

RESOLUTION NO. _____

A RESOLUTION AUTHORIZING THE CITY ATTORNEY TO ENTER INTO A CONSULTING CONTRACT WITH IMERGE FOR RECORDS MANAGEMENT CONSULTING, TO ASSIST WITH THE CITY'S IMPLEMENTATION OF ITS INFORMATION AND RECORDS RETENTION POLICY AND RETENTION SCHEDULE, FOR AN AMOUNT NOT TO EXCEED FIFTY THOUSAND DOLLARS (\$50,000.00).

BE IT RESOLVED BY THE CITY COUNCIL OF THE CITY OF CHATTANOOGA, TENNESSEE, that it is hereby authorizing the City Attorney to enter into a consulting contract with IMERGE for records management consulting, to assist with the City's implementation of its information and records retention policy and retention schedule, for an amount not to exceed \$50,000.00.

ADOPTED: _____, 2015

/mem



Statement of Work

Prepared for

City of Chattanooga, Tennessee

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1. PROJECT UNDERSTANDING

Statement of Objectives

The City has requested the services of a consultant(s) to provide five written deliverables and to conduct training for the records liaisons; it is the intent of the City to restructure its existing records management processes and remediate physical records in compliance with the State of Tennessee retention schedule. While the focus is on physical records, the RFP deliverables will help the City better address the ever-increasing volume of paper and electronic records and effectively implement defensible retention and disposition processes for records in either format. These deliverables require plans and processes that will embed Records Management practices within the daily workflow and the training will provide guidance for implementing Records Management practices as an automatic and natural part of daily work.

Data Gathering

It is important for IMERGE to understand the current state of the City's Records and Information Management (RIM) program and gain a firm understanding of the current capabilities and human and technology resources available. Assessing the current environment ensures that the deliverables will be designed to work within the City cultural environment and that the development of recommendations and the correlating best practices will provide a smooth transition for the City employees.

IMERGE will schedule three to four days in succession to meet with the Team, records liaisons, and select organization groups to learn about your organizational structure and information workflow.

Staffing

The IMERGE consultants and roles are shown below. If other or a change in resources are required IMERGE will vet them with the City project manager prior to their assignment.

Jim Just, Partner, ERMm, CDIA⁺ will serve as Project Oversight Partner and Senior Consultant for the project providing project support and expertise based on his many years of diverse experience. Jim's broad experience includes all facets of enterprise content management systems including business process automation, document capture, archiving and lifecycle management as well as procurement support and implementation support for customer-specific technologies including ECM, structured and unstructured forms processing, eforms system, digital content remediation software and many others.

Jim has twenty years' experience in ECM and business process automation, the last seventeen in consulting practice. He focuses on helping organizations define requirements for, and the selection of, productivity enhancing technologies and their application for business process optimization.

Mary W. Haider, Principal, is a Certified Records Manager with the ICRM (icrm.org) and will serve as the Project Lead and Senior Records Management Consultant on the project. Mary has successfully initiated and implemented Records and Information Management programs both as a practitioner and a consultant. She understands the need to train all levels of staff throughout the organization to develop an enterprise-wide view and understanding of Records Management practices and principles.

Ms. Haider has a degree in Education and a Masters of Business Administration. Mary was the corporate records manager for Grainger, Incorporate – a Fortune 500 distributor of industrial supplies and Argonne National Laboratory. Mary completed online courses in **Information Security and Risk Management, Metadata** and **Virtual Instruction** in 2014.

Charmaine Brooks, Principal, is a Certified Records Manager with the ICRM (icrm.org). Ms. Brooks has over twenty-five years' experience in the full lifecycle management of records and information. This experience encompasses the full range of administrative and records management with practical experience that provides for the full range of administrative and records management expertise and a broad base of knowledge in digital content management and integrated records management software solutions while the Manager of Administrative Services and Records Management Subject Matter Expert at a major content management systems provider. She has extensive experience in developing file classifications and retention plans for a number of government and commercial applications. Charmaine has taught in the area of Electronic Records Management for many years, including as one of the first certified trainers for the AIIM Electronic Records Management master certificate program; she is a good communicator with both technical and non-technical staff. She has a broad base of experience and knowledge in physical records management, digital content management and integrated records management software solutions.

