

Shared Electronic Document Management System Set-Up & Implementation

A Municipal Shared Service Collaboration between the City of Northampton and the Towns of Williamsburg, Goshen, Chesterfield, Southampton, and Westhampton



Catalyst for Regional Progress

PVPC



2017

Funding Support by:

Massachusetts Community Compact
Program

District Local Technical Assistance (DLTA)

*A Best Practice Smart
Guide for Public Records
Management and Process
Automation in a Municipal
Shared Service
Collaborative Arrangement*



Prepared and Presented by:

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Community Compact IT Grant Program

This competitive grant program focuses on driving innovation and transformation at the local level via investments in technology.

Mr. Sean Cronin
Senior Deputy Commissioner
Division of Local Services
MA Department of Revenue
Boston, MA 02114-9569

Dear Senior Deputy Commissioner Cronin,

It is my pleasure to submit this best practice guide on the work done to coordinate efforts to implement an electronic public records data management system for five (5) municipalities in partnership with the City of Northampton.

Thanks to the Community Compact Grant program and available resources through the program, we have been able to coordinate contractual arrangements between municipalities and purchase the necessary capital for expansion of Northampton's Data Center's electronic public records document management system to the Towns of Williamsburg, Westhampton, Chesterfield, Goshen, and Southamptton. District Local Technical Assistance (DLTA) had been awarded from the Pioneer Valley Planning Commission to provide assistance with coordinating the necessary tasks to place the participating towns on a path forward for successful implementation. These resources helped us navigate through the challenges small towns often face when attempting to implement innovative solutions to meet local government needs.

The system and best practice process presented in this guide is an example of what can be done when local officials and municipal employees work collaboratively across town and city borders in order to maximize capacity and resources to address specific municipal needs. We are very proud of the progress made through our process and also look forward for future discussion on what else we can achieve together through a shared service arrangement. We trust this report will provide useful information for those interested in pursuing similar initiatives. If you should have questions about our process or the contents of this guide, please feel free to contact me anytime.

Sincerely,

Charlene Nardi
Town Administrator
Town of Williamsburg
(413) 268-8409
townadmin@burgy.org

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Executive Summary

Municipalities who have leveraged the use of technology to operate their local government have been able to maximize on the greatest potential for optimum management of municipal services. Unfortunately for smaller towns who lack capacity and resources, it's difficult to keep up with technology changes, task coordination, and start-up costs to benefit from the efficiencies that technology provides. Thanks to the Commonwealth's Community Compact Program and grant resources, as well as District Local Technical Assistance funds from the Pioneer Valley Planning Commission, five (5) small towns (Williamsburg, Westhampton, Chesterfield, Goshen, and Southampton) have been able to jointly leverage these state resources and coordinate efforts to successfully implement an existing secured and accessible electronic public records management system at the City of Northampton's Data Center with Northampton as the host municipality. Northampton currently uses Laserfiche with General Code and has been adopting the system in its community for 10+ years. This streamlined system allows for the City of Northampton to meet their public records management mandates at a much more effective and efficient means rather than the traditional physical data storage methods that has caused in-house 'bottle-necking'. The City was graciously willing and supportive to expand its capabilities and experiences using the system with the five (5) participating surrounding municipalities as a host community in a shared service capacity. This report will serve as a smart guide with best practice steps for coordinating a process to lead toward implementing such a system in a municipal shared service collaborative status.



