



REQUEST FOR PROPOSAL

TRIM Reengineering Project

February 17, 2011

Proposal Due Date: March 9, 2011
and Time: 3:00 p.m. (Eastern Time)

RFP Number: 2011-01-380

Mailing Address: P.O. Box 4000
Ashburn, VA 20146

Delivery Address: Administrative Services Facility
44865 Loudoun Water Way
Ashburn, VA 20147

Procurement Contact: Bessie Nelson, Purchasing Technician
Phone: 571.291.7700
Fax: 571-223.2513
E-mail: bnelson@loudounwater.org

IF YOU NEED ANY REASONABLE ACCOMMODATION FOR ANY TYPE OF DISABILITY IN ORDER TO PARTICIPATE IN THIS PROCUREMENT, PLEASE CONTACT PURCHASING AS SOON AS POSSIBLE.

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1 PURPOSE

This Request for Proposal (RFP) is a solicitation for a vendor to provide consulting services for the reconfiguration of Loudoun Water's TRIM records management implementation.

Request for Proposal Timeline

February 17, 2011	RFP Issued
March 1, 2011	Questions due (in writing)
March 3, 2011	Answers to questions distributed to all vendors that received the RFP
March 9, 2011	Responses to RFP due
March 11, 2011	Notice of Request for Price Proposal
March 17, 2011	Price Proposals Due
March 18, 2011	Notice of Award

Following the receipt of the RFP, questions may be submitted in writing prior to the deadline listed above to the contact listed in section 6. Responses to all questions will be distributed to all parties that have received the RFP.

Proposals may be submitted at any time prior to the due date and in accordance with the requirements set forth in this document. All submitted copies of proposals shall become the property of Loudoun Water.

Loudoun Water will evaluate the written responses to this Request for Proposal to select the vendor whose approach represents the best overall value to Loudoun Water in terms of best fit by experience and approach to the project, and price.

2 COMPETITION INTENDED

It is Loudoun Water's intent that this RFP encourage competition. It shall be the Vendor's responsibility to advise the Purchasing Technician in writing if any language, requirement, specification, etc., or any combination thereof, inadvertently restricts or limits the requirements stated in this RFP to a single source. Such notification must be received by the Purchasing Technician not later than ten (10) days prior to the date set for acceptance of proposals.

3 BACKGROUND INFORMATION

- A. The Loudoun County Sanitation Authority (doing business and hereafter referred to as "**Loudoun Water**") is a public body politic and corporate and an instrumentality of the Commonwealth of Virginia, organized under the Virginia Water and Waste Authorities Act, being Chapter 28, Title 15.1, Code of Virginia of 1950, as amended (the "Act"). Loudoun Water was created by action of the Board of Supervisors of Loudoun County, Virginia and was chartered by the State Corporation Commission on May 27, 1959. As an Authority, Loudoun Water receives revenue from user fees, makes no profit, and our operations and finances are independent of the County's tax-supported services.
- B. Loudoun Water has approximately 60,000 connections serving more than 185,000 people. Its service area is predominantly in eastern Loudoun County, and is composed of more than 1700 miles of water and wastewater pipelines. Water supply is provided through agreements with the City of Fairfax and Fairfax Water. Water sources include the Potomac River and Goose Creek. Wastewater treatment is currently provided through an agreement with the District of Columbia Water and Sewer Authority supplemented by Loudoun Water's new Broad Run Water Reclamation Facility (BRWRF), which came online in 2008. The BRWRF discharges effluent into Broad Run, which feeds the Potomac River and, ultimately, the Chesapeake Bay. Loudoun Water also operates several small community water and wastewater treatment plants throughout Loudoun County.
- C. Loudoun Water's administrative offices are located in Ashburn. Loudoun Water has approximately 195 employees, of which approximately 100 are full time office/professional staff. The office staff performs a variety of document, email, and record creation and handling functions in support of Loudoun Water's business activities. Prior to the adoption of TRIM, these records and documents were stored in email, on file servers and local PCs, and in hard copy.
- D. Loudoun Water implemented Hewlett Packard's TRIM records management software solution in 2008. TRIM is an enterprise class records management solution, and is used as both a document and records management tool by Loudoun Water. It has been integrated with Microsoft Outlook and Microsoft Office in order to facilitate records capture and management for most basic administrative and record keeping functions throughout Loudoun Water. The goal of the implementation was to establish TRIM as Loudoun Water's single, easy-to-use, definitive repository for records and documents.
- E. The goal of a single, definitive, easy-to-use document and records repository has not been met. Some divisions and departments at Loudoun Water are using TRIM successfully, but most divisions and departments do not capture all required documents and records in TRIM, and are instead using a mixture of TRIM, network

