CITY OF REDMOND, WA

Statement of Work for Records Management Support Services

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FreeDoc ®

INFORMATION AUTOMATION

A FRIX Technologies LLC Company

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PROJECT MANAGEMENT

FreeDoc Team	Role
Leslie Turner	Consultant
Mark Kifowit	Consultant
William Saffady	Consultant
Garrett Frix	Project Manager
Peter Frix	Project Oversight

FreeDoc consultants and project manager are to work with City of Redmond records team and project manager to complete the objectives listed within this statement of work (SOW). Each section contains a general description of the work tasks, approach, deliverables, acceptance criteria, and team expected to complete the section.

PROJECT SCHEDULE

SOW Sections	RFP Response	Hours Estimate
Section 1	Records Assessment	95.75
Section 2	Mid Level Inventory	85.10
Section 3	Creation of a Crosswalk	160.12
Section 4	Establish a Records Program Vision and Roadmap	132.10
Section 5	Development of Audit Program Framework	44.10

Invoice payment to occur in milestone deliverables, in accordance with the City Contract language. Depending on the milestone, invoicing may occur on a monthly time interval.

PROJECT RATES

RFP Section	RFP Response
Section 3	As listed, exceptions being GSA rates are to be referenced for reimbursement of hotel and meals (*see below*).

GSA: https://www.gsa.gov/travel/plan-book/per-diem-rates/per-diem-rates-lookup/?action=perdiems_report&state=WA&fiscal_year=2020&zip=98025&city=redmond

SECTION 1 – RECORDS ASSESSMENT

1. Conducting a Records Assessment (RA) is an evaluation of:
   a. Business functions and activities.
   b. Business processes.
   c. Existing information systems.
   d. Business process outcomes as "records".

   The RA reflects the City's operations with regard to how information is aligned and managed in support of the City's mission.

2. The RA is a multi-step, iterative process. It is to be developed after an in-depth review of the 2019 city-wide survey (104 pages, previously provided), along with additional interviews with key City departmental stakeholders.
   a. Review results of city-wide survey.
      i. Locate and quantify gaps and redundancies.
   b. Conduct interviews as needed.
   c. Compare current City Records Program and business practices to recognized best practices and recommendations according to the International Organization for Standardization (ISO) 15489 for Records Management.

Approach
1. A kick-off meeting to be scheduled to identify stakeholders, schedule interviews, receive ID cards, and discuss additional concerns. An interview schedule is to be coordinated between the city and FreeDoc with a meeting schedule for each department. Most department interviews should allow 30 minutes. If a department size or complexity warrants more time, then additional time, up to an hour, should be allowed.
2. FreeDoc is to provide a two-week advance notice for individual meetings. The City will assist in the scheduling of interviews and needs to be available with notice to ascertain specifics in order to capture an accurate assessment.
3. FreeDoc is to review survey, and based on supplemental interviews, information gathering, and additional data collected, draft the Records Management assessment for review with City stakeholders.

Deliverables
Records Management Assessment Report in PDF format. The report is to include:
- Purpose of the report.
- Introduction.
- Observations of administration and management of public records as it relates to business processes.
- Some specific examples of businesses processes and functional activities of how the City does business.

- Description of current storage circumstances and volumes (paper and electronic).
- Systems analysis, including costs.
- An overview summary of costs for storage and operational processes.
- A review of current levels of Records Management and Information Governance.
- User community interview responses summary.
- General recommendations.
- Order of implementation summary.

Acceptance Criteria

1. FreeDoc has completed the kickoff meeting to identify departmental stakeholders who are to be interviewed, and development of an interview schedule.
2. FreeDoc has conducted interviews with departmental stakeholders, including any follow-up interviews necessary to clarify or obtain additional information.
3. FreeDoc has submitted the Records Management Assessment Report for review and comment by the City.
4. FreeDoc has met with the reviewers, as necessary, to discuss and clarify the comments.
5. FreeDoc has addressed the City's comments and has revised the Records Management Assessment Reports as necessary.

