it is used for only two jobs due to the time-consuming labor required. It was originally purchased for microfilming maps, but that service is now outsourced by the City.)

The primary microfilm equipment in use today dates to the 1970s and 1980s and is outmoded.

The microfilm equipment in use daily are two Eastman Kodak rotary cameras (one dates to the early 1970s, and the other is 1980s-era equipment according to a local vendor.) Replacement parts can be problematic. Recently a light bulb was purchased for one of these machines at a price of $850, according to staff. Both pieces of equipment have glass guides, but because plastic is now the norm, any breakage in the future may well render the equipment unusable. Today Record Archives generally depends on the expertise of an a long-term employee to keep the microfilm equipment running and move parts around as needed.

Ultimately the City will move to a scanning solution (with digital images used to create microfilm quickly) but that changeover involves a long process and even when the City gets that capability, the City will need basic microfilm equipment. CGR believes it will need this equipment for many years in the future and suggests such equipment be included in the Capital Improvement Plan.

Recommendation 10

Tap the reconditioned market for a microfilm unit (or units) that will provide twice the speed and dramatically increased

functionality (e.g., easier film loading, increased ability to write or imprint on microfilm).

Although a new unit can cost $20,000 or more, an appropriate reconditioned unit should cost in the neighborhood of $10,000, according to a vendor who is familiar with the operations of Record Archives. (Note: There are many units available in the marketplace as a result of service bureaus in the community moving customers to solutions involving scanning and related digital options for microfilming.)

Reconditioned microfilm equipment should cost about half of what new equipment might cost.

10a) Any bid written for the equipment should specify that Eastman Kodak inspect the equipment prior to delivery and that consideration be given whether to specify an annual maintenance agreement.

10b) Record Archives should investigate, as part of the above, eliminating the need for creating laborious microfiche copies (with related manual typewriter typing) for BHRM termination files.

Recommendation 11

Record Archives should immediately stop creating Department of Community Development (DCD) grant and loan documents on the existing 1997-era "planetary" camera.

❖ This is one of two microfilm jobs that are still completed using this camera, but the planetary camera is slower than other existing equipment, and the available in-house options provide equivalent output. The only other job currently done on the planetary camera must be processed status quo at this time.

An archive writer is a state-of-the-art solution for creating microfilm from digital files. Using it requires that records first be scanned and digital (TIFF) files created.

Recommendation 12

Record Archives should seek approval from the City Records Management Officer (with consultation from City IS) for a future SARA grant application to obtain an Archive Writer. An archive writer is state-of-the-art technology for creating microfilm from digital files. Using it requires that records first be scanned and digital (TIFF) files created.

❖ The cost of a basic Archive Writer is about $40,000 but software and warranty costs typically bring the total to about $54,000. Record Archives has also identified a $6,200 scanner as a possible potential companion piece of equipment. Both pieces of equipment would be candidates for inclusion in a future records grant application. (See Appendix D for the way Record Archives would use an Archive Writer if one existed today, as well as examples of the estimated time savings gained versus using current processes).

❖ CGR notes that on-going maintenance for an archive writer is about 10% of its purchase price, or in the case above approximately $4,000. SARA does not fund maintenance costs.

6. DES HAS A WIDE RANGE OF RECORD NEEDS

The DES Commissioner assigned a records liaison (new to DES but not to the City) to facilitate meetings and assist with follow-up questions. As a result, a number of issues identified in DES records discussions were noted immediately and steps were taken to improve record processes. Examples include:

❖ Construction Contract Records – Record Archives has 588 cubic feet of these records dating from 1963 and virtually all of them are marked "permanent." The records liaison recently began working with DES Construction and Record Archives personnel to determine whether the department sends duplicates of records or stores records other departments are legally responsible to retain.

Once the overall records process has been checked and/or streamlined, there will also be answers about how much (if any) of the permanent records in storage may be duplicate records, eligible for destruction.

Recommendation 13

Once the process above is complete (including appropriate approvals by the Law Department and City Engineer) a decision should be made by the City whether to apply for a SARA grant to microfilm permanent Construction Contract records. The goal would be to free up significant storage space. Options would include traditional microfilm or a combined digital/microfilm process (see archive writer in Record Archives section above).

❖ When CGR became aware that several departments in DES have electronic time reporting systems but do not get full benefit from them (since City Payroll can only accept manual reporting and electronic time reports currently have to be translated into manual time reporting forms), the DES records liaison initiated a meeting between City IS and DES representatives to discuss the time reporting process. (Note: see IS section of this report for more

information on plans for electronic time and labor reporting across City government).

CGR sees this scenario as an example of why DES and City IS would benefit from working closer together. Currently, the DES Technology Unit performs valued services within DES departments, but there is no regular, on-going communication between the Unit and City IS. As a result, efforts to improve records processes, at times, become fragmented.

CGR found in its research that two departments – Fire and BHRM – are now each funding a position in City IS so that IS has resources it can use to address their specific needs. We suggest DES may want to explore this option with City IS, while maintaining its technology group onsite.