drives, local drives, and email management tools to perform record keeping and document management functions.

- F. Loudoun Water has identified the need to reengineer TRIM so that it is easier to use and better accommodates our business needs. Loudoun Water has also identified the need to evaluate and define a roadmap for the future of TRIM in the context of another major Loudoun Water initiative (Microsoft SharePoint implementation).

4 SCOPE OF SERVICES

The scope of services shall include all tasks necessary to successfully evaluate and reconfigure Loudoun Water's TRIM implementation as described below. The Offeror should include any additional subtasks or services within these main tasks that will be necessary to ensure a successful project. The Offeror is also encouraged to suggest any improvements to the approach that will aid in accomplishing the goals of the TRIM Reengineering.

Please note that all deliverables will become the property of Loudoun Water. If the Offeror wish to publish any part of their work related to the project, this may only be done upon written approval from the authorized Loudoun Water personnel.

Specific scope of services requirements are described below.

4.1 Task 1 – SharePoint Evaluation

Loudoun Water is currently implementing Microsoft's SharePoint 2010 technology to facilitate internal and external document sharing, project collaboration, and reporting. SharePoint has the potential to unify many of Loudoun Water's existing business systems into a more cohesive presentation layer, and it also offers some document and records management capabilities that complement and partially mirror the capabilities of TRIM.

Loudoun Water requires specific recommendations and a roadmap for the future of TRIM and SharePoint where these two products overlap. The Consultant shall interview Loudoun Water stakeholders and apply industry best practices to assess Loudoun Water's needs with respect to TRIM and SharePoint. The following questions should be addressed:

1. Should TRIM be integrated with SharePoint, with SharePoint as the front-end presentation layer? Or should TRIM and SharePoint remain completely separate systems?
2. If integration is indicated:
 - a. Explain your solution for how this would be accomplished. (What is the specific roadmap, technology, changes needed, and integration points for both TRIM and SharePoint with respect to records and document management?)

- b. How would the Tasks below be affected by this integration?
- c. What is the approximate (planning-level) cost and schedule to implement the roadmap?
- d. What best practices and lessons learned should be considered?
- e. How would the user experience be affected?
- f. What other issues might arise as a result (e.g. integration of TRIM and SharePoint may create version and upgrade dependencies and other maintenance issues).
- g. Where (other agencies/implementations) has this been done successfully? (Provide 2 references)

This evaluation should include consideration of the questions listed above as well as TRIM's product roadmap, SharePoint's roadmap, Library of Virginia retention and compliance requirements, and industry best practices.

The final deliverable of this task shall be a brief report containing specific recommendations and a roadmap for the path forward, including estimated planning level schedules and costs.

4.2 Task 2 – TRIM Roadmap

Loudoun Water requires a planning-level roadmap for the TRIM Reengineering effort. This roadmap shall provide recommendations for configuration changes, including access controls, classifications, subfolder structures, as well as key supporting policy changes and training/education requirements. This roadmap should also define a high-level schedule and sequence for implementation of the roadmap changes, including TRIM upgrades and integration features.