2. PROJECT DELIVERABLES

Deliverable	Description
1. Physical Records Inventory Plan	<p>Objective: A Physical Inventory Guide will be prepared to guide City Records Liaisons through the physical records inventory process.</p> <p>Goal: Develop an approach for the City staff to review existing physical records and identify records to reorganize and/or re-box for continued storage and which records to prepare for disposition.</p> <p>City Staff Inventory Tasks will include:</p> <ul style="list-style-type: none"> • Data gathering to identify typical City records and to confirm the locations and estimated volumes of records containers to be inventoried. • Develop an Inventory Plan that includes a clear step-by-step process to: <ul style="list-style-type: none"> ○ identify the contents (documents) ○ assign the appropriate Record Category code ○ assign the date range of the documents ○ identify the current/assigned location ○ collect and enter the required information into an excel spreadsheet or Access data base ○ use the RRS to determine if the records have exceeded the required retention period ○ stage records to be purged which have exceeded their retention with documentation sufficient for records destruction approval ○ box/re-box as necessary ○ create and apply labels to uniquely identify each box/container ○ arrange the boxes/containers for ongoing retrieval and disposition on shelves; separating those that are ready for destruction • Develop a decision process model to guide <ul style="list-style-type: none"> ○ the selection of accurate Record Categories ○ the choice to re-box records

Deliverable	Description
	<ul style="list-style-type: none"> ○ the staging of records for disposition or storage ○ IMERGE (<u>optionally</u>) will create a database to compare physical inventory against the City's RRS (City staff to enter physical inventory data into Excel worksheets, provided by IMERGE); reports will be derived indicating potential records destruction candidates. The reports will be specific to the City and the database will be provided to the City for on-going maintenance and report generation.
<p>2. Written Process for Ongoing Disposition of Records</p>	<p>Objective: An approved/published Ongoing Disposition of Records Guide will be prepared for City employees and City vendors to use in the routine, ongoing process of Records Disposition based on the current, approved Records Retention Schedule.</p> <p>Goal: IMERGE will develop a simple process that can be implemented on a routine/periodic basis by any City employee or City vendor to select existing records for disposition.</p> <p>Tasks will include:</p> <ul style="list-style-type: none"> ● Data gathering and analysis of current or perceived records disposition practices and employee knowledge of 'defensible disposition processes. ● Develop a process that will work within the current workflows of the 18 City Departments and explain how the employees will: <ul style="list-style-type: none"> ○ Verify the Record Category for the selected records ○ Identify the current record retention requirement ○ Select the records that have exceeded the retention requirement ○ List the records selected for disposition on the approved disposition form ○ Obtain required destruction authorization signatures ○ Certify the disposition process, date and signature of employee/vendor performing the disposition
<p>3. Written Recommendations/Best Practices for:</p> <ul style="list-style-type: none"> ● automating the retention schedule (applying retention rules to electronic records) ● related to record management automation, electronic record management, storage of information on individual computers, ECM/EDMS 	<p>Objective: IMERGE will develop recommendations and best practices for automating the RRS and applying it to electronic records as it relates to physical and electronic records management, automation, individual computers and the use of an ECM/EDMS.</p> <p>Goal: Assess the current state of electronic records storage and management and recommend strategies for moving the City from its current state of technology to a more robust and enterprise approach to document, records and lifecycle management.</p> <p>Tasks will include:</p> <ul style="list-style-type: none"> ● Analysis of the City's current state of electronic content and records management ● Develop recommendations and options for automating the RRS ● Develop recommendations and options for automating general digital content and process management that complements existing technologies or replaces them.

Deliverable	Description
	<ul style="list-style-type: none"> ○ Recommendations will consider personal PCs, network file shares, ECM/EDMS ○ Recommendations will consider lifecycle management ● Any technology recommendations will include a discussion of the purpose and benefits to be realized from their use.
<p>4. Written recommendations for implementing a self-audit and/or compliance process; and written recommendations for measuring and evaluating the effectiveness of the program.</p>	<p>Objective: IMERGE will develop recommendations based on best practices for implementing a self-audit and/or compliance process including measurement and evaluation tools to validate the program’s effectiveness.</p> <p>Goal: IMERGE will assess the current environment and recommend a process that will work within the City environment. IMERGE will recommend a self-audit/compliance process that evaluates the City’s records program and provides evidence, through compliance audits, of an ongoing, sustainable program.</p> <p>Tasks will include:</p> <ul style="list-style-type: none"> ● Data gathering regarding existing self-audit processes and activities ● Analysis and discussion of self-audit/compliance processes that fit the City work environment and culture ● Identify measurements and evaluations strategies appropriate to the City’s expectations and applicable within the City’s work environment and culture ● Written recommendation for a self-audit/compliance process based on best practices across the industry that supports the City’s work environment and culture ● NOTE: this deliverable is for recommendations not a self-audit plan; IMERGE can also provide a self-audit plan including self-audit and compliance strategy.
<p>5. Written Records Retention training procedures and materials to ensure existing and future City staff can carry out the developed record management processes efficiently and provide records retention training as needed.</p>	<p>Objective: IMERGE will develop training materials and a manual to be used by City employees for in-house record retention training.</p> <p>Goal: IMERGE will develop a method and procedure that City employees can use for on-going records retention training and to apply the records retention rules to existing City records.</p> <p>Tasks will include:</p> <ul style="list-style-type: none"> ● Data gathering and analysis on current understanding and use of Records Retention Schedules ● Develop an easy-to-follow procedure <ul style="list-style-type: none"> ○ for matching records/data to the appropriate Records Series in the Records Retention Schedule ○ Identifying the approved retention rules ○ Selecting records that have met or exceeded the retention requirement
<p>6. Conduct training for the departmental record liaisons to allow them to effectively implement the</p>	<p>Objective: IMERGE will conduct live, on-site trainings sessions for City Records Liaisons.</p> <p>Goal: To enable Records Liaisons to implement RIM program in their departments.</p>