> **Fire and BHRM are now each funding a position in City IS so that IS has resources it can use to address their specific needs. CGR suggests DES explore this same option.**

❖ After several personnel in DES said they were unaware of SARA's MU-1 records retention schedules, the records liaison created customized MU-1 retention reports for each division to facilitate record keeping.

❖ When told by CGR that there are 62 maps that are not clearly labeled – and are of unknown value – located in Record Archives, the DES liaison agreed to take the lead in having DES personnel identify whether the maps should be retained and how they should be identified.

❖ When told by Record Archives that it needs only final "as built" construction records but receives many different "conform copies" as a project moves through construction, the DES records liaison also agreed to help work with DES personnel and Record Archives to streamline the process and attempt to weed out unnecessary copies.

❖ When CGR told the records liaison about the new book scanning capability that now exists at the downtown public library, and discussed with him the needs of Maps and Surveys regarding the division's desire to replicate 100 years of unique and valuable field books (containing critical field survey information for City properties or projects), he took steps to connect with the library to investigate how to arrange to use the new book scanner for this purpose.

Recommendation 14

In doing research, CGR found that the library has, as of 2005, state-of-the-art resources for scanning and digitizing maps and books. There should be an effort made by the City Records Management Officer to determine what services might be available for governmental entities from the library, and under what circumstances.

Two Key DES Record Issues – City IS Has Begun Addressing

One of DES's biggest needs is for an electronic Work Order System. With technology improvements put in place in the past year by City IS, this project has become a priority item and progress is anticipated in the near future.

Another issue for DES is the cumbersome paper-based personnel records process in place across City government. The process is especially time-consuming for DES because of the number of employees in the department, the periodic shifting of employees to accommodate providing different services at different times, and seasonal hiring. The planned improvements in personnel processes outlined earlier in this report (see IS section), though they will not happen immediately, will be particularly beneficial to DES as they occur over time.

CGR notes that in conducting research it learned DES Personnel are not always made aware of new opportunities (e.g., access to computer screens) that BHRM can make available to them. CGR observed a need in other departments for similar increased communication from BHRM.

Key Records Maintained by Maps and Surveys

Maps and Surveys has two valuable and unique records series that need additional protection. The first series is the City property ownership records (deed histories) dating to the 1920s, which are vulnerable in the event of a disaster. Deed histories are used daily by many users (e.g., Law, Building Bureau, Engineering, abstract companies).

Recommendation 15

Fireproof cabinets should be obtained by DES for City property ownership records in Maps and Surveys.

Maps and Surveys is also the depository for most engineering records for street design drawings, bridges, and landscape architecture. There are a series of cabinets holding 100 years of surveys and documents and these materials are unique. If the information was lost due to a disaster most of it would not be retrievable. The documents are used in legal proceedings and are also accessed daily for a variety of other purposes by both City personnel and members of the public.

Recommendation 16

Fireproof cabinets should be obtained by DES for the surveys and documents described above that are maintained in Maps and Surveys.

Key Records in the Division of Environmental Quality

The Division of Environmental Quality manages environmental investigations and cleanup projects for the City and has 20-30 active projects that progress through phases, including environmental site assessment, remediation design, and corrective action. Projects can take multiple years to complete, but future developments can trigger a reopening of the project files.

Recommendation 17

Division of Environmental Quality managers should meet with City IS to determine the best possible options for effectively managing these records.

Record Issues in DES Operations

DES Operations would benefit dramatically from increased networking of its customized ACCESS database to its reporting departments (Street Maintenance, Special Services, Building Services, Refuse Collection, and Equipment Services). An Operations clerical staff member created the database file and it now contains comprehensive information that is heavily relied upon by Operations, DES Personnel staff, and others. However, currently most reports or information available through this database have to be printed and manually delivered.

Recommendation 18

City IS and/or the Technology Unit should create networking capability at the earliest opportunity for DES Operations, per above.

Training and Safety's Record Problems are Linked to Current Software

Training and Safety's operations are hampered by the software that the department uses, which does not effectively meet its needs.

Recommendation 19

Training and Safety managers should meet with City IS to discuss the potential for an automated training and safety reporting process that utilizes IS' evolving workflow automation capability (see IS section).

City Records Related to the Genesee River Shore and Adjacent Land

DES Project Management has 20 large paper rolls that constitute the City's plans about the Genesee River shore and the land adjacent to it.

Recommendation 20

The City Historian/Record Archives Director should review documents related to the Genesee River to determine their value. If they are found to have value, she should work with DES Project Management to determine how best to utilize and maintain them.

7. MISCELLANEOUS ISSUES – FIRE DEPARTMENT AND HAZARDOUS MATERIALS RECORDS

The Fire Department has 24 four-drawer files (equivalent to 96 vertical files) full of records that detail inspection histories on properties. These records are used for environmental studies (e.g., tank removals, hazardous materials), are updated regularly, and used frequently. Microfilming these extensive records would free up valuable space in the Fire Department.

Recommendation 21

The City Records Management Officer should consider obtaining a records grant to microfilm these records. Another option would be to consider microfilming these records (and having digital copies as well) if the City is able to obtain an archive writer (see Record Archives section of this report).

