CRE8®, INCORPORATED

INDEPENDENT CONSULTANTS
IMPROVING PROCESSES, PEOPLE AND SYSTEMS

CRE8 INDEPENDENT CONSULTANT
1700 WESTLAKE AVE N, SUITE 200, SEATTLE, WA 98109

RESPONSE TO
WASHINGTON STATE DEPARTMENT OF REVENUE
WORK REQUEST FOR PROPOSAL
SOLICITATION NUMBER: K2033
ENTERPRISE CONTENT MANAGEMENT (ECM) ASSESSMENT

SUBMITTED/DELIVER TO
HEIDI WHISMAN
DORBIDRESPONSES@DOR.WA.GOV
SPECIFY WORK REQUEST NUMBER K2033 IN THE SUBJECT LINE
(360) 596-3782

FEBRUARY 24TH, 2022

RESPONSE INDEX

A. **Executive Summary.** Provide an Executive Summary which includes the following information stated in a concise manner and formatted to facilitate review of the material:

- Introductory remarks,

- Brief summary of Vendor's and Consultant's experience and history providing ECM assessment services similar to this Scope of Work,

- Date Vendor and Consultant(s) are available to start work, and

- Name, title and signature of person with authority to enter into a Contract on behalf of the Vendor.

Limit the Executive Summary to one page.

➢ **CRE8 Response. See the following page.**

February 24th, 2022

Heidi Whisman
Washington Department of Revenue - Solicitation Coordinator
360) 596-3782 dorbidresponses@dor.wa.gov

Dear Ms. Whisman, it is our understanding that The Washington State Department of Revenue (DOR) is seeking a vendor with extensive experience assessing ECM readiness in an enterprise setting who can provide a neutral perspective on the DOR's current ECM position. As independent consultants, we are pleased to submit our response to DOR RFP K2033 for an Enterprise Content Management (ECM) Assessment as we specialize in the work and are the type of vendor, being requested by DOR. We are also pleased to state that we are available to start and complete this work within the timeline specified by DOR (April to June 30th, 2022).

Since 1995, we at CRE8 have been providing independent consulting services, including:
- electronic content management (ECM) enterprise readiness assessment, enterprise planning, development of requirements and RFPs, vendor assessment, and project management,
- information governance/records program management assessment, readiness ranking, maturity assessment, and update of policies, procedures, schedules, and taxonomy,
- process/workflow baselining, redesign and improvement (LEAN, BPM, Six Sigma, Re-engineering, CPI) of operations, workflows, and processes, and
- complex system replacement planning, option evaluation, application/process design, RFP development, project management, and vendor assessment.

We have assisted hundreds of clients, ranging in size from 25 to 250,000 employees, and within all sectors, including government. We are based in Seattle, and our clients include many State of Washington Cities, Counties, and State Agencies. Our consultants are senior subject matter experts, each with over 25 years of experience, and are certified in ECM planning, Information Governance/Records Management, and process/workflow improvement. We have extensive experience evaluating and planning for ECM systems and platforms, including Kofax, DocuSign, OpenText, Hyland OnBase, Lasefiche, IBM/Filenet, M365, M365 3rd Party solutions, and within data systems.

It is important to note that, as requested by DOR we and all of our consultants are vendor-neutral. We do not represent or resell ECM technologies but instead work directly for our clients (end-user organizations). This allows CRE8 to provide an independent voice regarding ECM readiness, requirements, workflow/process improvement, vendor assessment, project management, testing, QA, and change management. We look forward to the opportunity of being of assistance for this important project.

Very Best

George Dunn | President
CRE8 Independent Consultants
Corporate Office: 1700 Westlake Ave N, Suite 200 |Seattle, WA 98109
425-941-5071 Cell **|** 206-556-5958 Office
dunn@cre8inc.com **|** www.cre8inc.com

Improving People, Processes & Systems Since 1995 – Consulting & Training
Process Improvement: LEAN | Six Sigma | Re-engineering | BPM | Quality | Frictionless | Workflow
Governance: Information Governance | Records Management Programs
Technology Planning: ECM | Digital Workflow | RPA | ERM| AI | ML | Computer Replacement
Change Management: People | Processes | Systems | Data

B. Vendor Information Response Form - Schedule A

Complete and sign Schedule A, Vendor Information Response Form.

In Section 4 of Schedule A, Vendors should include prior projects that most closely align with this project and the scope of work described in this Work Request, and that will best illustrate the Vendor's qualifications for this work.