IT Shared Services: About Laserfiche Document Management System & Hosting

Document Management Services - Project Scope:

- Laserfiche Enterprise Content Management Licenses
- Web-based document access
- Secure storage hosted by City of Northampton
- Initial End User Training
- Data protection policies for disaster recovery purposes
- Technical Support
 - First response by City of Northampton
 - Escalation available from General Code
 - Response time policies included



**Northampton
IT Services**

Laserfiche Enterprise Content Management Features:

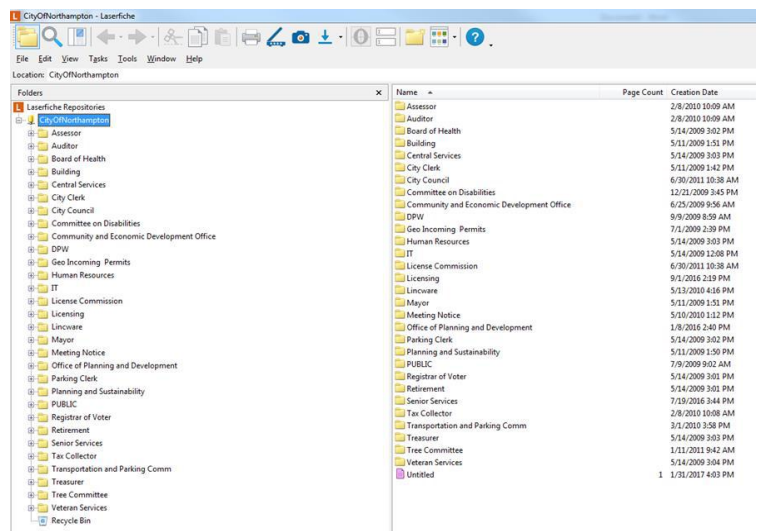
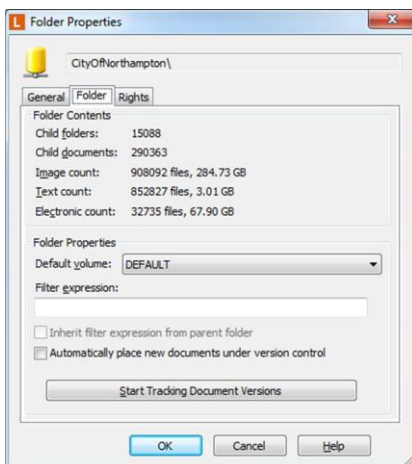
- Functionality for today, scalability for tomorrow
 - With capabilities ranging from records management to document routing, electronic forms and digital signatures, Laserfiche is a powerful workflow management solution that enables the entire enterprise.
- Lowest overall cost of ownership
 - Easy-to-use software, online training programs and extensive support resources reduce deployment time and enhance user adoption.
- Intuitive design and use
 - Laserfiche's intuitive user interface allows users to quickly adopt and use the software, speeding acceptance and minimizing IT support.
- Leading-edge business process management tools
 - Automate and transform document-driven processes including vendor and contract management, invoice, approval, records management, travel and expense management, and more.
- Repeatable, scalable
 - Create document repositories, workflows and security settings for one department and easily duplicate them for other business units.
- Streamlined integrations
 - Create and work with Laserfiche documents directly from GIS, CRM, ERP and other primary applications employees use every day.

Benefits:

- Eliminate the manual tasks and overhead of processing paperwork with easy-to-use enterprise content management software.
 - Replace unorganized file cabinets, network drives and legacy systems with accessible and searchable digital repositories.
 - Reclaim office space and decrease overhead costs of paper use and storage.
 - Eliminate time consuming data entry with high-volume document capture of scanned and electronic documents.
 - Reduce the burden of finding documents with instant search and retrieval.
 - Increase staff efficiency by automating document filing, form filing, and processing.
 - Ensure constant productivity with automated e-mail notifications, document routing and reporting.
 - Auto-file newly created records according to government regulations and administration policies.
 - Automatically notify records managers when a record needs to be archived or destroyed based on the record type.
 - Generate reports to identify and locate records that are ready for disposition.
 - Enforce records management policies across all devices including mobile phones, tablets, laptops, and desktops by storing only one copy of a record in a centralized repository.
 - Automatically classify and apply disposition schedules and other retention policies to incoming records.
 - Centralize records storage and group records based on their retention and disposition schedules.