The City's Emergency Coordinator believes the City and County should jointly seek a grant to obtain software (and develop a website) to enable electronic reporting by Rochester area companies of the hazardous materials they handle. Companies are required to submit this information annually. Making hazardous material information searchable online for those who need it would strengthen emergency preparations for both the City and the County.

Recommendation 22

The City Records Management Officer and City IS should jointly investigate how to make hazardous materials reports by area companies more readily accessible, using more advanced technology. The discussion ideally should begin with the City's Emergency Coordinator and appropriate County representatives. An option to consider for funding would include applying for a complex SARA records grant.

APPENDIX A

Overview of Record Series in Other Departments

As part of its research, CGR gathered information (pages 37-60) on the major records series in other City departments.

Recommendation 23

The City's Record Management Officer should consider Appendix A as a starting point for a future records efficiency project, and apply for grant funding for the project.

Budget Records

PAPER*

Record Series	Retention Period	Where Housed
Expense Quarterly Report (Printout)	Permanent	Budget
Revenue Quarterly Report (printout)	Permanent	Budget
Council Budget Hearing Questions & Responses	5 years	Budget
NYS Legislative files	5 years	Budget
Rochester Legislative Program files	10 years	Budget
Trans 21 Report (printout)	Most current	Budget
Workers Comp Claims Reports	Current year	Budget
Council Proceedings	Current year plus previous 12 years	Budget
Administrative Regulations (various)	Permanent	Budget
City Budgets (proposed and approved)	Permanent	Budget
School Budgets (proposed/ approved)	Permanent	Budget
Monroe County Budgets (proposed and approved)	Permanent	Budget

Other Government Budgets (assorted)	Permanent	Budget
Quarterly Reports	Permanent	Budget
General subject files	Permanent	Budget
Revenue forms	Permanent	Budget
Personnel files	Permanent	Budget
Budget submissions (kept by each analyst)	6 years	Budget
Budget Preparation Manual	Current year	Budget
Budget Analysts Guidelines	Current year	Budget
Capital Improvement Program (CIP)	Permanent	Budget
CIP submissions	6 years	Budget
Department files (maintained by each analyst)	6 years	Budget
Budget Summary of Amendments	Current year	Budget
Property Tax History	Permanent (date back to 1987-88)	Budget
Parking Permit List	Permanent	Budget

*If an analyst has too many records to maintain in his/her office area, the analyst may send some records to Records Archive for storage until the retention period is up. Otherwise all paper records remain in the department.

ELECTRONIC**

Record Series	Retention Period	Where Housed
Lotus spreadsheets for budget document summaries, budget variance, personnel and benefits	Rolled over to new fiscal year	Financial Information System (FIS)
Quarterly reports	Permanent	FIS
Log of Paperwork Received for Processing	Permanent	FIS
Council Ordinances	Most recent 2 years	FIS
Database Files of Budget Lines & Appropriations	Permanent (date back to 1988-89)	FIS
WordPerfect documents for the Budget	Rolled over to new fiscal year	FIS
PowerPoint Presentations	Permanent	FIS

**The FIS system is backed up by City IS on a daily, monthly, and annual basis. (Exception: electronic records created by analysts for their own use but not on the mainframe.)

Note: While this study was underway the City issued an RFP for a needs assessment for the Budget Bureau. The needs assessment is expected to lead, in the near future, to significantly improved technological capability in Budget, with increased automation and standardization of Budget processes.

Bureau of Human Resource Management Records

PAPER

Record Series	Retention Period	Where Housed
Benefits Information (health, dental, life, etc)	Permanent	Maintained as part of Personnel files in BHRM. (After employees have been terminated 4 years, personnel files are microfilmed, then put on microfiche to reduce storage space. Microfiche is kept in BHRM.)
Workers Compensation		BHRM has current year and most recent 5 years; prior years at Record Archives. (Record Archives has 65 cubic feet of older records in storage.)
Drug Tests Results	5 years	Labor Relations *(unique series – no backup copy exists)*
Memos of Agreements (signed by unions / Labor Relations)	Permanent	Labor Relations *(unique series – no backup copy exists)*

Grievances	Permanent	Labor Relations has most recent 5 years; Records Archives has prior years *(unique series – no backup copy exists)*
EAP Agreements	Permanent	Labor Relations *(unique series – no backup copy exists)*
EEO-4 & Affirmative Action Reports	Have reports from 12/30/95 to present	Kept in BHRM *BHRM recommends these reports should be maintained on film or CD.* *EEO4 reports are 3 pages long but affirmative action reports (full time only) are each about 225 pages.* *Diversity staff also suggest the Department Utilization Report and Diversity Bi-Annual Report be electronic rather than paper.*

Civil Service	Permanent - exams & answer keys; Civil Service Commission minutes; original posting/ad/certification; Civil Service lists	The majority of locally developed examinations and answer keys are on floppy disks and paper. Most (but not all) exist at BHRM and Record Archives. The original posting/ad/certification is kept at BHRM. The original expired Civil Service lists are kept in binders in BRHM.
	10 years - job analysis records	Job analysis records are a mixture of paper and electronic records.
	Early 1990s to present - Civil Service Commission agendas, addenda, minutes and supporting documentation/ information	Civil Service Commission agendas, etc. are electronic, but paper printouts and all supporting documentation are in BHRM paper files.
	3 years - Applications for postings; canvasses and certifications	Applications for postings – two years are kept at Records Archives, but most recent files are at BHRM. Canvasses and certifications that are current (or recently expired) remain in BHRM but are then sent to Record Archives, where they are held for at least 3 years.