➢ **CRE8 Response. See the following pages.**

Schedule A
Vendor Information Response Form

1. VENDOR INFORMATION

Official name of the vendor company	CRE8 Incorporated (Independent Consultants). CRE8 will be the prime contractor vendor for the project. For over 25 years, CRE8 has been a vendor-neutral consulting company providing ECM information governance assessments & strategy, records & information management, readiness assessment, technology & vendor selection, project management, and quality assurance assistance. For this project, George Dunn, President of CRE8 will be the project manager, and ECM technology and workflow/process subject matter expert (SME). Charmaine Brooks, Certified Records Manager (CRM) will be the governance, records, and compliance SME.
Official mailing address	Office: 1700 Westlake Ave N, Suite 200, Seattle, WA 98109 Mailing: 12819 SE 38th Street PMB 29, Bellevue WA 98006
Federal Tax Identification Number (TIN)	CRE8 Federal Employee Tax Number (EIN Number) is 91-1674753
Washington State Uniform Business Identification Number (UBI), if any	CRE8 UBI is 601-606008.
Name and job title of the official contact person	George Dunn, President
Telephone and cell numbers of the contact person	Office: 206-556-5958 Cell: 425-941-5071
Email address of the contact person	dunn@cre8inc.com
Vendor Website Address	www.cre8inc.com

1A. SUPPORTING DIVERSE VENDOR POOL – CERTIFICATIONS PER SECTION 9D OF THE WORK REQUEST, COMPLETE THIS SECTION FOR THE VENDOR.	
Is your firm certified with the Washington State Office of Minority & Women's Business Enterprises? https://omwbe.wa.gov/	Yes ☐ No X If yes, provide MWBE Certification No: _____
Is your firm a self-certified Washington State small, mini, or micro-business as defined by RCW 39.26.010?	Yes X No ☐ If yes, what is your business size? Small ☐ Mini ☐ Micro X
Is your firm certified as Veteran Owned with Washington State Department of Veteran Affairs? https://dva.wa.gov	Yes ☐ No X If yes, provide WSDVA Certification No.: _____

2. SUBCONTRACTOR. IF VENDOR IS PLANNING TO USE SUBCONTRACTOR(S) FOR ANY PART OF THIS SCOPE OF WORK, COMPLETE THIS SECTION. DOR RESERVES THE RIGHT TO REQUEST ADDITIONAL INFORMATION FOR ANY PROPOSED SUBCONTRACTORS. BY INCLUDING SUBCONTRACTOR(S) AS PART OF YOUR PROPOSAL, VENDOR AGREES TO ASSUME RESPONSIBILITY FOR ALL CONTRACT OBLIGATIONS AND ANY LIABILITY FOR ALL ACTIONS OF SUBCONTRACTORS.

ADD ROWS IF MULTIPLE SUBCONTRACTORS ARE ANTICIPATED.	
IF VENDOR WILL NOT BE USING ANY SUBCONTRACTORS, CHECK HERE ☐	
Subcontractor Company Name	Imerge Consulting (Independent Consultants)
Brief description of subcontractor company	For over 20 years, Imerge Consulting has been a vendor-neutral consulting company providing ECM information governance assessments & strategy, records & information management, technology & vendor selection, and digital content remediation. Imerge and CRE8 have worked together on many ECM assessment and planning projects (including in the State of Washington). The firms bring DOR senior ECM governance, records management, compliance, technology, and process improvement expertise.
Name(s) of consultant(s) provided by subcontractor company.	Charmaine Brooks, Certified Records Manager (CRM), Partner. Charmaine has over 25 years of experience providing ECM information governance assessments & strategy, records & information management, technology & vendor selection, and digital content remediation.
Describe the work to be performed by the subcontracted consultant(s)	Charmaine Brooks, CRM will work with George Dunn, President of CRE8 Independent Consultants in the planning, assessment, interview, and report writing phases of the project. Charmaine will function as the information governance, records management, and compliance subject matter expert. Charmaine has assisted many State of Washington government organizations and is knowledgeable regarding Washington State IG/Records management regulations and requirements.
Describe strategies the Vendor will use to manage and monitor the work to be completed by the subcontracted consultant(s)	George Dunn, President of CRE8 will work with Charmaine Brooks during all phases of the project. Together they will discuss observations, findings and recommendations. Progress, results and work completed will be communicated in weekly project management updates to DOR. Draft deliverable and report findings will be provided to DOR for review and approval.