Key Staff Involved

FreeDoc Consulting	City of Redmond
Leslie Turner	Records Team
Mark Kifowit	Department Stakeholders
William Saffady	

SECTION 2 – MID-LEVEL INVENTORY

1. Identify the type and volume of records held by the City as understood subsequent to the assessment.
2. A mid-level inventory includes types of records (record series), general location, inclusive dates, retention period, Disposition Authority Numbers (DAN) for both paper and electronic (data mapping, e.g. geographical or logical location).
3. Delineate and confirm appropriate records schedules for applying retention and disposition to the City's records. These schedules are to include the Washington State Local Government Records Retention Schedules (CORE), along with all other applicable sector schedules, such as law enforcement, licensing, permitting, and utilities.

Approach

1. Onsite time will be necessary from City stakeholders to provide FreeDoc access to network file shares and physical records storage locations. All FreeDoc staff have Criminal Justice Information Services (CJIS) certification to ensure safeguarding of confidential or secure information. In City staff presence, FreeDoc will observe and identify records by name, type, and storage on the City's shared drives and other locations where electronic and physical records and information are being stored in networks and file cabinets. This is to account for and inventory the different types and volumes of information being stored and their locations.
2. If the City approves secure remote access to networks, a good portion of the work may be done remotely with supplemental information provided by way of emails or phone calls.
3. FreeDoc will align the types of records created and held by the City to the appropriate approved retention schedules. The City will confirm the list as complete.
4. Development of the inventory itself will be done remotely based on onsite work. Any questions or concerns will be addressed by email or phone call if not present onsite.

Deliverables

1. The deliverable for Section 2 is a mid-level inventory. The file format for the deliverable is to be MS Excel. The report will contain the following information:
   - Listing of the type and volumes of records held by the City both in paper and electronic formats.
   - List of the applicable retention schedules and DAN's specific for the City.
   - Locations of records.

Acceptance Criteria

1. FreeDoc has conducted the mid-level inventory that identifies the types and volumes of records held by the City.
2. FreeDoc has submitted the inventory to the City in the specified format for review and comment.
3. FreeDoc has met with the reviewers, as necessary, to discuss and clarify the comments.
4. FreeDoc has addressed the City's comments and made any required additions or changes to the inventory.

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SECTION 3 – CROSSWALK

1. The crosswalk is a tool that will enable the City to locate and apply applicable retention requirements to the City's records. Its purpose is to identify the relationship between the records listed in the schedules identified in Section 2 and the City records, allowing the following additional characteristics to be applied to each record series.

Approach

1. The development of the crosswalk for the City to use to apply retention requirements specific to the City will be done remotely. Crossover information provided from Sections 1 and 2 will be supplemented by questions that can be addressed remotely by email or phone calls.
2. There should be minimal time and resources required by the City for Section 3.

Deliverables

1. The deliverable for Section 3 is the crosswalk. It will be delivered in spreadsheet format (MS Excel). If and when appropriate, the crosswalk can be imported into a database (MS SQL). The crosswalk will include the following key characteristics:
   - Title of appropriate records series from approved retention schedule.
   - Common City names used for labelling of records.
   - A list of appropriate DANs applicable to the City and broken down into departments and/or functions and activities as necessitated.
   - Cutoff triggers (broken down into columns for each condition or qualifier for disposition).
   - Essential records designations.
   - Disposition actions (i.e. Destroy, Permanent or Transfer/Archival – Permanent or Appraisal Required).

Acceptance Criteria

1. FreeDoc has prepared the crosswalk by applying the retention schedules identified in Section 2 to City records.
2. FreeDoc has submitted the crosswalk to the City in the specified format for review and comment.
3. FreeDoc has met with the reviewers, as necessary, to discuss and clarify the comments.
4. FreeDoc has addressed the City's comments and made any required additions or changes to the crosswalk.

