

DATE: February 25, 2010

TO: Board of Acquisition and Contract

FROM: Marguerite Beirne, Chief Information Officer

RE: AUTHORIZATION TO AMEND THE RESOLUTION APPROVED ON NOVEMBER 19, 2009, TO SPECIFY \$21,843 AS THE EXACT AMOUNT OF THE AWARD IN GRANT FUNDING FROM THE STATE OF NEW YORK AND AUTHORIZATION TO ENTER INTO AN AGREEMENT (IT-1155) WITH WILLIAM SAFFADY, PhD. FOR CONSULTANT SERVICES FOR THE ACTIVE RECORDS BUSINESS PROCESS ANALYSIS PROJECT FOR A FOUR MONTH PERIOD COMMENCING ON MARCH 1, 2010 AND TERMINATING ON JUNE 30, 2010 FOR A TOTAL NOT TO EXCEED CONTRACT AMOUNT OF \$21,843

BACKGROUND:

- On November 19, 2009 (“the November 19th resolution”), your Honorable Board approved a resolution which authorized acceptance of grant funding from the State of New York (NYS), under the Dept. of Education’s Local Government Records Management Improvement Fund (LGRMIF) program administered by the NYS Archives whereby the State will provide up to \$24,000 for an Active Records Business Process Analysis Project (grant project number 0580-10-1174), for a one year period commencing on July 1, 2009 and terminating on June 30, 2010, for a total not to exceed contact amount of \$24,000. This project’s goal is to conduct a thorough analysis of the management of the county’s own real property records and to make recommendations for improved policies and procedures governing these critical business documents, methods for their preservation and continued future access and retrieval. The agreement authorized in the November 19th resolution has not been executed.
- Since the November 19th grant acceptance resolution was approved, the County received notice in December 2009 that the grant funding for this project has been reduced from \$24,000 to \$21,843, as part of the overall NYS Division of the Budget reductions of expenditures.
- Per the LGRMIF guidelines for the distribution of funds, \$10,921 or 50% of the grant amount was wired to Westchester County on February 1, 2010. The Westchester County Archives & Records Center, a unit within the Department of Information Technology (DoIT), has received formal written approval for this project’s budget and verbal assurance from the NYS Archives that the remainder of the funding will be forthcoming. No match is required from the county for this funding.
- Per the advice of the County Law Department, the County Archives asked the three consultants already approved by the LGRMIF grant program to review their previous proposals and confirm that they were available to undertake this project for an amount not to exceed the amended grant award of \$21,843 and to complete the entire scope of the Business Process Analysis within the funding period for this grant cycle, which concludes on June 30, 2010. The following three consultants each replied in the affirmative and offered the same hourly rate of \$125 per hour for approximately the same amount of time to be expended:

1. William Saffady, Ph.D., Information Management Specialist
114 Second Place, Brooklyn, NY 11231
2. Gregory S. Hunter, Ph.D., Hunter Information Management Services, Inc.
177 Banbury Rd., Mineola, NY 11501
3. Steve Goodfellow, Access Systems
4260 Henneberry Rd., Manlius, NY 13104

