

**SOUND TRANSIT
STAFF REPORT**

MOTION NO. M2009-99

Contract for Document Management Services

Meeting:	Date:	Type of Action:	Staff Contact:	Phone:
Finance Committee	11/19/09	Discussion/Possible Action	Brian McCartan, CFO	(206) 398-5100 (206) 398-5146

Contract/Agreement Type:	<input checked="" type="checkbox"/>	Requested Action:	<input checked="" type="checkbox"/>
Competitive Procurement	<input checked="" type="checkbox"/>	Execute New Contract/Agreement	<input checked="" type="checkbox"/>
Sole Source	<input type="checkbox"/>	Amend Existing Contract/Agreement	<input type="checkbox"/>
Agreement with Other Jurisdiction(s)	<input type="checkbox"/>	Budget Amendment	<input type="checkbox"/>
Real Estate	<input type="checkbox"/>	Property Acquisition	<input type="checkbox"/>

PROJECT NAME

Document Management Services

PROPOSED ACTION

Authorizes the chief executive officer to execute a two-year contract with a one-year option with Point B to provide document management services for a total authorized contract amount not to exceed \$462,160.

KEY FEATURES of PROPOSED ACTION

- The contractor would provide assessment of the existing agency document management systems and processes and make recommendations for a comprehensive enterprise-wide document management system. This would include a detailed three-year work plan, policies and system recommendations.
- The contractor would also produce a three-year work plan and policies for the regional smart card (ORCA) program.
- The contract is for a period of two years with one one-year option to extend. The requested amount covers the two-year contract and the option year.
- Initial contract work has begun under a limited notice to proceed, awaiting Finance Committee approval to execute the contract.

BUDGET IMPACT SUMMARY

There is no action outside of the Board-adopted budget; there are no contingency funds required, no subarea impacts, or funding required from other parties other than what is already assumed in the financial plan.

BUDGET and FINANCIAL PLAN DISCUSSION

The \$462,160 contract is be covered by budget in the CFO's Office and the Finance and Information Technology Department.

BUDGET TABLE

Summary for Board Action (X \$1,000)

Action Item: Execute a contract with Point B to provide document management services.

	Adopted 2009 Budget	Spent to date in 2009	Contract Expenditures 2009	Remaining 2009 Budget
Current Year Budget				
FIT - Service account group	4,056	3,495	100	460
Total Account Category	4,056	3,495	100	460

Budget Shortfall

Level	Shortfall	Resources	Funding Source
N/A	-	-	N/A

Contract Spending Plan	Prior Year(s) Spending	2009 Spending	Future Expenditures	Total
Point B Services	-	100	362	462

Contract Budget	Current Approved Contract Value	Spent to Date	Proposed Action	Proposed Total Contract Value
Point B Services	-	-	462	462
Contingency	-	-	-	-
Total	-	-	462	462
Percent Contingency	-	-	0%	0%

Notes:

Budget for this item is included in the Sound Transit Staff Operating Budget Summary page 199 of the 2009 Board Adopted Budget. The 2010 portion of the contract amount will be requested in the proposed 2010 Budget.

SMALL BUSINESS PARTICIPATION

Prime Consultant/Consultant

Point B is the prime consultant for this contract. There are no subcontracting opportunities due to the nature of the work.

Equal Employment Workforce Profile (% Women/People of Color)

Point B workforce demographics are 40% women and 12% minorities.

PROJECT DESCRIPTION and BACKGROUND for PROPOSED ACTION

The regulations and technology required for management of the agency's document management system has grown substantially more complex in recent years. The rapid expansion of e-mails, electronic documents, electronic voice messages, public disclosure requests and transactional data have all substantially increased the scope of the agency's records and document management systems.

The agency needs to update and review its enterprise document management systems, policies and procedures to ensure that the agency remains fully in compliance with state document management requirements and to most efficiently utilize the agency's technology resources.

An RFP for document management services was issued in July 2009. The agency received 10 proposals. Four finalist firms were interviewed and Point B was selected as the most qualified proposer and was also the lowest price proposer of the four finalists.

Point B would provide services in two main areas:

Enterprise Document Management

The contractor would assist Sound Transit in the development of a comprehensive enterprise-wide document management strategic plan, document management policies and detailed three-year work plan.