2A. SUPPORTING DIVERSE VENDOR POOL – CERTIFICATIONS PER SECTION 9D OF THE WORK REQUEST, PROVIDE THE INFORMATION REQUESTED IN THIS SECTION FOR EACH SUBCONTRACTOR INCLUDED IN THE PROPOSAL.	
Imerge Consulting	
Is your firm certified with the Washington State Office of Minority & Women's Business Enterprises? https://omwbe.wa.gov/	Yes ☐ No X If yes, provide MWBE Certification No: _____
Is your firm a self-certified Washington State small, mini, or micro-business as defined by RCW 39.26.010?	Yes ☐ No X If yes, what is your business size? Small ☐ Mini ☐ Micro ☐
Is your firm certified as Veteran Owned with Washington State Department of Veteran Affairs? https://dva.wa.gov	Yes ☐ No X If yes, provide WSDVA Certification No.: _____

3. VENDOR QUALIFICATIONS

1. **Vendor company relationship to any ECM system solutions:**

    a. **Vendor listed in Section 1 above is not associated with any ECM system solutions (mark here).**

    CRE8 Incorporated (Independent Consultants) is not associated with any ECM solutions. We do not represent or resell ECM technologies but instead work directly for our clients (end-user organizations). This allows CRE8 to provide an independent voice regarding ECM readiness, requirements, workflow/process improvement, vendor assessment, project management, testing, QA, and change management.

    Imerge Consulting is also not associated with any ECM system solutions. Together, this team provides two of the top ECM independent consultant subject matter experts available in the United States to DOR.

    b. **Vendor listed in Section 1 above is associated with the following ECM system solution(s):**

    (indicate solutions here)_____

    *Note: per Work Request Section 1, Vendor Eligibility, only those vendors **not** associated with an ECM system solution will be considered.*

2. **Description of Vendor company, including areas of expertise. Clear and concise explanations are preferred. Do Not direct DOR to other reference materials in lieu of a response here.**

    Since 1995, we at CRE8 Incorporated have provided independent consulting services including:
    - electronic content management (ECM) enterprise readiness assessment, enterprise planning, development of requirements and RFPs, vendor assessment, and project management,
    - records program management/information governance assessment, readiness ranking, maturity assessment, and update of policies, procedures, schedules, and taxonomy,
    - process/workflow baselining, redesign and improvement (LEAN, BPM, Six Sigma, Re-engineering, CPI) of operations, workflows, and processes, and
    - complex system replacement planning, option evaluation, application/process design, RFP development, project management, and vendor assessment.

    We have assisted hundreds of clients, ranging in size from 25 to 250,000 employees, and within all sectors, including government. We are based in Seattle and our clients include many State of Washington Cities, Counties, and State Agencies (see client list next page). We are subject matter experts and certified in our areas of expertise. We have experience evaluating/planning for many ECM systems and platforms, including Alfresco, Box, DocuSign, Google, FileNet, Hyland OnBase, IBM, IBML, ImageSoft, ImageSource, Kofax, Lasefiche, M365, M365 3rd Parties (Gimmal, K2, Nintex, Records Point, Smarsh), M-files, OpenText, Oracle, SACSS, Servicenow, Tech Mahindras, and also data systems with ECM functionality (SAP, Elite, Tyler, Oracle, etc).

    We do not represent or resell ECM technologies but instead work directly for our clients (end-user organizations). This vender neutral position allows CRE8 to provide an independent voice regarding ECM readiness, requirements, workflow/process improvement, vendor assessment, project management, testing, QA, and change management.

EXAMPLE CRE8 CONSULTING AND WORKSHOP TRAINING CLIENT LIST AND EXAMPLE PROCESS/AREAS
Example public sector CRE8 clients include: Alberta Governmental Services, BIIA, Canadian Institute, City of Everett, City of Seattle, City of Richland, Seattle City Attorney, Seattle Community College, Covington Water District**,** Municipal Court of Seattle, City of Seattle Department of Construction and Land Use, City of Seattle Police Department, City of Seattle Housing Authority, City Of Bellevue (Enterprise Planning), City Of Renton (Enterprise Planning), City of Redmond, City of Sheridan, City Of Tacoma, Fleet Anti-Sub Warfare Training, GPU Energy, Housing Authority of Florance SC, Highline Water District, Legislative Assembly of Alberta, Midway Sewer District, NB Power, NYC Economic Development Corp, Oak Ridge Associated Universities, Qulliq Energy Corporation**,** Provincial Archives of New Brunswick, Seattle Public Utlities, Snohomish County PUD, Sound Transit, State of Washington Department of Ecology, State Of Washington Department Of Information Services, University of Calgary, Utah Transit Authority, Washington State Liquor Control Board, Washington State Auditor, Washington State Department of Transportation, Washington State Department Of Licensing, Washington State Insurance Commission, Washington State Office of Public Instruction (OSPI), Washington State Department of Fish and Wildlife, and Yakima County (Enterprise Planning).
Example CRE8 private sector clients include Alaska Air Cargo, Alaska Marine Lines, Allstate Information Management, Apotex, Inc., AT&T Wireless, BC Hydro, Bermuda Monitory Authority, Boeing, Brookhaven National Laboratory, California Institute of Technology, CareFirst BlueCross BlueShield, Cap Gemini Ernst & Young, Citi, CNA Insurance Companies, Cancer Research And Biostatistics, CI Capital, DiaSorin, GlaxoSmithKline, WAMU/Chase Manhattan Bank, Energy Insurance Mutual (EIMLTD), Frank Russell, Fred Hutchinson, Fried Frank, First Community Bank, Kraft Foods, Lockheed Martin Services, Mills Corporation, Lynden Air Freight, Lynden Air Cargo, Lynden Trucking Transportation, Lynden Corporation, Mannai Trading Company, Motorola, Nissan, Perkins Coie, Paul Weiss, Providence Health Systems, Qulliq Energy Corporation, Renaissance Bankcard Services, Sellen Construction, Standard Insurance, SAFECO, Sealaska, Starbucks, Sun Life, Swedish Hospital, The Wharton School, The Bermuda Monetary Authority, USWEST, US News, Van Waters & Rogers, Washington Dental Services, Washington Mutual, and White Case.