At a minimum, this roadmap should include:

1. Design of folder and subfolder structures for implementation in Task 3.
2. Conceptual design of classifications in preparation for detailed design and implementation in Task 4.
3. Assessment of training needs and conceptual design of training courses. Loudoun Water will develop training materials and conduct training.
4. Evaluation of access controls for optimizing functionality and user capability. Include review of ability to create containers and folders, access to all documents for all users. Determine both short and long terms changes needed as part of roadmap.
5. Assess high-level needs of educational/outreach campaign. Make high-level recommendations for campaign as part of roadmap.
6. Evaluate best practices and related recommendations for specialty documents (e.g. linked documents)

7. Evaluate capabilities offered by future anticipated releases of TRIM. Determine optimal timeline for adoption of releases in roadmap.
8. Guide Loudoun Water through key policy decisions related to use of TRIM, applying best practices and past experience.

Details and background information for these roadmap tasks are found in Appendix A TRIM Re-Engineering RFP Tracking List.

It is expected that the Consultant will conduct a kickoff meeting with TRIM's Steering Committee as part of this task, as well as subsequent interviews with key Loudoun Water stakeholders to define specific requirements. Approximately 20 staff members will need to be interviewed for this process. The deliverables for this task will include a planning-level roadmap document for implementing the specific elements listed above.

4.3 Task 3 – Implement Containers and Subfolders

Loudoun Water's current TRIM implementation has a single layer folder and container hierarchy; there are no nested folders or containers. Our users have complained that this makes it very difficult to organize and to find records. To address this deficiency, the Consultant will implement sub-folders for existing "system project" and "non-system project" containers, as well as other administrative folders. Folder creation and moving of files to new folders should be automated (e.g. via scripts) and based on assigned retention wherever possible. The deliverable for this task will be fully implemented containers and subfolders in TRIM.

4.4 Task 4 – Implement Classifications

Loudoun Water's current implementation does not currently use TRIM's Classifications functionality. Our users must select from a lengthy list of hard-to-remember retention schedules when loading records. This process is cumbersome and leads to non-compliance. The Consultant will work with Loudoun Water to create the detailed design and implement TRIM Classifications in a manner that best fits our current business operations and existing retention schedules. The Consultant shall assist Loudoun Water in the development of an appropriate classifications design, including hosting user sessions, documenting feedback, and applying TRIM and industry best practices. The Consultant will also assist Loudoun Water in implementing the classifications in TRIM. The Consultant will assign the classifications to existing documents (e.g. via script), based on assigned retention and other metadata, wherever possible. This will result in an improved user experience by hiding retention schedules behind an easy-to-use and easy-to-remember Classifications layer that is tailored to our organization's specific needs. The deliverable for this task will be a fully implemented Classifications scheme in TRIM.

5 Contract Terms

Key Terms

This contract shall be awarded on a Not to Exceed cost basis based on the successful Offeror's price proposal. Final contract will be negotiated with the Offeror upon completion of the RFP process.

Procedures

The extent and character of the services to be performed by the Offeror (Consultant) shall be subject to the general control and approval of Loudoun Water's General Manager or his authorized representative. Any change to the approved Agreement must be approved in writing by Loudoun Water and the Consultant. The successful Offeror is prohibited from assigning, transferring, conveying, subletting, or otherwise disposing of this Agreement or its rights, title or interest therein or its power to execute such agreement to any other person, company or corporation without the prior consent and approval in writing by Loudoun Water.

Insurance

The successful Offeror shall provide and maintain the following minimum limits of insurance coverage during the period of performance required under an Agreement resulting from this RFP.

