

STATEMENT OF QUALIFICATIONS

CONSULTING SERVICES FOR LOCAL GOVERNMENT DOCUMENT AND RECORDS MANAGEMENT PLANNING, DESIGN, IMPLEMENTATION SERVICES

Prepared for the City of Rochester Hills



Frankfort, Kentucky

PlanGraphics, Inc.
112 E. Main St.
Frankfort, KY 40601
Phone: (502) 223-1501
Fax: (502) 223-1235

Contact: Peter Croswell
pcroswell@plangraphics.com

www.plangraphics.com

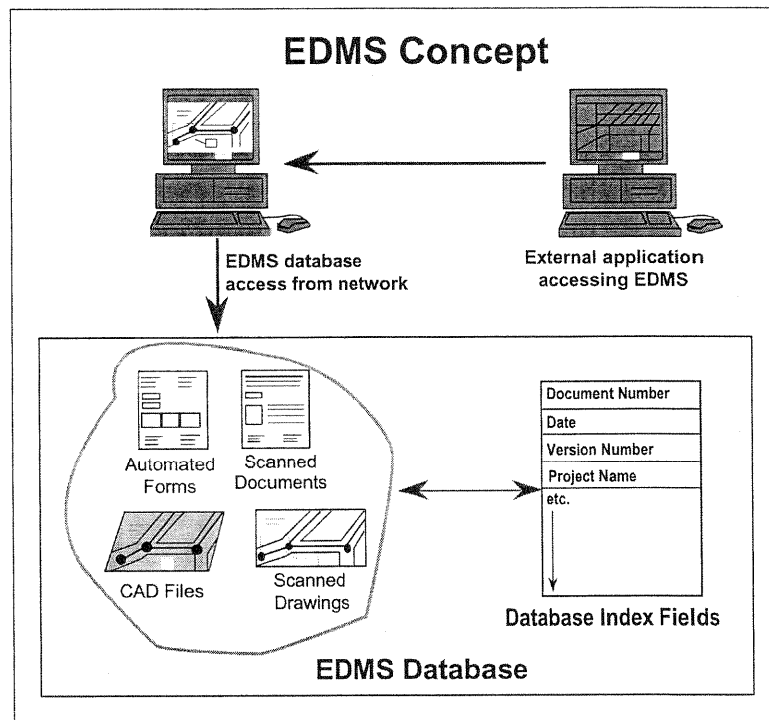
Overview of PlanGraphics and Document Management Services

PlanGraphics, Inc., is a leading independent consulting firm providing information technology consulting and development services for government agencies with a focus on GIS and electronic records management. Our services cover all aspects of system and program design and development, including:

- Needs assessment
- Document and records inventory and evaluation
- Cost-Benefit evaluation
- Examination of legal and regulatory impacts for records management
- Technical design and specifications for document management systems and integration with their systems
- Planning for records management programs and document management system development
- RFP development and support in vendor and contractor selection
- Specifications, management, and quality assurance for document automation
- Management and technical support in implementation and deployment.

As an independent consulting firm, we have no business interest in particular software packages or technology services offered by other companies. Our role is to define practical, cost-effective solutions for our clients and to work with them and appropriate vendors to implement sound systems and programs. Our work spans all technical, management, and organizational aspects of document management system and records management programs.

We provide a full set of services for the planning, design, and development of electronic document management system (EDMS) design and implementation projects for a number of clients in the utility, transportation, and government sectors. The overall purpose of an EDMS is to create a more efficient system for storing, locating, accessing, and using drawings and documents. The basic concept of an EDMS is simple. As shown in the following figure, the EDMS stores a repository of automated drawings and documents (raster, vector, or other file format) with database index information that supports query and access. A recent trend is to create Web-based document repositories for access via the Internet or intranet.



EDMS software, with a database management package, provides all of the capabilities that allow standard functions like:

- Maintaining secure electronic repositories of documents
- Document scanning and entry
- Document query
- Drawing and document viewing
- Electronic forms management
- Printing, plotting, and pasting into documents
- Automated distribution
- Automated drawing modification.