ELECTRONIC

Record Series	Retention Period	Where Housed
Grievances Summary		Labor Relations – with IS backup
Civil Service	1980 to present	Civil Service meeting information is on microfiche, which is kept in BHRM. Some other files (as noted in above table) are also electronic.

Notes from BHRM units, as identified below:

Insurance: Benefits is in initial stages of online enrollments and online changes with vendors but must print out hard copies for Payroll to input into HRS and for employee files.

Professional Service Agreements: Labor Relations suggests there should be a central location for all of the department's Professional Service Agreements.

Diversity Paperwork: Diversity staff recommend EEO & Affirmative Action reports, department utilization reports, and the bi-annual report, which are now paper, should be electronic.

Civil Service: Staff report about 10 years worth of Civil Service Commission meeting documentation exists only on paper, and there is no back up. This includes correspondence, requests for classification, reports, documentation, transfer request forms, appeals documentation, etc. (Some reporting documentation such as memos, reports, and procedures have been prepared on the computer, but may be housed in individual directories or may have been deleted. There is no systematic back-up.)

*Communications
Records*

PAPER

Record Series	Retention Period	Where Housed
News Releases	Permanent	Communications
Printed Matter, Brochures, City Ads	6 years after program ends	Communications but client departments also receive their own copies
Photos/Videos/Slides	Photo/slide retention varies depending on content but City photographer has kept everything for past 20 years.*****	Communications and Record Archives
	Videos are sent routinely to Record Archives.	
FOIL requests (all requests of the City come through department – approximately 3,000 annually)	Kept for 6 months after a request has been fulfilled, or 6 months after request denied.	Communications

*CGR suggests Communications ask the City Historian to view its photo/slide collection and assess whether some of the items should be moved to Record Archives where they can be protected in a climate-controlled area.

ELECTRONIC

Record Series	Retention Period	Where Housed
News Releases	Available online since 1994 and retained on an on-going basis. On diskette for 1991-1994 – total two dozen. As of 2/05 can be read and edited online.	Communications/backed up by IS
Printed Matter, Brochures, City Ads	6 years after program ends	Communications/backed up in IS. Also burned onto CDs and kept in binders.

PAPER

Community Development - Housing and Project Development Records

Record Series	Retention Period	Where Housed
Technical Services Division	2 years, then microfiched	After 2 years files are microfiched by Record Archives
Real Estate Division	Files kept until deed recorded at County Clerk's office	After recorded, files sent to Record Archives
Contract Services Division	1. Contract files: 7 years from the date of the last City claim voucher	4 years in HPD, then Record Archives
	2. Home Expo: for duration of City liens	In HPD
	3. Grant program liens: for duration of lien. Upon expiration, original lien and release of lien are sent to owner	In HPD
Housing Division	4 years+	4 years in HPD; afterward sent to Record Archives

PAPER

Community Development – Neighborhood Initiatives

Record Series	Retention Period	Where Housed
NeighborLink Network - monitoring reports	1997 - present	Neighborhood Initiatives (NI)
NBN Institute Vouchers	1997 - present	NI
NBN Process - purchase reqs & vouchers	1994 - present	NI
Culture Builds Communities - project proposals	1997 - present	NI
2010 Kodak Grant Program materials	2000 - present	NI
Sector Targeted Funding Initiative – list/proposals	1999 - present	NI
Participatory Evaluation Process – NBN completed questionnaires	1996 - present	NI
Community Leadership Development Program – historical info; purchase reqs and vouchers	2002 - present	NI

ELECTRONIC*

NeighborLink Network – all documents except monitoring reports	1997- present	NI
NBN Institute – all documents except vouchers	1997- present	NI
NBN Youth Program	2001- present	NI
NBN Process – all documents	1994 - present	NI
Promotional	1994 - present	NI
Culture Builds Communities – all except proposals	1997 - present	NI
BNI Administration	1996 - present	NI
Peer Consulting Presentations & Information	1996 - present	NI
Sector Targeted Funding Initiative	1999 - present	NI
Participatory Evaluation Process	1996 - present	NI
Community Leadership Development Program	2002 - present	NI

Economic Development Records

PAPER

Record Series	Retention Period	Where Housed
Renewal Community Records (e.g., records related to federal programs designed to help renew distressed areas)	Permanent (date from 2001)	Economic Development
Enterprise Community Zone Records	Permanent (date from mid-1990s)	
Empire Zone Records	Permanent (date from mid-1990s)	Economic Development
Rochester Economic Development Corps (REDCo) Records	Permanent	Economic Development Documents are unique and are kept in fire & waterproof safe.
RFPs	7 years	When financial records related to RFP close, records are sent to Record Archives
Industrial & Commercial Loans	7 years after loan payoff	When records are no longer active records, they are stored at Record Archives