- A. Comprehensive General Liability
 - 1. \$1,000,000 Bodily Injury and Property Damage per occurrence and aggregate
 - 2. Comprehensive General Form
 - 3. Extended Business Liability Endorsement
 - 4. Independent Contractors Coverage
 - 5. Products/Completed Operations (to be provided for minimum of 36 months after completion of work)
 - 6. Broad Form Contractual Liability
 - 7. Personal Injury Liability
- B. Comprehensive Automobile Liability
 - 1. \$1,000,000 Combined Single Limits
 - 2. Statutory Uninsured Motorist Coverage
 - 3. Hired and Non-Owned Coverage
 - 4. Motor Carrier Act Endorsement
- C. Worker's Compensation and Employer's Liability
 - 1. Statutory Coverage for Virginia
 - 2. \$1,000,000 Employer's Liability
 - 3. Broad Form All States Endorsement
 - 4. Compliance with all Federal Statutes, including U.S. Longshoreman and Harbor Worker's Act, the Jones Act, and Federal Employees Act
- D. Umbrella Liability

1. Additional \$1,000,000 liability coverage over the primary limits for Comprehensive General Liability, Comprehensive Automobile Liability, and the Employer's Liability

Prior to commencing work under a resultant contract, the successful Offeror shall furnish Loudoun Water with a Certificate of Insurance naming Loudoun Water as an additional insured. A 60 day notice of cancellation, non-renewal, or change in the insurance coverage must be provided.

Hold Harmless Clause

The Offeror shall, during the term of the Agreement including any warranty period, indemnify, defend, and hold harmless Loudoun Water, its officials, employees, agents, and representatives thereof from all suits, actions, or claims of any kind, including attorney's fees, brought on account of any personal injuries, damages, or violations of rights, sustained by any person or property in consequence of any neglect in safeguarding contract work or on account of any act or omission by the Offeror or his employees, or from any claims or amounts arising from violation of any law, bylaw, ordinance, regulation or decree. The Offeror agrees that this clause shall include claims involving infringement of patent or copyright.

Not To Benefit

As a prerequisite for payment pursuant to the terms of this contract, there shall be furnished to Loudoun Water a statement, that no employee of Loudoun Water, or members of his immediate family, including spouse, parents or children has received or has been promised, directly or indirectly, any financial benefit, by way of fee, commission, finder's fee or in any other manner, remuneration arising from or directly or indirectly related to a contract resulting from this RFP.

Employment Discrimination by Offeror Prohibited

Every contract over \$10,000 shall include the following provisions:

- A. During the performance of this contract, the Offeror agrees as follows:
 1. The Offeror will not discriminate against any employee or applicant for employment because of race, religion, color, sex, national origin, age or disability, or any other basis prohibited by state law relating to discrimination in employment, except where there is a bona fide occupational qualification reasonably necessary to the normal operation of the Offeror. The Offeror agrees to post in conspicuous places, available to employees and applicants for employment, notices setting forth the provisions of this nondiscrimination clause.
 2. The Offeror, in all solicitations or advertisements for employees placed by or on behalf of the Offeror, shall state that such Offeror is an equal opportunity employer.
 3. Notices, advertisements and solicitations placed in accordance with federal law, rule or regulation shall be deemed sufficient to meet this requirement.

- B. The Offeror will include the provisions of the foregoing paragraphs, 1, 2, and 3 in every subcontract or purchase order over \$10,000 so that the provisions will be binding upon each subcontractor or vendor.

Drug-free Workplace

Every contract of over \$10,000 shall include the following provisions:

During the performance of this contract, the Offeror agrees to (i) provide a drug-free workplace for the Offeror's employees; (ii) post in conspicuous places, available to employees and applicants for employment, a statement notifying employees that the unlawful manufacture, sale, distribution, dispensation, possession, or use of a controlled substance including marijuana is prohibited in the Offeror's workplace and specifying the actions that will be taken against employees for violations of such prohibition; (iii) state in all solicitations or advertisements for employees placed by or behalf of the Offeror that the Offeror maintains a drug-free workplace; and (iv) include the provisions of the foregoing clauses in every subcontract or purchase order over \$10,000 so that the provisions will be binding upon each subcontractor or Consultant.

For the purpose of this section, "drug-free workplace" means a site for the performance of work done in connection with a specific contract awarded to an Offeror in accordance with this chapter, the employees of whom are prohibited from engaging in the unlawful manufacture, sale, distribution, dispensation, possession, or use of a controlled substance including marijuana during the performance of the contract.