- After reviewing the revised responses from the three prospective consultants, the County Archives & Records Center staff has selected William Saffady, Ph.D. as the consultant best equipped to provide the analysis of these particular governmental records and to complete the project efficiently and for the specified amount of \$21,843. His proposal was specific to our project. His closer proximity to Westchester County should make it easier to schedule the required site visits here. Plus, Dr. Saffady has an excellent reputation for completing his assignments in a timely and competent manner.
- There is a need to improve the management of the county-owned real estate property records, both those paper-based records stored in file cabinets and storage boxes at eight different departments and locations, as well as those electronically produced that reside on multiple file servers. The current decentralized storage of the key, permanent county documents is detrimental to a host of departments – to the work of the Director of Real Estate, to the departments charged with the maintenance and capital improvement of these properties (Planning, Public Works, Parks and Environmental Facilities), to the Tax Commission that requires accurate mapping of all legal boundaries involved, to the Archives that is charged with preserving those permanent records having enduring historical value and to DoIT that is developing an Intranet Geographic Information Systems' ("GIS") tool known as County Real Estate One-Stop (CROS) that should be the logical portal for access to these records, if they could be readied for online retrieval.
- With the development of the CROS application, the lack of a centralized knowledge base became very apparent. The inter-departmental real estate inventory task force working on CROS has identified 272 county properties, entered information concerning them in a database and mapped 98% of them. In addition, there are 710 "parcels" on the county-owned properties list, as well as 187 "parcels" on the assessment rolls that are un-named and either mapped or not mapped.
- When any county official needs the full set of documents related to a county-owned property, there is no assurance now that any one department's files are complete. Lacking a full inventory of this series of records, such as which departments might have specific types of property records for a given period of time, there is not even a finding aid available for retrieval.
- The lack of a complete inventory has an adverse impact on the county's business and financial position, legal exposure, management efficiency, public safety and public health and historical preservation. For example, legal exposures may exist with respect to encroachment by others onto county-owned lands and/or easements wherein county-owned parcels are located within property boundaries of lands owned by others.
- There is also a need for guidance regarding records management best practices and procedures. While efforts have been made by a few of the stakeholders to scan these property records for preservation purposes and improved informational retrieval, images have been produced on an "ad hoc" basis, usually not in the file formats generally acceptable (TIF uncompressed) for long-term preservation.
- To gain intellectual control over the critical documents, correspondence and maps associated with each parcel may be possible through the CROS application or associated databases. But, a plan needs to be developed to achieve this goal in a cost-effective manner that serves all stakeholders and follows the NYS Archives Records Retention & Disposition Schedule CO-2.

PUBLIC PURPOSE:

- The public purposes to be served by this grant-funded Business Process Analysis project are several:
 - Improve intellectual control over the critical property records of county-owned real estate parcels to more efficiently and effectively conduct county real estate business, as well as to adequately plan for and execute proper maintenance of county-owned facilities and to provide for the public safety and health of those facilities' occupants.
 - Avoid unnecessary litigation related to county real estate parcels thereby saving taxpayer monies.
 - Improve retrieval of these property records by a combination of methods: the adoption of records management policies and procedures for the specific departments involved; the development of a strategic plan for the future management of these records; and the integration of image files into the CROS system based upon a list of records prioritized because of their fiscal, legal and historical significance.
 - By planning for the imaging of key documents by using best practices, the county will begin the process of ensuring that these important public records will have the backup required for their future retrieval and use.

CONTRACT GOALS AND SCOPE:

- The first goal of the requested contract is, by using funds from the NYS LGRMIF, engage a records management professional to perform a business process analysis of the records management program for the county-owned real property files, with the following objectives to be achieved:
 - Meet with all the key stakeholders to review the scope of the project.
 - In an 8-week period, gather information related to these records from the 8 departments identified as creators and users of the data. Review all existing applications, storage procedures and volumes and review the CROS application and future plans for its use as a portal for this data. Identify the primary areas of concern relative to records creation, storage and management
 - Determine awareness level in each relevant department regarding records management principles and procedures and needs.
 - Seek information on the current technology infrastructure, support staff capabilities, storage facilities and organization, records retrieval capacities and areas of concern.
 - Identify potential cost avoidance and savings that might accrue from an improved business process.
 - In a subsequent two-week period, review all information, analyze data and draft needs assessment report. Plan to include both procedural changes and technological approaches and, where appropriate, address modifications to existing business processes, implementation considerations, including all technology and training requirements. Draft analysis should include available products and qualified vendors, back file conversion issues and costs – both initial and long-term. All recommendations to be specific, detailed and prioritized.
 - Produce updates on progress of assessment and development of draft plan.
- The second goal is that the consultant's assessment and draft plan for improving the records management of the county's real estate property records will be refined to incorporate input from the eight departments involved and readied for presentation to the County Executive and the Records Commission by the Chief Information Officer ("CIO") and the consultant for that body's

review, discussion and future action. To accomplish the completion of this study, the following objectives have been targeted:

- The consultant will work with the project team to refine the draft plan within a two-week time period from its distribution to the team and having received comments, incorporating input from its members so that the final revised version can be presented by the CIO and the consultant at a regular Records Commission Meeting that will include the County Executive, the Chairman of the Board of Legislators and the Commissioners of those departments requiring improved access to the county-owned real property records.
 - The detailed report should include: an Executive Summary to highlight the recommended solutions and their associated costs. It should include the anticipated improvements, benefits and savings, as well as anticipated impacts on the infrastructure and how it will be implemented over the next three to five years.
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- This project will be monitored and supervised by DoIT staff from the Westchester County Archives & Records Center unit to ensure quality control and progress in attaining the project's benchmarks. Detailed invoices will track the amount of time expended and the appropriate state fiscal and narrative report forms will be signed as necessary by the County Executive and filed by the director of the Archives & Records Center prior to the July 31, 2010 deadline for their submission.
 - Relative to the county's Performance-based Management program (PBM), fiscal responsibility is demonstrated because centralized online storage/retrieval of key, permanent county real estate documents saves taxpayers' time and money. The environment is protected by preserving availability of public records. Safety and security of residents is realized because it will be quicker and easier to identify records, resulting in better maintenance and improvement to properties for the benefit of the public. If this resolution is not approved, property records will remain scattered, which wastes time and creates a hardship for staff, with the possibility of properties not being identified at all.
 - Therefore, we now come before your Honorable Board requesting approval to amend the November 19th resolution by specifying \$21,843 as the exact amount of the grant (project number 0580-10-1174) awarded to the County from the NYS Department of Education's LGRMIF, with all other terms and conditions to remain the same. In addition, we request approval to enter into an agreement (IT-1155) with William Saffady, PhD., having an office located at 114 Second Place, Brooklyn, New York 11231, for a four month period commencing on March 1, 2010 and ending on June 30, 2010, for a total not to exceed amount of \$21,843 for consultant services to analyze county-owned real estate property records.

ACTION REQUESTED:

- Authorization to amend the resolution approved on November 19, 2009 ("the November 19th resolution") to specify \$21,843 as the exact amount of the grant (project number 0580-10-1174) awarded to the County from the State of New York, with all other terms and conditions of the November 19th resolution to remain the same. In addition, we request approval to enter into an agreement (IT-1155) with William Saffady, PhD., having an office located at 114 Second Place, Brooklyn, New York 11231, for consultant services to analyze county-owned real estate property records, for a four month period commencing on March 1, 2010 and terminating on June 30, 2010, for a total not to exceed contract amount of \$21,843, payable pursuant to an approved schedule.

Accordingly, the attached resolution is submitted for your consideration.

RESOLUTION

UPON A COMMUNICATION FROM THE CHIEF INFORMATION OFFICER,
DEPARTMENT OF INFORMATION TECHNOLOGY, BE IT HEREBY

RESOLVED: that the County of Westchester is hereby authorized to amend the resolution approved on November 19, 2009 ("the November 19th resolution") to specify \$21,843 as the exact amount of the grant (project number 0580-10-1174) awarded to the County from the State of New York; and be it further

RESOLVED, that all other terms and conditions of the November 19th resolution shall remain the same; and be it further

RESOLVED, that the County of Westchester is hereby authorized to enter into an agreement (IT-1155) with William Saffady, PhD., having an office located at 114 Second Place, Brooklyn, New York 11231, for consultant services to analyze county-owned real estate property records, for a four month period commencing on March 1, 2010 and terminating on June 30, 2010, for a total not to exceed contract amount of \$21,843, payable pursuant to an approved schedule.

RESOLVED, that the County Executive or his duly authorized designee is hereby authorized to execute and deliver any and all documents and to take all action necessary and appropriate to effectuate the purposes hereof.

Original Agreement: \$24,000 Revenue
This Amendment: \$ -2,157 Revenue
 Total: \$21,843 Revenue
This Amendment: \$21,843 Expense

Account to be Charged/Credited

Fund	Dept	Major Program, Program & Phase Or Unit	Object/ Sub-Object	Trust Account	Dollars
263	16	634J	9854	T634	(\$ 2,157)
263	16	634J	4420	T634	\$21,843

Budget Funding Year(s): 2009-2010 Start Date: July 1, 2009 End Date: June 30, 2010
 (must match resolution)

Funding Source Tax Dollars: _____
 State Aid (\$2,157) Revenue
(\$2,157)(revenue) Federal Aid _____
 (must match resolution) Other: _____