ELECTRONIC

Record Series	Retention Period	Where Housed
Renewal Community Records	Permanent	Economic Development
Enterprise Community Zone Records	Permanent	Economic Development
Empire Zone Records	Permanent	Economic Development
REDCo Records	Permanent	Economic Development

Emergency Communications Records

ELECTRONIC

Record Series	Retention Period	Where Housed
Audio recordings of 911 calls/radio traffic	90 days required – but are kept for approximately one year	Each of three recorders saves to its own hard drive, each automatically backs up to DVD. All 3 DVDs are saved on site in one location. Emergency Communications recognizes it is very good practice to store one DVD off-site and anticipates developing process to do so. **CGR recommends, if not already done, that the new process described above be finalized and implemented.**
CAD Logs (incident data)	7 years	Archived on magnetic tape. 1 copy kept offsite at County IS, 1 copy is onsite.
M Logs (unit-to-unit text messaging such as from MDT in police car to 911 or to another MDT)	Are not required to keep but generally have 1 year on hand	4 months online (backed up weekly and monthly basis). Remainder backed up on magnetic tape. 1 copy kept offsite at County IS, 1 copy is onsite.

SpeedShift records (scheduling software/ also used for timekeeping verification)	1 year on site (disc) with prior year discs sent to Records Archives	Backed up in IS.

 Note: most departmental payroll and overtime records are electronic, while training records are a combination of electronic and paper. Although the department does have some older paper records in Records Archives, Emergency Communications has been storing most of its paper records onsite.

CGR suggests Emergency Communications administrative staff work directly with Records Archives to discuss implementation of the SARA MU-1 retention schedule, since staff find it difficult to interpret.

Finance Records - Payroll

PAPER

Record Series	Retention Period	Where Housed
Certified Payrolls	Current year + past 6 years if no federal funding	Finance
Certified Payrolls	10 years for jobs w/federal funding	Finance
Minority and Women's Business Enterprises	Current year + past 6 years	Finance
Disadvantaged Business Enterprises	10 years	Finance
Outgoing and incoming correspondence; Notes; Reports	Current year + past 6 years for jobs w/no federal funding; 10 years w/federal funding	Finance

ELECTRONIC

Record Series	Retention Period	Where Housed
Out-going correspondence	Until issues therein have been answered	Finance computer hard drive
Notes	Current + past 6 yrs (no fed funding; 10 years if fed funding)	Finance computer hard drive and CD

Note: Forms, tables, spreadsheets (paper and electronic) are retained "indefinitely."

Finance Records - Purchasing

PAPER

Record Series	Retention Period	Where Housed
Purchase Orders	2 fiscal years	Finance
Contract Files	Until expiration	Finance

Note: Purchasing recommends purchase orders, contracts, and all backup documentation be digitized to streamline records management. Purchasing also suggests that the listing of bid results and bid offerings may be candidates for Egovernment or Interactive Voice Response opportunities with the help of City IS.

PAPER

Finance Records - Assessment

Record Series	Retention Period	Where Housed
Administrative Cancellations	10 years	Record Archives
Tax Bill Prep	10 years	Record Archives
Administrative Files	6 years	Record Archives
Supplemental Tax Papers	3 years	Record Archives
Mail Address Changes	1 year	Record Archives
Aged Applications Sold or Deceased /or if Denied	6 years	Record Archives
Non-profit Renewals	6 years	Record Archives
Veterans – Active	While active	Record Archives

Veterans – moved, sold, deceased	6 years	Record Archives
Property Record Cards, 1984 Re-eval	Permanent	Record Archives
Property Field Cards 1928	Permanent	Record Archives
Board of Assessment Review Complaint Forms	6 years	Record Archives
Board of Assessment Review Meeting Minutes (cassette tapes)	Permanent	Record Archives
Assessment Work Papers	7 years	Record Archives
Reassessment Field Review Documents	Permanent	Record Archives
Basic Star Application – active	While active	Record Archives
Basic Star Application – denied, sold, deceased	6 years	Record Archives
Enhanced Star Application – active	While active	Record Archives
Enhanced Star Application – denied, sold, deceased	6 years	Record Archives
Disability Application denied	6 years	Record Archives

ELECTRONIC

Record Series	Retention Period	Where Housed
Final Assessment Rolls (annual)	Permanent	Backed up by IS
Daily Files	1-2 weeks	Backed up nightly

Note: Assessment notes the following issue re: vital records: "PRCs never destroyed." In response to the question, "Are there any unique, business critical (or historical) records that exist only in the department?" Assessment responded: "PRC (some with images) + "Appraisals."