After the EDMS database and basic functionality are in place, many opportunities exist for more advanced applications like:

- Automated workflow and document control
- Automated routing and plan review/mark-up
- GIS map-based queries for drawing access
- Web-based access and use of the Internet for submittal and distribution of drawings and documents
- Support for E-commerce initiatives
- Special project applications (e.g., creation of automated project bid packages, Web-based project management, and document exchange)

- Applications supporting government records management, including records retention and disposition, legislation tracking and distribution, and management of public records requests
- Field and mobile access to drawings and documents.

Summary of PlanGraphics Qualifications

PlanGraphics is uniquely qualified and well positioned to evaluate needs, define a strategy, and support implementation of a citywide document management system and records management program for Rochester Hills. We combine an in-depth familiarity with municipal programs and operations with the technical skills to design effective solutions to the full range of document management requirements. In addition, we have the required experience in the legal and policy aspects of records management that impact local governments. In summary, PlanGraphics offers the following qualifications:

- In-depth familiarity with all municipal government programs and operations
- Specific experience (from past project work) with many Rochester Hills departments
- Technical expertise with document management systems
- Understanding of system integration approaches and a familiarity with current systems in Rochester Hills (e.g., GIS, PeopleSoft, Legistar, Equalizer)
- Experience with local government records management program development with particular familiarity with Michigan laws impacting public records management and records retention
- Role as independent consultant with ability to assist with vendor and contractor selection and help support implementation.

Familiarity with Local Government Operations

One of PlanGraphics key advantages is our in-depth understanding of local government operations and the role of various types of documents (electronic and hard copy) to support the programs of multiple offices. Table 1 identifies selected local government projects in which PlanGraphics has provided information technology planning and development services in which document and records management have played a key role. This table shows the range of program areas that we have worked with in these past projects.

Table 1: Local Government Projects

Selected Local or Public Utility Client	Local Government Program Areas											
	Financial Management	Public Works/Transportation	Economic Development	Public Safety/Emergency Management	Planning and Zoning	Permit/License Management	Parks and Recreation	Water/Sewer Utilities	Environmental Protection	Social and Health Services	Property and Asset Management	Clerk/Recorder/Records Management
Anne Arundel County, MD		●	●		●	●			●		●	
Brea, CA		●	●		●	●						
Chester County, PA	●	●	●	●	●	●	●	●	●	●	●	●
Clark County, NV	●	●	●	●	●	●	●	●	●		●	●
Cleveland, OH	●	●	●	●	●	●	●	●	●	●	●	●
Columbus, OH		●	●	●	●	●	●			●	●	●
Cook County, IL						●					●	
Cupertino, CA	●	●	●	●		●	●	●	●		●	
Dallas, TX		●			●	●	●	●				●
DeKalb County, GA		●		●	●		●	●			●	
Fairfax County, VA		●	●	●	●		●	●	●		●	
City of Franklin, WI	●	●		●		●		●		●	●	
Genesee County, MI		●	●		●				●		●	●
Helix Water District, CA					●	●		●			●	
Holland, MI	●	●			●	●		●	●		●	
Horry County, SC		●	●	●	●		●	●	●		●	
Iowa City, IA		●	●		●	●					●	
Kalamazoo County, MI	●	●	●	●	●	●	●	●	●	●	●	●
Knoxville/Knox County, TN	●	●	●	●	●	●	●	●	●	●	●	●
Lake County, IL		●			●	●			●		●	●

Table 1: Local Government Projects (continued)