Exemption from Taxes

Loudoun Water is exempt from State and Federal Taxes. Tax Exemption Certificate indicating Loudoun Water's tax exempt status will be furnished by Loudoun Water on request.

Substitutions

No substitutions, including key personnel, or cancellations permitted after award without written approval by the Purchasing Technician and Loudoun Water's General Manager.

Assignment of Agreement

This contract may not be assigned in whole or in part without the written consent of Loudoun Water.

Termination

Subject to the provisions below, the contract may be terminated by Loudoun Water upon 60 days advance written notice to the other party; but if any work or service hereunder is in progress, but not completed as of the date of termination, then this contract may be extended upon written approval of Loudoun Water until said work or services are completed and accepted.

Termination for Convenience

In the event that this contract is terminated or canceled upon request and for the convenience of Loudoun Water, without the required 60 days advance written notice, then Loudoun Water shall negotiate reasonable termination costs, if applicable.

Termination for Cause

Termination by Loudoun Water for cause, default or negligence on the part of the Firm shall be excluded from the foregoing provision; termination costs, if any, shall not apply. The 60 days advance notice requirement is waived in the event of Termination for Cause.

6 Instructions for Preparing and Submitting Proposals

Questions and Inquiries

Questions about this RFP should be directed to Bessie Nelson, Loudoun Water Purchasing Technician, at 571-291-7948 or bnelson@loudounwater.org.

Contents of Proposals

The following information is to be submitted as part of the proposal. No other material may be attached. Tabs shall be used to separate sections of the proposal response. The proposal response is limited to no more than **14 single sided pages (or 7 double sided pages)**, not including a cover letter, tab separators, or any forms required by Loudoun Water. A cover letter, if included, shall be no more than one page, and will not count towards the page limit. The proposal is to be organized into the following Sections:

- A. Vendor Profile – Provide a description of the company and each subcontractor, including the following information:
 - 1. Company Name
 - 2. Location(s) from which services will be provided and location of headquarters
 - 3. Number of full-time employees
 - 4. Provide details of firm's history in relation to providing services similar to those described in this RFP
- B. Experience of the Firm – Provide descriptions and references for at least three TRIM consulting projects in which similar services were provided. Also provide the start and completion dates, contract value, as well as the client contact name, title, address, email, and phone number for each project.

- C. Qualifications of Individuals – Include a project organizational chart and resumes of key team members to be assigned to this project.
- D. Sub-consultants – Identify when any outside services will be used. Provide the names and lists of services to be provided by each sub-consultant. Loudoun Water reserves the right to procure services of a sub-consultant directly.
- E. RFP Attachments – All attachments to the RFP requiring execution by the firm are to be returned with the proposal. Include in this section the References form for the three formal references required by Loudoun Water.
- F. Signatures – All proposal originals must be signed in ink by the individual or authorized principals of the firm.
- G. Approach to Project – Describe your approach to meeting the requirements of the scope of services. Include a discussion of your approach to managing the project and how communication will be handled between your team and Loudoun Water. You are encouraged to include any suggestions or alternative approaches that may facilitate the execution of the project.
- H. Assumptions and exceptions - List any critical assumptions made as part of your proposal. Also list any exceptions to the contract terms.

Packaging Of Proposals

Proposals are to be returned in a sealed container. Ensure that the proposal container is completely and properly identified. The face of the container shall indicate the RFP number, 2011-01-380 time and date of public acceptance, and the title of the RFP, "TRIM Reengineering Project".

Each Vendor shall submit one original and six hard copies, as well as an electronic copy in PDF format on a CD of their proposal to Loudoun Water's Purchasing Division as indicated on the cover sheet of this RFP. The original proposal shall be clearly marked.