Laserfiche Repositories City of Northampton:

- Current folder structure ----->
 - By Department
 - No restrictions on storage
 - Role-based permissions
 - Public documents sub-folder
 - Thirty-one folders
 - Initiative in year 2009



<-- Current storage usage:

- Approximately 360 GB
- Over 1 million documents and images
- Actively used by six departments in a regular basis
- Initiated in year 2009

Shared Services Terms (per municipality):

- Initial costs for installation, setup, licenses, and training
 - Names user licenses - \$2,000 per user
 - System setup and configuration - \$2,000
 - End user training (1 day): \$1,950
- Ongoing cost per year (500 GB storage)
 - Hosting services and technical support - \$1,500
 - User license renewal - \$300 per user
- Additional storage (renewal years)
 - Hosting services - \$2.5 per GB, in increments of 100 GB

**Shared Services Technical Support:**

- Technical Support Hours
 - Mon - Fri at 8:00am to 5:00pm
- Submit support tickets by email or web portal
 - Two accounts/users per community
- Support tickets response
 - Acknowledgement within first two business hours
 - Communicate solution and/or need for escalation within first eight business hours
- Data Protection
 - Server snapshots saved four times per day
 - Data backed up nightly
 - Data backup retention - twelve monthly instances

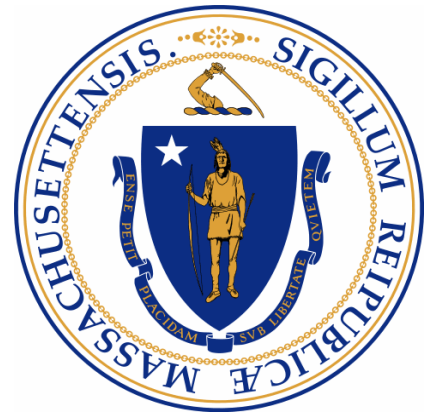


Start-Up & Organizing Phase

The first step for the success of any project idea is to achieve participating interest. After confirming interest to engage in a collaborative venture for exploring and possibly implementing a shared service electronic document management system with the City of Northampton, the town's applied for Community Compact resources which was awarded. DLTA resources from the region's metropolitan planning organization was also awarded to help coordinate tasks required to successfully achieve buy-in from each community so they can move forward with implementation of the system. The following is a breakdown of the resources awarded to the communities and tasks that were involved to help get the project off the ground and secure community 'buy-in' from local stakeholders.

IT Grant

The IT Grant Program is a competitive Massachusetts grant program focused on driving innovation and transformation at the local level via investments in technology. These resources are made available for local governments across the state to drive innovation, make government more efficient, save taxpayer money, and make it easier for residents to interact and transact with their local government. Communities can submit grant proposals of up to \$200,000 to support the implementation of innovative IT projects by funding related one-time capital needs such as technology infrastructure, upgrades and/or purchases of equipment or software. Incidental or one-time costs related to the capital purchase such as planning, design, installation, implementation and initial training are eligible as well.

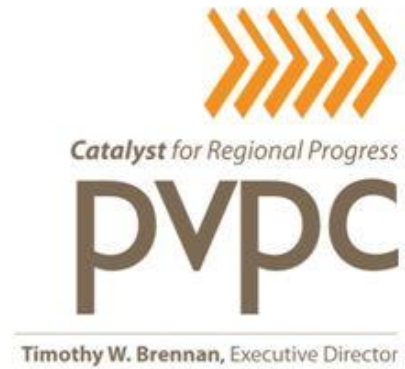


In March of 2017, the Town of Williamsburg submitted a multi-jurisdictional IT grant proposal on behalf of the five (5) participating towns to explore and implement a secure and accessible electronic document management system. The total amount applied for was \$60,250.00. The project budget estimate included the following:

Item	Cost
Licensing - (2 users per town, \$2,000 per user)	\$20,000
Setup fees - (includes windows server, SQL Server installation, configuration, and repository setup)	\$10,000
Laptop/Scanner/Mobile Units	\$20,500
End User Training - (\$1,950 per day per town)	\$9,750
TOTAL	\$60,250

District Local Technical Assistance (DLTA)