Deliverable	Description
<p>program in their department. This deliverable is implied in the RFP under Scope of Work and Deliverables #4.</p>	<p>Tasks will include:</p> <ul style="list-style-type: none"> • IMERGE will developing training materials for training Departmental Records Liaisons including: <ul style="list-style-type: none"> ○ High level concepts of records management and retention rules ○ Vocabulary/definitions that differentiates documents, categories/series, values and rules ○ Diagrams and charts to describe the purposes and benefits of applying retention rules ○ Review of the City’s approved Records Retention Schedules ○ Examples of Record Categories/Series and the documents/data included based on City records collections ○ Explanation of the Life Cycle Management of records and information including Creation, Maintenance and Disposition • IMERGE will work with the City Project Manager to Plan and Schedule training: <ul style="list-style-type: none"> ○ Schedule training sessions, rooms and City-provided projection equipment ○ Schedule Records Liaisons ○ Prepare handout materials ○ Conduct training sessions ○ Distribute and collect attendee evaluations
<p>7. Optional on-site assistance for Physical Records Inventory</p>	<p>Objective: IMERGE will provide expert guidance for the Records Staff conducting the physical inventory (most likely the Liaisons). IMERGE on-site assistance will deliver quick resolution to unusual and non-standard records collections that do not fit the expectations; effectively, the on-site assistance will be invaluable hands-on training.</p> <p>Goal: Facilitate a successful inventory start up and completion</p> <p>Tasks will include:</p> <ul style="list-style-type: none"> • Consultant joining Records Liaisons on-site at the start of the physical records inventory process for days (TBD – schedule will be with small groups of liaisons – 3 or 4 -- with consultant moving between them for a day.) • Consultant will guide records liaisons in assessing records collections that do not appear to fit the city’s records categories • Consultant will modify training materials as necessary to reflect the reality of the physical records collections • Consultant will provide guidance based on a broad level of experiences and help minimize potential lag time at the beginning of the inventory process

3. COST ITEMIZATION

The following work plan and costs are inclusive of all expenses.

TASK	Fees	Optional Fees
Preparation, documentation review, data gathering and project management	\$15,050	
I. Physical Records Inventory Plan	8,200	
<i>IMERGE database updates and reporting</i>		\$10,400
II. Process for disposing of physical records	1,700	
III. Recommendations/best practices for automating retention schedule	1,725	
IV. Recommendations/best practices for implementing self-audit/compliance process	3,125	
V. Written Training Materials/Manuals	3,225	
VI. Conduct Training (includes preparation of training materials/handouts)	7,000	
<i>Assumes 18 liaisons to be trained, 2 groups of 4 and 2 groups of 5 for a total of 4 sessions of 3 hours each.</i>		
Total	\$40,025	\$10,400
VII. Onsite Inventory Assistance		\$4,200
<i>Assumes working with 3 liaisons at a time, for 6 sessions of 4 hours each. Additional time can be added.</i>		

A schedule Gantt chart, subject to discussion and finalization with the City, is shown on the following page. If possible, a start date that would accommodate the data gathering task before Christmas would allow the consultants to begin preparing deliverables in 2015.