Finance Records – Accounting

PAPER

Record Series	Retention Period	Where Housed
Payroll Registers (have combination of paper and fiche records)	55 years	Record Archives
Time Card/Sheets	6 years	Record Archives
Payroll Audit Folders	6 years	Record Archives
Agreements*	Indefinitely	Record Archives if prior to about 1972
Construction Contracts	Life of asset + 6 years	Record Archives
Dept Collection Rpt	6 years	Record Archives

Journal Entries	6 years	Record Archives
Canceled Checks	6 years	Record Archives
Promissory Notes; Mortgages; Security Agreements; Other Loan-Related Documents	Returned to borrower when loan is paid off	Accounting

Note: Agreements include professional service agreements, grant agreements, loan agreements, leases, inter-municipal agreements, etc. Except those for property rehabilitation loans, such agreements are kept indefinitely.

ELECTRONIC

Record Series	Retention Period	Where Housed
Payroll Registers	55 years	On CD at Records Archives from 1997
Claim Vouchers	6 years	Accounting
Canceled Checks on CD	6 years (date to 2001)	Record Archives and Accounting

MICROFILM/MICROFICHE (not previously noted)

Record Series	Retention Period	Where Housed
Claim Vouchers	6 years	Record Archives and Accounting
Monthly Finance Reports	6 years	Record Archives and Accounting
Agreements	Indefinitely	1972-1995 – Record Archives & Accounting; since 1995 - Accounting

Fire Department Records

PAPER

Record Series	Retention Period	Where Housed
Incident Reports *Note: 29,000 incident calls annually include fire, emergency medical, rescue, MVA, etc. Of total, approximately 1,500 are usually fire calls, and of these 900 – 1,000 are typically structural fires*	Structural fires – permanent Fire investigations - permanent All other incident reports – 5 years	PSB PSB – Current year and previous 4 years; Records Archives for prior years PSB – Entire past year and current year; Records Archives for prior years
Fire Safety Records on Properties	30 years after demolition of a building	PSB
Disabled firefighters	Permanent	PSB
Retirees / deceased Firefighter	Convenience copies – not City's official records	PSB
Payroll records	Convenience copies – not City's official records	PSB

Note: The Fire Bureau expects to implement a new Records Management System in mid-2005. At that point, most information will be stored and backed up by City IS on a server housed in IS.

Law Department Records

PAPER

Record Series	Retention Period	Where Housed
Claims/Litigation Files /Attorneys Case Files	6 years after "closed out"	Open case files are in Law Dept. Closed cases files are in Records Management

ELECTRONIC

Record Series	Retention	Where Housed
Department users' work product	At user's discretion	On user PCs and on diskettes

Note: In a previous report, *Disaster Recovery Review for Key City of Rochester Operations Records* (June 2001), CGR noted that a case management system would be a major improvement for tracking records documents into and out of the Law department. At that time CGR recommended the Corporation Counsel continue to request funding for a case management system through the City's budget process. Due to continuing budget constraints, however, funding has not become available.

Recommendation 24

The Law Department should discuss its needs with City IS to determine if an alternate or interim solution can be developed. Examples of the types of problems the department faced in 2001 and continues to face today: 1) no comprehensive, computerized method of tracking legal deadlines, 2) no comprehensive, computerized system for knowing which original documents not belonging to the City are in its possession and where they are located.

Other City Records Series

Rochester Public Library

In late 2004 the Library identified a records management person for each of its departments. Each person on the records team received a notebook that includes a brief description of records retention and disposition schedules as published online at http://iarchives.nysed.gov. Team members also received an in-house summary of the schedules and inventory worksheets. They were asked to review a spreadsheet of records created by a team leader earlier in 2004 and determine accuracy for their areas; whether records should be saved or discarded; and if there are records that should be evaluated for historical and/or administrative importance. Secure storage space for records and empty acid-free boxes were made available to departments.

When this project is complete the team leader should have a master record, reflecting which records exist and where they are in storage. Implementation of this project has been slow due to time constraints at the Library related to budget cutbacks.

Park, Recreation & Human Services (PRHS)

CGR was unable to obtain information on major records series from PRHS.

APPENDIX B – DISTRICT ATTORNEY'S LETTER RE: POLICE ELECTRONIC RECORDS

Monroe County District Attorney Michael C. Green submitted tthe letter that appears on the following two pages.

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OF MONROE COUNTY

SUITE 832
EBENEZER WATTS BUILDING
ROCHESTER, NEW YORK 14614

MICHAEL C. GREEN
DISTRICT ATTORNEY

KENNETH C. HYLAND
FIRST ASSISTANT DISTRICT ATTORNEY

LARRY K. BERNSTEIN
SECOND ASSISTANT DISTRICT ATTORNEY

June 21, 2005

Charles Zettek, Jr., CPM
Director of Government Management
CGR
One South Washington Street
Suite 400
Rochester, New York 14614

RE: Validity of Electronic Signatures on Police Reports

Dear Mr. Zettek:

You asked whether the Police Department's switch to a fully automated reporting system would pose problems with regard to the admissibility of those reports, particularly with regard to whether an electronic signature would be valid.