DLTA funds is an annual grant made available through the State Legislatures and supported by the Governor of Massachusetts. Funds are distributed among the metropolitan regional planning agencies across the Commonwealth to provide cities and towns with technical assistance to help move municipalities forward local and state key initiatives. This funding allows regional planning agencies, such as the Pioneer Valley Planning Commission (PVPC), to offer technical assistance to all member municipalities in two broad areas:



1. "Planning Ahead for Housing" (or to help reach the Statewide Housing Production Goal) or "Planning Ahead for Growth"; and
2. Technical Assistance to support Community Compact Cabinet Activities and regionalization/shared services.

Upon being awarded the Community Compact grant funds, PVPC matched the grant with DLTA to assist the communities with coordinating cross-collaboration efforts and implementation of the electronic document management system. These tasks included the following:

- stakeholder education of system (Webinar/s) - achieve 'buy-in' from local leadership;
- researching and assessing infrastructure needs of the communities;
- crafting a system proposal and design for each municipality including launch costs and projected annual operating costs;
- developing contract agreements between each of the municipalities and the host community with agreed upon terms;
- seek appropriate authorization to execute agreement;
- develop a user implementation guide.

Stakeholder education of system (Webinar/s) - achieve 'buy-n' from local leadership

Several demonstrations took place to help communities explore the model and understand the functionality and practicality of the system. The series of demonstrations was an important part of the process to get communities through the exploratory phase and achieve buy-in. The first of which was a field trip to City Hall at Northampton to meet with the City Clerk and the Chief Information Officer. Town leaders were able to shadow departmental use of the system including the Public Health Department, and ask questions. The second demonstration took place at the Town Offices of Williamsburg in which representatives of General Code were present. Those who were unable to be physically present for that presentation were able to participate in one of the two webinars setup with General Code (one during working day and one during evening hours).

Researching and assessing infrastructure needs of the communities

In order for the system to function properly, determining what each of the participating communities had for hardware and internet bandwidth was an important step in the process. Communities engaged Akuity, a selected vendor through the state for IT Health Checks, to do the assessment and help compare what is needed to operate the system as well as to identify, if anything, each of the municipalities needed to do to make the system work.

Crafting a system proposal and design for each municipality including launch costs and projected annual operating costs

The crafted system proposal executed and noted as the 'user implementation guide' for the communities was as follows:

Step One -

- City of Northampton's IT Services Department (ITS) setup and configured repositories for each town involved within the project.

Step Two -

- Town of Williamsburg, MA setup as the pilot for the full scale roll out - was called "Proof of Concept" (PoC). As part of this PoC, ITS evaluated any bandwidth issues and devised solutions. Also, repository structure was tested and modified as needed.
- Only basic training was provided to Williamsburg staff at this point by the ITS.

Step Three -

- Training on Site
General Code provided one day of end user training at each site. The location of the training sessions occurred at each of the Town Halls of the participating communities.

First Year General Costs (per municipality) - covered by IT Grant

Line Item Description		Quantity	Unit Price	Total
Base Software				
	Laserfiche Named Full Users (with LaserFiche Connector)	2	\$2,000.00	\$4,000.00
Professional Services and Support				
	System setup and configuration (includes 1 st year hosting)	1	\$2,000.00	\$2,000.00
	End User Training On-Site (1 day)	1	\$1,950.00	\$1,950.00
Total				\$7,950.00

Year Two and Year Three Annual Operating costs per community

- Digital Repository hosting and support: \$1,500 / year
- Laserfiche users license support (2 users): \$600 / year
- *TOTAL Annual Fee per community = \$2,100*

Implementation Phase

After crafting the system proposal for each community and drafting a 'User Implementation Guide', the communities had the information they needed to move forward with making a final commitment decision to enter into a contract with the lead municipality - 'achieve buy-in'. The Town of Williamsburg was the purchasing agent and prior to buying any of the necessary equipment to implement the shared document management system, the town needed to know for sure which of the communities were in fact committed to moving forward with implementing and sustaining its partnership arrangement. Once each of the communities fully recognized and understood what they can expect for services and costs, a contract between the individual communities and the host municipality was drafted and brought forward to the Selectboard's for the appropriate signature. See Attachment A to review a copy of the contract. Each of the communities had reviewed and signed the contract with Northampton for services. With the signed contract from each community at-hand, the purchasing agent and the participating communities are ready to proceed to the next phases of its implementing process.