Delivery Of Proposals

- A. Proposals may either be mailed to the Administrative Services Facility at P.O. Box 4000, Ashburn, VA 20146 or hand delivered or shipped to 44865 Loudoun Water Way, Ashburn, VA 20147. They may not be emailed.
- B. Proposals must be received by Purchasing before **March 9, 2011, 3:00 p.m. (Eastern Time)** deadline. Requests for extensions of this time and date will not be granted. Consultants mailing their proposals shall allow for normal mail time to ensure receipt of their proposals by Purchasing prior to the time and date fixed for acceptance of the proposals. Proposals or unsolicited amendments to proposals received by Loudoun Water after the acceptance date will not be considered.

Proposals will be publicly accepted and logged in at the time and date specified above.

Withdrawal of Proposals

Proposals may be withdrawn on written request from the Offeror at the address shown in the solicitation prior to the time of acceptance.

Late Proposals

Late proposals will be returned to the Offeror unopened, if RFP number, acceptance date and Offeror's return address is shown on the container.

Addendum and Supplement to Request

If it becomes necessary to revise any part of this request or if additional information is necessary to enable an exact interpretation of provisions of this request, an addendum will be issued to the same distribution list as the original RFP. It is the responsibility of the Offeror to ensure that he has received all addendums prior to submitting a proposal.

Proprietary Information

It is the responsibility of each Offeror to clearly mark any part of his proposal considered to be of proprietary or confidential nature. Offeror shall not mark sections of their proposal as proprietary or confidential if they are to be part of the award of the contract and are of a "Material" nature.

Authority to Bind Offeror in Contract

Proposals must give full legal name and address of the Offeror's Firm. Failure to manually sign proposal may disqualify it. Person signing the proposal should show title or authority to bind said firm in a contract.

Rights of Loudoun Water

Loudoun Water reserves the right to accept or reject all or any proposals, waive informalities and award the contract to best serve the interest of Loudoun Water.

Miscellaneous Requirements

- A. All proposals submitted shall be valid for a minimum period of 120 calendar days following the date established for acceptance.
- B. Loudoun Water will not be responsible for any expenses incurred by an Offeror in preparing and submitting a proposal. All proposals shall provide a straight-forward, concise delineation of the Offeror's capabilities to satisfy the requirements of this request. Emphasis should be on completeness and clarity of content.
- C. The contents of the proposal submitted by the successful Offeror and this RFP will become part of any contract awarded as a result of the Scope of Services contained herein. The successful Offeror will be expected to execute an Agreement with Loudoun Water.

- D. Loudoun Water reserves the right to reject any and all proposals by reason of this request, or to negotiate separately in any manner necessary to serve the best interests of Loudoun Water. Offeror whose proposals are not accepted will be notified in writing.

Protest

Offeror may refer to Sections 2.2-4357 through 2.2-4364 of the Code of Virginia to determine their remedies concerning this competitive process.

7 Evaluations of Proposals

Proposals will be evaluated by the TRIM Reengineering Selection Committee composed of Loudoun Water employees. The proposal process will proceed in two phases: 1.) Written Proposal Evaluation, and 2.) Price Evaluation and Negotiation.

Written Proposal Evaluation

Loudoun Water employees will independently evaluate each of the written proposals in accordance with the scoring criteria below.

- A. Approach to Project (50 points)
- B. Experience of the Firm and Sub-consultants (50 points)

After each member of the TRIM Reengineering Selection Committee has completed an evaluation rating form for each proposal solution, composite ratings will be developed which indicate the committee's collective ranking of the highest rated Written Proposals.

Price Evaluation and Negotiation

Upon completion of the ranking of written proposals, Loudoun Water will negotiate price with two or more of the highest rated firms. Price negotiation will include all consulting fees and associated costs. Loudoun Water will provide specific instructions for price proposals at this stage.

Upon completion of the Price Evaluation and Negotiation, the Selection Committee will make a recommendation for the contract award.

References

(Must be completed by Offeror)

Offeror shall provide references on this form.