The Electronic Signature and Records Act (Article III of the Technology Law) authorizes government agencies to computerize most, if not all, of their records. The law provides that such electronic records must be given the same legal force and effect as records generated the old-fashioned way. Section 305 specifically provides that "government entities are authorized and empowered, but not required, to produce, receive, accept, acquire, record, file, transmit, forward, and store information by use of electronic means." It further provides that "[a]n electronic record shall have the same force and effect as those records not produced by electronic means." Section 304 of the Act also specifically provides for signing electronic records through the use of electronic signatures, and mandates that "[t]he use of an electronic signature shall have the same validity and effect as the use of a signature affixed by hand." There are exceptions to the use of electronic records, but none that would apply to police records.

Accordingly, the short answer would be that the Police Department may computerize its records, and this should not pose a significant problem with respect to the admissibility of those records. However, there are some things that should be addressed.

First, law specifically provides for the state "Electronic Facilitator" to promulgate rules and regulations with respect to electronic signatures, and essentially to assist agencies in the development of best practices for the use of electronic records (Technology Law § 303). Pursuant to its rulemaking authority, the Facilitator has mandated that "[a] governmental entity shall complete and document a business analysis and risk assessment when selecting an electronic signature to be used or accepted by that governmental entity" (Regulation 540.4 [c]). "Business analysis and risk assessment" is defined as:

> identifying and evaluating various factors relevant to the selection of an electronic signature for use or acceptance in an electronic transaction. Such factors include, but are not limited to, relationships between parties to an electronic transaction, value of the transaction, risk of intrusion, risk of repudiation of an electronic signature, risk of fraud, functionality and convenience, business necessity and the cost of employing a particular electronic signature process.

(Regulation 540.2 [a]).

Another thing that needs to be considered is a protocol for ensuring that the electronic records are not susceptible to being altered, or at least that any changes or alterations of electronic records are strictly tracked. If the electronic records that we try to admit in court is not the "original" record, courts may decide that they are not admissible, or at least that any changes must be explained.

The Electronic Facilitator has issued a "best practice" guide that any agency considering using electronic records should certainly review. I have attached it to this memo.

Very truly yours,

MICHAEL C. GREEN
Monroe County District Attorney

MCG/kf

Attachment

APPENDIX C – INDIVIDUALS INTERVIEWED BY CGR

CGR sincerely thanks the following individuals for their assistance in the preparation of this report. Most of the individuals listed below were interviewed in person at City government offices and work sites throughout Rochester. Many took the time to not only explain their record processes but also to provide suggestions about improving the effectiveness and efficiency of record keeping across City government in the future. A significant number of their suggestions are incorporated in this report.

City Clerk
❖ Carolee Conklin
❖ Dan Karin

Finance
❖ Vincent Carfagna

Bureau of Accounting
❖ James Barclay
❖ James Hafner
❖ Lilian Chang

IS
❖ Thomas Green
❖ Kumar Thavakumar
❖ Lisa Bobo
❖ John Bauerschmidt
❖ Staff members Carol Schmitt and Susan Finear assisted

Record Archives
❖ Ruth Rosenberg-Naparstek
❖ Michele Rowe
❖ Cheryl Gordon-Barr
❖ Tim Connell (retired)
❖ Anne Bierschmitt

RPD
❖ Lt. Michael Kozak
❖ James Hawkins
❖ Captain George Markert
❖ Stefanie Conte
❖ Pedro Quinones

NET
- ❖ Gary Kirkmire
- ❖ Victoria Wehbring
- ❖ Rene Freeman
- ❖ Pete Saxe
- ❖ Lana Townsend
- ❖ Iris Jones
- ❖ Jennifer Kelly
- ❖ Stephanie Mack
- ❖ Wilhelmina Dunkley

Fire
- ❖ Battalion Chief Stephen McClary
- ❖ Margaret Popolizio

Budget
- ❖ Alan Bredekamp

DES
- ❖ Ray Littlefield (Records Liaison)
- ❖ Mark Carden (Maps & Surveys)
- ❖ Bill Kiselycznyk (Construction)
- ❖ Bill Van Dame (Permits)
- ❖ JoAnn Beck (Project Development)
- ❖ Paul Way (Street Design)
- ❖ Tom Hack (Project Development - Bridges)
- ❖ Mark Gregor (Environmental Quality)
- ❖ Joseph Biondolillo (Environmental Quality)
- ❖ Bonita Clements (Personnel)
- ❖ Christopher Wagner (Technology Unit)
- ❖ John Lazar (Building Services)
- ❖ Chris Huether (Building Services)
- ❖ Rick Saltrelli (Operations)
- ❖ Janet Edwards (Operations)
- ❖ Pamela Marcotte (Architectural Services)
- ❖ Bob Morrison (Office of Customer Satisfaction)
- ❖ Gary Jelks (Security)
- ❖ Phillip F. LaPorta (Training & Safety)
- ❖ Janice Perri (Training & Safety)
- ❖ Gary Bonisteel (Training & Safety)
- ❖ Robin Britt (Training & Safety)
- ❖ Paul Noto Jr. (Special Services)
- ❖ Lou Guilmette (Equipment Services)
- ❖ Susan Good (Equipment Services)