Task	Trip	11/30/15	12/07/15	12/14/15	12/21/15	12/28/15	01/04/16	01/11/16	01/18/16	01/25/16	02/01/16	02/08/16	02/15/16	02/22/16	02/29/16	
Project Planning		█	█	█	█											
Kickoff, Assessment & Data Gathering	#1		█													
I. Physical Records Inventory Plan				█	█											
II. Process for disposing of physical records						█										
Train on physical inventory process							█									
III. Recommendations/best practice for automating retention schedule								█	█	█						
IV. Recommendations/best practice for implementing self-audit/compliance process										█	█	█				
V. Written Training Materials/Manuals											█	█				
VI. Conduct Training (includes preparation of training materials/handouts)	#2														█	
City conducts physical inventory (IMERGE oversight optional)	TBD							█	█	█	█	█	█	█	█	End date TBD
IMERGE updates inventory database and produces potential disposal reports								█	█	█	█	█	█	█	█	End date TBD

4. CITY PARTICIPATION

City Project Lead:

Project Manager: The project manager will be the Consultant's primary contact on this project. The project manager will

- Provide background material
- Review project reports and project schedule
- Manage approval of project deliverables
- Manage receipt and sign off of invoices
- Coordinate contacts for departmental data gathering by identifying participants, locations, and participant contact information
- Provide and organize meeting rooms and dates for interviews, project review meetings, awareness sessions, and presentations.

City Project Advisory Team:

Project Advisory Team consisting of representation from Legal, IT, Information Management and the Business or Program areas will:

- Review and provide feedback on project deliverables
- Review project progress
- Resolve project issues
- Recommend acceptance of deliverables to City management.

Departmental Participants/Records Liaisons:

The project will require a designated Records Liaison from each of the 18 City Departments listed in the RFP Attachment A who are familiar with the type, volume and formats of files and records processes.

Responsibility of Parties

IMERGE Responsibilities

IMERGE agrees to accept the following responsibilities in this Statement of Work

- IMERGE consultants will, at all times, maintain a friendly, professional demeanor toward City team members and staff.
- IMERGE consultants will be timely in their delivery of draft and final deliverables in order to maintain the integrity of the project plan.
- IMERGE consultants will be on-time for meetings and presentation as scheduled.
- IMERGE will strive to reach all project goals and timelines establishes as part of this SOW and associated project plans.

City Responsibilities

City of Chattanooga agrees to accept the following responsibilities in this Statement of Work

- City agrees City personnel will provide timely responses to requests for information, documentation, draft reviews, etc. In general, timely response will mean within five business-days of receipt of a draft document (longer, more complex documents may require up to 10 business days).
- Final acceptance of deliverables will be completed within ten business-days of delivery.
- City personnel will be expected to be on time for meetings and presentations as scheduled. It is important that they are engaged and informed throughout the analysis process.
- City will provide appropriate resources for this effort.

Persistence of Effort

- The consultant requests that City understand that scheduled events and the utilization of manpower resources are critical cost factors for both organizations. The consultant pledges to follow planned schedules for meetings and the provision of information according to the schedule.
- Once the project schedule has been mutually agreed upon, the consultants will have committed to resources, time frames, and a budget for the project.
- If City staff cannot attend planned and scheduled meetings, and/or cannot provide the full amount of information requested in advance, and/or are not timely in complying with reasonable requests for information, the result may be time lost to the consultants, ineffective allocation of resources, or a requirement to provide additional resources. In these cases, a Change Order is appropriate and reasonable for approving additional funds.
- The analysis and deliverables will be limited to the documentation and information provided to the consultant. It is the responsibility of City’s project team to provide this information.

Project Risks

The following table highlights potential risks that may impact a successful and timely project completion and how these risks will be mitigated.

Potential Risks	Risk Impact	Risk Mitigation
Unable to gather all existing documents on time for review	Delays in delivery	Create a list of documents that are required under this project well in advance for this project start-up date
City sites are unprepared for visits	Delays in delivery	Set-up a project schedules in consultation with City project team and department concerned to clear the time for IMERGE visitation
Organizational change at the City and RIM team members	Readjustment of time period with the new team members and potential delay in delivery	Ensure the required transition in place well before the change in staff
Project creep from adding additional scope items	Delay in delivery and additional cost may be imposed on the project	Exercise controls on adding additional project items
Lack of staff participation or	Potential impact on service	Engage management early in the steering committee and project team to assess

Potential Risks	Risk Impact	Risk Mitigation
commitment due to variety of reasons	delivery of the deliverables	each situation separately; it will be the City project manager's responsibility to ensure the appropriate participation occurs.

5. STATEMENT OF WORK APPROVAL

Disclaimer

IMERGE Consulting, Inc. provides consulting services for the benefit of our clients. Our services are advisory in nature. Any purchase decisions or alteration of IMERGE-authored content are the sole responsibility of City of Chattanooga. Under no circumstances may IMERGE or its employees be held liable for costs in excess of the fees, exclusive of expenses, paid to IMERGE by City of Chattanooga during this engagement.

Statement of Work Approval

Approved for City of Chattanooga

Name: _____

Signature _____

Title: _____

Date: _____

Approved for IMERGE Consulting, Inc.:

Name: James C. Just

Signature _____

Title: Partner

Date: _____