1. Organization Name _____

Contact _____

Title _____

Mailing Address _____

Email Address _____

Phone _____

2. Organization Name _____

Contact _____

Title _____

Mailing Address _____

Email Address _____

Phone _____

3. Organization Name _____

Contact _____

Title _____

Mailing Address _____

Email Address _____

Phone _____

**TRIM Renengineering Project
(RFP No. 2011-01-380)****SECTION I – OFFEROR IDENTIFICATION AND OWNERSHIP DISCLOSURE**

Company _____
Address _____
Contact Person _____ Title _____
Telephone No. _____ Fax No. _____ Email _____
Organized under the laws of State of _____
Principal place of business at _____
Following list includes persons having ownership of 3% or more in the company (attach more sheets if necessary):

Name	Address
_____	_____
_____	_____
_____	_____

Loudoun Water requests, as a matter of policy, that any consultant or firm receiving a contract of award resulting from an RFP issued by Loudoun Water shall make certification as specified below. Receipt of such certification, shall be a prerequisite to the award of contract and payment thereof.

SECTION II - EMPLOYEES NOT TO BENEFIT

I (we) hereby certify that if the contract is awarded to our firm, partnership, or corporation, that no employee of Loudoun Water, or members of his/her immediate family, including spouse, parents or children has received or been promised, directly or indirectly, any financial benefit, by way of fee, commission, finder's fee, political contribution or any similar form of remuneration on account of the act of awarding and/or executing this contract.

SECTION III – CONFLICTS OF INTEREST

This solicitation is subject to the provisions of VA Code Ann. Section 2.2-3100 et. seq., the State and Local Government Conflict of Interests Act. The Offeror [] is [] is not aware of any information bearing on the existence of any potential organizational conflict of interest.

SECTION IV – COLLUSION

I certify that this offer is made without prior understanding, agreement, or connection with any corporation, firm, or person submitting an offer for the same services, materials, supplies, or equipment and is in all respects fair and without collusion or fraud. I understand collusive bidding is a violation of the State and Federal law and can result in fines, prison sentences, and civil damage awards.

I hereby certify that the responses to the above representations, certifications, and other statements are accurate and complete. I agree to abide by all conditions of this RFP and certify that I am authorized to sign for my firm.

Signature _____ Date _____

Name (Printed) _____ Title _____

8 Appendix A

TRIM Re-Engineering RFP Tracking List (Updated 2/14/2011)			
	Category	Issue/Description	Resolution/Path forward
1	Education	• Training is needed; will be dependent on the adopted roadmap for this TRIM Reengineering effort. Recommendation to fix policy and ease-of-use issues first. Staff that doesn't use it or use it often needs the most training. • Clarification on Vdrive and how to use linked documents outside of TRIM.	Training needs should be assessed as part of TRIM Reengineering Roadmap by Consultant. With aid of Consultant, design and implement TRIM (re)training courses as indicated by Roadmap.
2	Access Controls	Document that are forms (sign in sheets, etc.), cannot be edited in TRIM, have to Supercopy/Save As. This process is slow and cumbersome.	Evaluate access controls on the "forms/templates folder". Determine with Consultant both short term and long term (Roadmap) changes needed.
3	Education	Key questions for which education/training is required: • What goes in to TRIM and what stays out? • Are we responsible for storing documents from consultants? • More clarity on what we need to scan and retain is needed. When does it apply to a given document? (e.g. comment letters, etc.) • Retention schedules, there aren't clear categories for some documents, hard to tell which retention schedule to use.	With aid of a Consultant design a TRIM Reengineering Outreach/education campaign to accompany the Reengineering effort. Specific decisions on what goes in TRIM should be addressed and communicated as part of policy/best practices evaluation.
4	Access Controls	• Users cannot move documents and folders, and cannot drag documents into folders. • Would like the option to be able to move the document or/ email by the person who stored it if it is place incorrectly, or to be able to delete it.	Reassess access controls for moving documents for end users. Possible button that you could click that would alert admin staff of location change needed? Evaluate long-term roadmap-related impacts with Consultant.
5	Links	• Linked documents can't go in TRIM (Excel to Excel etc.) • Link between Intranet and TRIM documents does not exist, have to update in both places, major issue keeping them synchronized.	Follow up with HP again to see if there are any changes to this in new versions of TRIM. Evaluate best practices with Consultant to see what other options are available. Adopt and communicate any changes as part of Reengineering education effort.