- ❖ Mario Norselli (Equipment Services)
- ❖ Fred Hodges (Water Bureau)
- ❖ Mike Wooliver (Water Bureau)
- ❖ John Howland (Street Maintenance)
- ❖ Mike O'Toole (Street Maintenance)
- ❖ Mike Galletto (Street Maintenance)
- ❖ Sharon Edwards (Street Maintenance)
- ❖ Carol Thomas (Street Lighting)
- ❖ Janet Gomez (Street Lighting)

Communications
- ❖ Ted Capuano

BHRM
- ❖ Nancy Alberto

PRHS
- ❖ Mitch Rowe

Library
- ❖ Susan Meyers
- ❖ Larry Naukam
- ❖ Allen Hess
- ❖ Betty Spring
- ❖ Laine Williams

Emergency Communications
- ❖ Alan Wenner
- ❖ Wanda Otero
- ❖ Gregg Roegner
- ❖ Bill Wood

Law
- ❖ Jeff Eichner
- ❖ Bonnie DeCarlo

Economic Development
- ❖ Mary Kay Kenrick

Community Development
- ❖ Laura Nobles
- ❖ Vickie Bell

Note: CGR also met with Monroe County District Attorney Michael C. Green regarding RPD records recommendations; conducted phone interviews with Syracuse and Glens Falls Police personnel; made a site visit to the Canandaigua Records Center; interviewed Steuben County's records management director and Tompkins County records management personnel; talked to City of Syracuse code enforcement personnel, Buffalo's Chief Building Inspector, and administrators involved with the Troy and New Rochelle code enforcement operations. In addition, CGR reviewed the City's IS Disaster Recovery Comprehensive Plan and the Record Archives Procedures Manual.

APPENDIX D – ARCHIVE WRITER INFORMATION

The City's Record Archives developed information regarding current microfilming methods versus the use of an archive writer. The information below is taken from the information provided and illustrates how Record Archives might utilize such state-of-the-art equipment (enabling digital capture and microfilming from TIFF images) if it were available today, and also the time savings the equipment would offer.

The information below compares current filming, scanning, indexing etc. versus the Kodak Archive Writer (KAW) and offers some estimates of time saved. The average document retrieval time currently is 5-7 minutes plus refiling time of 5 minutes. The KAW would eliminate retrieval and refiling time since records would be available electronically.

Costs below do not include KAW maintenance, which CGR estimates to be 10% of the purchase price or a minimum of about $4,000 annually.

19610 Kodak Digital Archive Writer--Kodak i9600 Writer	$38,275.
I9600 Application software kit writer software	$6,000
Extended warranty, 1 year onsite	$3,675
KAW Estimated Cost	47,950
Scanner Estimated Cost (see below)	6,200
	$54,150 TOTAL (Est.)

Scanner

$6,200   Model i260

The scanner identified by Records Archives comes with a 90-day warranty that can be extended for the year for $450. The following 12 months would cost $900 and include onsite service.

A comparison of how some document series are currently processed versus processing using a KAW provides an indication of the time that could be saved using the KAW.

Document Series: Claim vouchers
Current:
3,500 images per box
Scanning time: 1 to 1 ½ hrs per box
Indexing: 1 hr
Operator time: 2 ½ hrs

KAW
Film & index time: 1 hr
Operator time: 1 hr

Document series: HR Termination Files
Current
10-12 boxes per yr
Film/index time: 3 hrs per box
Operator time: 30-36 hrs/ yr
Fiche: 2 ½ hrs per box (25-30 hrs/ yr)
Indexing fiche: 21 hrs/yr

KAW
10- 12 boxes per yr
45 minutes per box. Self indexing with bar coding (*coding must be done prior to processing)*
Operator time: 7.5 hrs to 9 hrs/yr
Fiche: NA. Directly to mainframe. Dept should stop fiche at $.35 per fiche X 400 average per year

Document Series: DCD Grants and Loans
Current
17 - 20 boxes yr
Film/index: 1 hr no indexing needed
Prep time: 1 ½ hr

KAW
17 - 20 boxes yr
Filming: ½ hr per box
Indexing: none as it is bar coded
Prep time: 1 ½ hr.

Document Series: RPD Logs
<u>Current</u>
24 - 25 boxes yr
Film/indexing: ½ hr. per box, no indexing
Prep time: 1 ½ hr per box

<u>KAW</u>
24 - 25 boxes
On mainframe

Document Series: Crime Reports
<u>Current</u>
½ hr. per box for current processing however, these are kept in paper form and not microfilmed. ½ hr is estimated film time for comparison with KAW

<u>KAW</u>
Will save time in retrieval because police could access from their desk with KAW. Sorting the paper copies for disposal by the MU-1 will remain a problem since these records are kept by CR # not class of felony.

Note: Could also do background checks, child abuse reports, field investigations forms (FIF), FACET records on KAW.

Document Series: Parking Tickets
<u>Current</u>
Varies so processing # is used for comparison.
Prep, sorting, filming time: ½ hr. per 1,000 tickets

KAW: time cut in half by elimination of prep and sorting time.