ATTACHMENT A:

**Contract Agreement By and Between
City of Northampton
and**

Town of _____

Shared Services: Laserfiche Document Management

THIS AGREEMENT (Agreement) dated as of this 1st day of December, 2017 by and between the City of Northampton, a Massachusetts municipal corporation having a usual place of business at the City Hall, 210 Main Street, Northampton, MA 01060, acting by and through its Mayor (Northampton) and the Town of _____, a Massachusetts municipal corporation having a usual place of business at _____ acting by and through its Select Board.

WITNESSETH THAT:

WHEREAS, Northampton and Chesterfield desire to enter into an agreement by which Northampton provides “**Shared Services: Laserfiche Document Management**” services to _____; and

WHEREAS, Year 1 services, see paragraph 5, will be covered fully by a grant awarded by the Commonwealth of Massachusetts to the Towns of **participating towns here-**, currently held by the Town of Williamsburg;

WHEREAS, each of the parties has obtained authority to enter into this Agreement as required by G.L. c. 40, s. 4A;

NOW, THEREFORE, in consideration of the premises set forth above and for other good and valuable consideration the receipt and sufficiency of which are hereby acknowledged, the parties hereto, intending to be legally bound, hereby agree under seal as follows:

1. Provision of Intermunicipal Services: During the Term of this Agreement, Northampton shall provide to Chesterfield, by and through its Information Technology Services Department (see paragraph 3), the services set forth in paragraph 5, below.
2. Term: The term of this Agreement (the Term) shall commence on December 1, 2017, and shall expire on June 30, 2020 unless earlier terminated as set forth herein.
3. Identity of Information Technology Services Department: The services to be provided under this Agreement shall be provided by the Chief Information Officer of the Information Technology Services Department at Northampton, or by such qualified successors as may be appointed by the Mayor of Northampton (the Mayor) during the Term.
4. Compensation: Upon execution of this Agreement during the first year of services, Williamsburg shall pay to Northampton the sum of \$7,950 for Year 1 services to be

provided hereunder in paragraph 5, on behalf of the participating towns. Northampton will bill Chesterfield the sum of \$2,100 for Year 2 and Year 3 services provided and agreed to in paragraph 5 per this Agreement.

Year 1 of Agreement will be invoiced to Williamsburg at project completion. Year 2 and 3 will be invoiced to _____ on July 1st. Northampton will be paid, upon receipt of an invoice, within 30 days of receipt of payment.

Re-evaluation of the assessment will be conducted annually. Should the cost exceed \$2,100, notification of the compensation amount for the next fiscal year will be provided in writing by Northampton to _____ no later than December 30th.

5. Duties: Northampton shall provide the services of "Shared Services: Laserfiche Document Management" and perform the following:

Year 1: costs to be covered fully by a grant awarded by the Commonwealth of Massachusetts currently held by the Town of Williamsburg

- a. Digital Repository Setup, Configuration, and Testing
- b. Laserfiche Full Users License
- c. End User Training

Year 2 and Year 3: costs to be covered by _____ as agreed in paragraph 4

- a. Digital Repository hosting and support
- b. Laserfiche users license support

6. Indemnification: Notwithstanding the final sentence of G.L. c. 40, s. 4A, _____ shall indemnify and hold harmless Northampton and each and all of its officials, officers, employees, agents, servants and representatives (the Indemnitees) from and against any claim arising from or in connection with the performance by the Information Technology Services Department in or for Chesterfield including, without limitation, any claim of liability, loss, damages, costs and expenses for personal injury or damage to real or personal property by reason of any negligent act or omission or intentional misconduct by the Information Technology Services Department while in or performing services for _____. _____ shall be responsible only for any liability associated with the Shared Services: Laserfiche Document Management while he or she is operating under the direction and control of the Town of _____.