TRIM Re-Engineering RFP Tracking List (Updated 2/14/2011)			
	Category	Issue/Description	Resolution/Path forward
6	Integration	• MS Office and Excel integration does not always work.(Can't save doc directly to TRIM) • Adobe integration would be great •Office 07 and TRIM package deployment issues	The adobe is not a feature currently offered with TRIM. Follow up with HP again and see if there are any changes to this in new versions of TRIM. Evaluate with Consultant to see what other options are available. The office 07 and TRIM package had cause some issues with .DOC and .XLS. We know there are some registry key problems. We use LAN desk to push out the packages but they are not always successful.
7	Access Controls	• Users will want to be able to create their own subfolders, if we go to a hierarchy of subfolders. Otherwise having subfolders, but having to use a DRC to create them, will be limiting and painful to the user. • Restrictions on viewing files – needs to be less restrictive, at least for some users. Documents should be viewable and retrievable by all by default, with appropriate editing restrictions assigned.	Reassess Access controls for creating containers for the end users and opening up files to staff. Evaluate options with Consultants, adopt both short and long term changes as indicated by Roadmap.
8	Policy	Address organization's policy requirements with respect to TRIM • What goes in (documents vs. records) and when (draft, final, etc.) • Enforcement (adhering to policies, implement changes to TRIM to make compliance easier) • There are different levels of TRIM adoption in the organization; need to get everyone using it the same. • Email policy, how-to clean up and best practice for multiple emails, and multi-response emails • Record handling (who does what?) • Dumping of files and emails is an issue – insufficient care taken to rename files and emails prior to inserting into TRIM. •Address active projects and when documents should go into TRIM for those projects • We keep all revisions in TRIM, we need to establish a process to delete previous revisions on documents. How often should this be done?	Work with Consultant to evaluate and optimize applicable policies. Also evaluate TRIM-related best practices. Develop a Roadmap to adopting these policy and best practice changes.

TRIM Re-Engineering RFP Tracking List (Updated 2/14/2011)			
	Category	Issue/Description	Resolution/Path forward
9	Structure	TRIM Structure and Configuration • Consider adopting "Master Container" concept – some are needed. . .related to “design of containers not meeting business needs” e.g.. DCWASA • Consider using departmental folders and containers. (There are pros and cons.) • Consistency in folder and document naming and structure is needed and protocols need to be clearly spelled out (there are a lot of multiple containers) • Design of container and folders may not meet business needs – we need a logical naming/tree structure to retrieve documents, not just search based. • Deeper, logical hierarchy is needed • Prefix all docs with folder/container, this helps organize, but also makes for very long document names. What is best practice, should this be changed? • Applying Retention is not consistent or well understood, especially for projects. Applying retention needs to be easier and more transparent to user. • Overall naming consistency for all areas of TRIM (folders, documents, etc.) needs to be improved. • Users desire functionality that is similar to L: drives. • More search features like in googles if you get close it guesses some choices for you. • Delete Button	• Work with Consultant to develop an optimal TRIM configuration with sub-folders and classifications hierarchy (with embedded retention) that best meets the business needs of the organization. Changes will leverage TRIM best practices as well as organization-specific requirements. Work with Consultant to implement these changes as part of overall TRIM Reengineering roadmap, including scripting of configuration changes. • The delete button can be designed by the consultants this would automatically notify admin staff and put a delete caveat on the document.
10	QA/QC and other issues	• QA/QC is not currently managed. • Destruction is not currently managed.	????
11	DCI	DCI Fails and the document content searches are not available to staff. While the DCI is down we have documents that are not being indexed and this makes our database inaccurate for its searching capabilities	????