Selected Local or Public Utility Client	Local Government Program Areas											
	Financial Management	Public Works/Transportation	Economic Development	Public Safety/Emergency Management	Planning and Zoning	Permit/License Management	Parks and Recreation	Water/Sewer Utilities	Environmental Protection	Social and Health Services	Property and Asset Management	Clerk/Recorder/Records Management
Lincoln, NE		●			●	●			●		●	
Los Angeles County, CA	●	●	●	●	●	●			●		●	●
Louisville/Jefferson County, KY	●	●		●	●	●		●	●	●	●	●
Lower Merion Township, PA	●	●	●	●	●	●	●			●	●	●
Madison Metro Sewer District, WI	●	●						●	●		●	
McAllen, TX		●	●	●	●	●	●	●	●	●	●	●
Metro Sewer District of Southern CA	●					●		●				
Milwaukee/Milwaukee County, WI		●	●	●	●	●		●	●			
Multnomah County, OR		●		●	●	●		●	●			
Naperville, IL	●	●		●				●			●	●
Narragansett Bay Commission, RI	●		●		●	●		●			●	
Nashville/Davidson County, TN	●	●	●	●	●	●	●	●	●	●	●	●
New York City, NY	●	●	●	●	●			●	●	●		●
Olathe, KS		●	●		●	●		●			●	
Ottawa County, MI	●	●	●		●						●	
Phoenix, AZ	●	●			●	●					●	
Prince George's County, MD	●	●		●	●	●	●	●			●	
Raleigh/Wake County, NC		●	●	●	●		●			●	●	
Rockford, IL	●	●	●	●	●	●	●	●	●	●	●	●
Sacramento County, CA		●		●	●	●	●	●	●		●	●
San Antonio Water District, TX	●				●	●		●			●	
Santa Margarita Water District, CA	●				●	●		●			●	
Scottsdale, AZ	●	●	●		●	●	●		●			
Washington, DC				●	●	●						
Waukesha County, WI	●	●	●	●	●	●	●	●	●	●	●	●
Wayne County, MI	●	●	●	●	●	●	●	●	●	●	●	●
Winnipeg, MB	●	●	●	●	●	●	●	●	●	●	●	●

Records Management Legal and Policy Issues

PlanGraphics is familiar with and has addressed legal and policy requirements impacting records management in past projects. We know about the factors that must be considered in implementing a successful records management program at the municipal level, including:

- Proper compliance with state law for guiding public records requests and records retention (most importantly the Michigan Freedom of Information Act and Michigan Historical Commission Act)
- Setting up records retention schedules (responding to requirements for general and specific schedules) and the physical and electronic storage mechanisms to efficiently manage records retention and disposition requirements
- Adhering to all applicable privacy and confidentiality restrictions on records access and distribution
- The potential impact of other existing or upcoming laws or regulations that could influence approaches to the management of records (right-to-know laws, health and safety codes, critical infrastructure protection policies).

PlanGraphics has reviewed policies and programs managed by the State Department of History, Arts, and Libraries (HAL) and other sources of policies and guidelines for local government records management. We have examined the resources and materials (below) made available by HAL and other entities, and we believe that we are well-positioned to work with the city clerk and other offices on records management program planning and implementation:

- State Freedom of Information Act, Management and Budget Act, Records Management, and the Michigan Historical Commission Act
- "State of Michigan Local Government Records Management and Preservation Manual" (prepared by HAL)
- Bulletins and materials from the National Association of Government Archives and Records Administrators (NAGARA) and the International Institute of Municipal Clerks
- ARMA guidelines for records management program planning and implementation.

In our recent contact with HAL, we have become familiar with its programs and services that support local governments, and we intend to make use of those resources during the course of this project.

Selected PlanGraphics Project References

County Clerk Document Management Study and Specifications Tulsa County, Oklahoma

PlanGraphics reviewed the operations of the Tulsa County Clerk/Recorders Office in the acceptance and filing of documents. Documents were inventoried and characterized as to their type, format, media, and quality. The functions of Office staff for accepting, cataloguing, and filing records were examined and documented. PlanGraphics also reviewed the needs of users of the Office (citizens and businesses that bring documents for official recordations or request copies). PlanGraphics documented the functional requirements of the system, document workflows, and the indexing requirements for the documents. This information was used by PlanGraphics to prepare procurement specifications and an RFP for document management software. PlanGraphics helped identify vendors and review responses.

Engineering Document Imaging and Management System Needs Assessment, Design, and Implementation Columbus, OH

PlanGraphics assisted the Columbus Department of Public Utilities in the development of a Construction Drawing Imaging and Management System (CDIMS) for its Division of Sewerage and Drainage. CDIMS serves as a computerized repository for drawings and documents for the City's storm and sanitary sewer system and now provides an automated storage, retrieval, and distribution system for sewer records.