In the initial stage, the contractor would survey existing systems, practices, and policies. They would interview 10-20 key individuals and develop a comparison of existing practices to best practices from comparable agencies and against state, local and FTA legal requirements. The contractor would produce a summary paper comparing "as is" Sound Transit process, practices and systems to best practices and legal requirements. This paper would be presented to Sound Transit staff for discussion and refinement. The assessment would include evaluation of existing IT systems to meet business needs.

The consultant would then develop a three-year strategic plan for document management identifying three-year strategic document management goals, objectives and overall document management architecture. Based on the strategic goals, the consultant would then develop a detailed work plan, implementation framework and business processes. The detailed three-year work plan would include:

- Agency Policies
- Agency Governance
- Staffing Plan
- Unit Roles and Responsibilities
- Retention schedule
- Record destruction policy
- Document storage requirements
- Security features
- Disaster recovery/business resumption
- Archiving
- Authentication
- Workflow and documentation of key "to be" business processes
- IT system architecture recommendation (not specific software solutions)
- Estimated costs to implement each major element of plan

The consultant would also make recommendations for a revised agency records management policy, develop an agency training plan, training presentation, training implementation manual and detailed training manual. The contract includes an option for the contractor to conduct training session for each department upon completion of other work items. In addition, the contract includes an option for assistance in development of a RFP (sections on scope, requirements etc.) for IT system implementation.

Smart Card (ORCA) Document Management

Sound Transit has recently been given the lead role for document management for the ORCA regional smart card program. The ORCA program is a partnership of seven transit agencies in the Central Puget Sound region that have collaborated on a regional fare collection program. The system has an extensive library of documentation for technical design and agreed-upon policies and procedures. The system also generates large volumes of data and reports on a daily basis that is subject to data retention and archival policies.

The consultant would develop a three-year document management work plan that would serve as a blueprint for the design and implementation of the ORCA document management program of electronic and paper documents.

The contractor would review the ORCA Interlocal Agreement and survey participating ORCA agencies' systems practices and policies as they relate to ORCA documents and records. The contractor would then develop recommendations and system requirements regarding record keeping and retention of ORCA records to meet legal and business requirements. The contractor would develop key business and system goals necessary for Sound Transit to meet its requirements to serve as Regional Program Administrator and Fiscal Agent. In addition, the contractor will develop a detailed work plan for implementation framework and business processes. The work plan would include:

- ORCA Document Management Policy
- Partner Roles and Responsibilities consistent with ILA
- Retention schedule
- Record destruction policy
- Document storage requirements
- Security features
- Disaster recovery
- Archiving
- Authentication
- Workflow and documentation of key "to be" business processes

Analysis of Contracting Out vs. Performing In-House

The contractor will be used on a temporary basis to develop the structure and key elements of a document management system. The system will be staffed on an ongoing basis by Sound Transit staff. Current staff has neither the available time nor the expertise to design and implement a document management system. The contractor has implemented over 42 document management systems and will bring a variety of specialty skills to the assignment which would not be practical for Sound Transit to provide through internal staffing.

Prior Board/Committee Actions

None.

CONSEQUENCES of DELAY

A delay of two weeks would not impact the agency's document management functions.

PUBLIC INVOLVEMENT

Not applicable.

ENVIRONMENTAL COMPLIANCE

SSK 10-27-09

LEGAL REVIEW

JW 11/12/09

SOUND TRANSIT

MOTION NO. M2009-99

A motion of the Finance Committee of the Central Puget Sound Regional Transit Authority authorizing the chief executive officer to execute a two-year contract with a one-year option with Point B to provide document management services for a total authorized contract amount not to exceed \$462,160.

Background:

The regulations and technology required for management of the agency's document management system has grown substantially more complex in recent years. The rapid expansion of e-mails, electronic documents, electronic voice messages, public disclosure requests and transactional data have all substantially increased the scope of the agency's records and document management systems.

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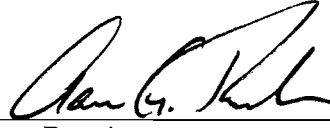
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Motion:

It is hereby moved by the Finance Committee of the Central Puget Sound Regional Transit Authority that the chief executive officer is authorized to execute a two-year contract with a one-year option with Point B to provide document management services for a total authorized contract amount not to exceed \$462,160.

APPROVED by the Finance Committee of the Central Puget Sound Regional Transit Authority at a regular meeting thereof held on November 19, 2009.



Aaron Reardon
Finance Committee Chair

ATTEST:



Marcia Walker
Board Administrator