7. Termination: This Agreement may be terminated by either party for any reason or no reason on thirty (30) days' written notice to the other. No such termination shall affect any obligation of indemnification that may have arisen hereunder prior to such termination. The parties shall equitably adjust any payments made or due relating to the unexpired portion of the Term following such termination.

8. Assignment: Neither party shall assign or transfer any of its rights or interests in or to this Agreement, or delegate any of its obligations hereunder, without the prior written consent of the other.
9. Severability: If any provision of this Agreement is held by a court of competent jurisdiction to be invalid, illegal or unenforceable, or if any such term is so held when applied to any particular circumstance, such invalidity, illegality or unenforceability shall not affect any other provision of this Agreement, or affect the application of such provision to any other circumstances, and this Agreement shall be construed and enforced as if such invalid, illegal or unenforceable provision were not contained herein.
10. Waiver: The obligations and conditions set forth in this Agreement may be waived only by a writing signed by the party waiving such obligation or condition. Forbearance or indulgence by a party shall not be construed as a waiver, nor limit the remedies that would otherwise be available to that party under this Agreement or applicable law. No waiver of any breach or default shall constitute or be deemed evidence of a waiver of any subsequent breach or default.
11. Amendment: This Agreement may be amended only by a writing signed by both parties duly authorized thereunto.
12. Governing Law: This Agreement shall be governed by and construed in accordance with the substantive law of the Commonwealth of Massachusetts, without regard to the conflicts of laws provisions thereof.
13. Headings: The paragraph headings herein are for convenience only, are not part of this Agreement and shall not affect the interpretation of this Agreement.
14. Notices: Any notice permitted or required hereunder to be given or served on either party by the other shall be in writing signed in the name of or on behalf of the party giving or serving the same. Notice shall be deemed to have been received at the time of actual receipt of any hand delivery or three (3) business days after the date of any properly addressed notice sent by mail as set forth below.

- a. To Northampton: Any notice to Northampton hereunder shall be delivered by hand or sent by registered or certified mail, return receipt requested, postage prepaid, to:

David J. Narkewicz, Mayor
City Hall
210 Main Street
Northampton, Massachusetts 01060

with a copy to:

Alan Seewald, City Solicitor
71 King Street
Northampton, Massachusetts 01060

- b. To _____: Any notice to _____ hereunder shall be delivered by hand or sent by registered or certified mail, return receipt requested, postage prepaid, to:

_____ Board of Selectmen
Town Hall
Address
_____, MA _____

with a copy to:

15. Complete Agreement: This Agreement constitutes the entire agreement between the parties concerning the subject matter hereof, superseding all prior agreements and understandings. There are no other agreements or understandings between the parties concerning the subject matter hereof. Each party acknowledges that it has not relied on any representations by the other party or by anyone acting or purporting to act for the other party or for whose actions the other party is responsible, other than the express, written representations set forth herein.
16. Financial Safeguards: The Information Technology Services Department shall maintain separate, accurate and comprehensive records of all services performed for each of the parties hereto. Northampton shall maintain accurate and comprehensive records of all costs incurred by or on account of the Shared Services: Laserfiche Document Management, and all reimbursements and contributions received from _____. _____ shall maintain separate, accurate and comprehensive records of all payments to Northampton as provided in paragraph 4 above. The parties shall regularly and in any event not less often than annually, audit the records of the Information Technology Services Department and the said records of Northampton and _____, and financial statements based on such audits shall be rendered to the parties hereto.

WITNESS OUR HANDS AND SEALS as of the first date written above.

CITY OF NORTHAMPTON

TOWN OF _____

David J. Narkewicz, Mayor

_____, Selectboard Chairman

Approved as to Form

Alan Seewald, City Solicitor

[illegible]