PlanGraphics performed an assessment of business processes and document flow, as well as an analysis of City needs. This included an inventory of Division drawings and documents and a characterization of their use, format, and condition. This needs assessment defined the functional needs of an automated document retrieval system and prepared a conceptual design to guide system specifications and procurement. PlanGraphics estimated costs for implementation and prepared a cost-benefit analysis. Another element of this project was to develop CAD standards and procedures for the consistent submittal of automated plans from engineering consultants. PlanGraphics prepared hardware and software specifications and worked with the Division to select appropriate vendors and specifications for the scanning and indexing of more than 400,000 drawings and documents. PlanGraphics provided oversight and performed quality assurance for all drawings and documents that were scanned and indexed by a PlanGraphics subcontractor.

CDIMS uses the Falcon/DMS document management software package from tsaADVET, which is integrated with other software (Oracle, third-party viewer software), to provide a full range of document management functionality. PlanGraphics performed all loading and configuration of the software and developed a number of custom applications on the Falcon/DMS platform. This project also included the design and development of an automated forms management application supporting the paperless application, review and approval, and processing of sewer connection permits.

**Engineering Document Imaging and Management System –
Needs Assessment, Design, and Implementation
Columbus, Ohio**

PlanGraphics, Inc., was hired to carry out a review of drawings and documents for the City Division of Water. These documents are the main records that hold detailed information about the City's water distribution system. PlanGraphics evaluated system requirements and inventoried the drawings and documents characterizing them by type, content, format, indexing needs, and condition. The work involves the scanning and indexing of more than 65,000 engineering drawings and documents of many different types. Scanning and indexing are being carried out on-site through a subcontractor under PlanGraphics' direction and specifications, and PlanGraphics is performing independent quality assurance prior to delivery. The end product includes compressed TIFF files and Access database tables containing index information for each drawing and document. These records will be used to support GIS data conversion and will be loaded into a document management system for quick query and access. This project also included the design and development of an automated forms management application supporting the paperless application, review and approval, and processing of sewer connection permits. This was followed by a full analysis of businesses and document flow impacting many aspects of the Divisions' operations, including plan/permit review, call/complaint management, project and contract management, billing and accounting, public information response, and other business areas.

**Document Management System Needs, Design, and Implementation
Rhode Island Department of Transportation (RIDOT)
Providence, RI**

RIDOT has a 100-year archive of project plats and related documents that are maintained in hardcopy format. Their intention was to preserve the documents, as well as to build an indexing mechanism that would be integrated with other enterprise systems, including their financial and project tracking applications.

PlanGraphics is responsible for a detailed review of business processes and workflows in the Department and the documents that support Department programs. The project includes a definition of needs for automated document management and integration with other automated systems, including GIS, capital project management, and facilities management systems. PlanGraphics reviewed all current documents and characterized these documents based on priority, type, and condition and defined index retrieval requirements.

After completing a conceptual design for the document management system, PlanGraphics developed an implementation plan and technical specifications for hardware, software, and scanning/indexing work. PlanGraphics has carried out on-site scanning and indexing of more than 100,000 large- and small-format documents and loaded them into a document management repository for query and access.

**Land Records System Evaluation, Design, and Implementation
Chester County, PA**

PlanGraphics participated in successive phases of this project over several years and multiple contracts. PlanGraphics—1) conducted a needs analysis and developed a conceptual design for an integrated land records system; 2) developed mapping and data conversion specifications; 3) prepared procedures for data quality assurance; 4) placed a QA supervisor on-site for two years to manage the QA process; and 5) prepared a design to automate the subdivision and land development review process, which included GIS, RDBMS, and document imaging components.

**Document Workflow Review and Recommendations
Dallas, TX**

PlanGraphics performed a review of workflow and related document processing with the City's Department of Planning and Development responsible for all development, permitting, zoning, and long-range planning programs for the City. PlanGraphics evaluated current procedures for managing hard copy and automated documents and examined its response to state records retention statutes. PlanGraphics also examined a major document imaging and index project then underway. Observations were documented and recommendations provided about future strategies and specific technical solutions for document management and related automation of development application and review.

**Multi-Department Document Management Assessment and Strategy
Columbus, OH**

PlanGraphics was hired by the City's Department of Technology to review current policies and approaches for document imaging and management and to identify future needs, prepare technical specifications, and provide recommendations on long-term document management strategies. This work included an inventory of major documents and a review of legal and policy impacts (including public records law and records retention requirements). PlanGraphics prepared several deliverables that defined needs for document management technology, technical specifications and standards, methodologies for document management implementation and document automation, and recommendations for implementation.