FreeDoc

Key Staff Involved

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Mark Kifowit	Department Stakeholders
William Saffady	
FreeDoc® Systems Consulting	

SECTION 4 – RECORDS MANAGEMENT PROGRAM VISION AND ROADMAP

1. Establish a short and long-term vision, prioritized as a roadmap for the City Records Program.
2. Develop a file management plan to include methodologies and file naming taxonomies for use in naming and filing paper and electronic records. This is to be based upon functional requirements, ISO 15489, and known best practices.
3. Assist in the development of policies and procedures for the City's records management and Information Governance (IG) programs.
4. Create and develop a disaster recovery and emergency preparedness plan to include identification of the City's essential records.
5. Develop a training program able to establish accountability mechanisms for the City.

Approach

1. Development of an overall vision and roadmap/strategic plan can largely be accomplished remotely, with supplemental involvement by the City's records officer and coordinators as required for completion.
2. Development of initial file management plans may require additional time in order to create accurate and appropriate City specific naming conventions and structure for the records. Questions and concerns can be addressed via emails or phone calls, with an onsite presence if warranted.
3. Development of new or updated policies to be done remotely in consultation with Records Management stakeholders.
4. Development of a disaster recovery and emergency preparedness plan to be done remotely, with any necessary consultation with stakeholders. In this instance, there may be inclusion of other stakeholders outside of the records management staff, such as IT and risk managers.
5. Development of training to be done remotely, with consultation with Records Management stakeholders.

Deliverables
1. A Strategic Plan and Roadmap consisting of the goals and plans on implementing a robust Records Management program. This will be in the form of a handbook and specific to the City. The handbook will include the following:
   - A File Management Plan that will consist of a list and structuring of the city's records. This will be used by all City staff to organize and structure City's records for ease of use in searching and managing the City's informational assets.
   - Records Management Policies and Procedures for the City to implement and assist in gaining higher levels of understanding and the rules specific to the City for their records management initiatives.
   - A Training Plan that will consist of recommendations of training suitable for the different levels of staff, such as basic, most users, and high levels for certain stakeholders. It will also contain recommendations on timing/frequency and content.
2. A separate Records Disaster Preparedness and Recovery Plan in a PDF format. The separate Disaster Recovery and Emergency Preparedness Plan will consist of plans and procedures to protect the City's informational assets in the event of a disaster. This will include the creation of a phone/contact list for first responders and a list of essential records that the City uses for the purpose of planning and preservation. It will also include a plan for the continuity of business operations.

Acceptance Criteria

1. FreeDoc has submitted the Strategic Plan and Roadmap to the City for review and comment.
2. FreeDoc has addressed the City's comments and has revised the Strategic Plan and Roadmap as necessary.
3. FreeDoc has submitted the Records Disaster Preparedness and Recovery Plan to the City for review and comment.
4. FreeDoc has met with the reviewers, as necessary, to discuss and clarify the comments.
5. FreeDoc has addressed the City's comments and has revised the Records Disaster Preparedness and Recovery as necessary.

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SECTION 5 – DEVELOPMENT OF AUDIT FRAMEWORK

1. Audit framework is to be developed as a performance audit to measure the effectiveness and levels of compliance of the City's policies and procedures, records management best practices, and public records legal requirements.

Approach
1. Creation and development of an audit framework to measure compliance and levels of maturity for the records management program. It will also include procedures on performing an audit. This work will be done remotely, with supplemental input from the City's Records Management stakeholders.

Deliverables
1. The deliverable for Section 5 is a written framework for a records management performance audit in a PDF format. The deliverable will include the following content:
   - A description of accepted best practices and standards for measurement.
   - Measures of compliance and maturity levels for records management.
   - An outline of the steps to do an audit.
   - Recommendations on enforcement and corrective measures.

Acceptance Criteria:
1. FreeDoc has submitted the audit framework to the City for review and comment.
2. FreeDoc has met with the reviewers, as necessary, to discuss and clarify the comments.
3. FreeDoc has addressed the City's comments and has revised the audit framework as necessary.

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