**Business Process and Workflow Evaluation
Lake County, IL**

PlanGraphics conducted a business process and workflow evaluation for the permitting, land development, planning, and zoning programs for the County. This included a complete identification and description of business process and detailed workflow steps for these business processes. The work also included an inventory of hardcopy and electronic documents and forms associated with the business processes and information technology support for the workflow. PlanGraphics explored information technology use in more detail to help the department in both short- and long-term information system planning and implementation, including recommendations on automated document management.

**Real Estate Information System
State of Ohio Department of Natural Resources**

The State ODNR is a major manager of real estate for public lands in Ohio. PlanGraphics was hired to carry out a full needs assessment, design, and plan for automating the capture, management, and access to real property records (deeds, land agreements of all types, appraisal records, maps, correspondence, purchase contracts, etc.). PlanGraphics completed a full inventory of records, identified business processes and workflows, and defined needs for a records management system. This was followed by the preparation of a technical design, management policies, and implementation plan. The work included a set of detailed specifications and cost estimates for the scanning and indexing of a large number of small- and large-format hard copy documents. This work included a review of access to records from county recorders' offices and integration with other systems.

**Project Management and Quality Control Services
New York City Department of Environmental Protection**

PlanGraphics has provided project management and quality control services for an engineering drawing scanning project over the last three years for the New York City Department of Environmental Protection. Assignments included a study of workflows related to engineering drawings, as well as integration with GIS and other DEP systems.

**Rochester Hills Citywide Document Management System
PlanGraphics Cost Breakdown by Task--from June 8 Draft Proposal**

Proposed Task	Price	Note
Task Series 1: Project Kickoff and Admin		
1.1 Organize and Conduct Kick-Off Meeting	\$4,853	
1.2 Organize and Conduct Seminar/Brainstorm Sesion	\$3,754	
1.3 Prepare Detailed Workplan and Project Management Manual	\$2,132	
1.4 On-Going Status Monitoring and Reporting	\$7,125	
Sub-Total:	\$17,864	
Task Series 2: Project Introduction and Inventory and Characterize Documents		
2.1 Prepare and Deploy Web-based Inventory Survey	\$9,332	
2.2 Monitor Survey and Complete Inventory	\$8,945	
2.3 Prepare Document Inventory Report	\$10,424	
2.4 Identify and Characterize Business Processes and Workflows	\$38,437	
Sub-Total:	\$67,138	
Task Series 3: Document Management System Requirements		
3.1 Define System Requirements	\$12,855	
3.2 Identify and Compare System Alternatives	\$8,326	
3.3 Review Alternatives and Reach Consensus	\$9,561	
Sub-Total:	\$30,742	
Task Series 4: Specifications, Implementation Planning, and Cost-Benefit Analysis		
4.1 Define Hardware and Network Specifications and Standards	\$5,560	
4.2 Define Custom Application Development	\$6,767	
4.3 Prepare Document Database Specifications	\$7,886	
4.4 Define System Integration Requirements	\$5,202	
4.5 Estimate Development and Operational Costs	\$6,050	
4.6 Carry Out Cost-Benefit Assessment	\$28,668	
4.7 Prepare Implementation Plan	\$10,564	
Sub-Total:	\$70,697	
Task Series 5: Records Management/Retention Policies and Procedures		
5.1 Research Legal Issues and Records Management Program Requirements	\$5,271	
5.2 Prepare Draft Records Management Recommendations and Records Retention Policies	\$5,162	

5.3 Review and Finalize Records Management/Records Retention Policies	\$8,861	
Sub-Total:	\$19,294	
Task Series 6: System Procurement Support		
6.1 RFP for System Procurement	\$8,405	
6.2 System Proposal Review and Selection Process	\$4,212	
6.3 Support/Assist Proposal Review and Selection	\$7,105	
6.4 Prepare RFP for Document Automation (OPTIONAL)	\$14,253	
6.5 Set-up Document Automation Proposal Process (OPTIONAL)	\$5,613	
6.6 Support/Assist Review and Vendor Selection (OPTIONAL)	\$16,233	
Sub-Total:	\$47,416	
TOTAL (non-Optional):	\$225,457	
TOTAL (Optional):	\$36,099	