3. **If DOR requested that you replace any of the consultants assigned for this scope of work, how you would approach this to ensure continuity of this project, avoid project delays, and prevent negative impact to the quality of the deliverables?**

CRE8 Independent Consultants have many other ECM experts and Certified Records Managers available on staff. Example staff members include:

- Bud Porter-Roth – Bud is a Senior CRE8 ECM technology consultant with over 25 years of experience providing ECM planning, readiness assessment, developing business and technical requirements development, RFP development, project planning, vendor assessment, and project management. He has extensive experience with all major ECM platforms and for the past six years has been assisting large organizations with the development of M365 records, technical and business requirements, migration assistance, configuration and deployment, and resolution of technical issues. Bud has worked with George Dunn/CRE8 on many projects through the years, including many in the State of Washington.

- Paula Lederman (CRM) – Paula has over 25 years of experience providing ECM information governance assessments & strategy, records & information management, technology & vendor

selection, and digital content remediation. Paula has worked with George Dunn/CRE8 on many projects through the years, including many in the government sector.

4. **How long has your company been in business?**

CRE8 Independent Consultants has been in business since 1995. We have assisted hundreds of organizations and trained thousands of individuals in ECM planning.

5. **What additional information would you like to share with us about your company profile and how you can meet our business needs described in this work request? (Please limit this to one page or less.)**

CRE8 Independent Consultant ECM, Records Program Management, and Workflow/Process Improvement Consulting services form the core set of services requested by DOR in the ECM assessment RFP. Here is additional detail regarding these services.

➢ **CRE8 Electronic Content Management Technology Planning (ECM)** is designed to help organizations understand, assess, and document their organization, process, records, customer, and technical requirements. This highly successful approach to ECM planning (i.e., capture, recognition, digital signature, content management, search, workflow, integration, and electronic records/compliance management) helps organizations assess readiness, establish a budget and internal agreement while developing clear requirements to evaluate and select supporting vendor solutions.   CRE8 helps its clients: educate executives, management, and staff; establish standards; assess readiness, develop enterprise strategic plans; develop application design requirements and RFP's; review current systems; redesign operations, customer interfaces, workflows and records; determine cost/benefit; evaluate vendor/integrator options; oversee conceptual and detailed design, and provide implementation quality oversight. *This work is key to properly defining need, readiness, and requirements to support successful ECM deployment.*

➢ **CRE8 Records Program Management review and update Services** assist organizations with information governance planning, risk assessment (ARMA/GARP, PII, GDPR, CCPA), record information management (RIM) current state (maturity) assessment, analysis of gaps between the requirements and capabilities, record inventories, taxonomy and classification, revision of retention schedules into a functional structure based on industry standards, record management programs, agency-wide and departmental file plans, implementation plans, and development of training materials. We also provide electronic records storage assessment, development and implementation of file plans for shared drive clean up (ROT), taxonomy projects for ECM/ERM implementations, readiness assessment for ECM/ERM, ERM assessment/ implementation assistance, physical storage facility and management planning, and development of operational/disaster policies and procedures. *This work is key to assessing the need, readiness, and requirements for successful deployment of ECM compliance, records management, and governance modules.*

➢ **CRE8 ProcessBlueprinting** is based on years of practical experience helping organizations understand and redesign their processes. ProcessBlueprinting™ results include: documentation/baseline of current processes, identification of stress points within processes, determination of improvement methodology (LEAN, Six Sigma, Re-engineering, BPM, TQM)

required or a mixture of methods, costing of current processes, quality improvements, cost reduction, improved communication and agreement, customer service improvement, preparation for the implementation of major computer systems, the establishment of standards, compliance with new regulations, and employee training. *This work is key to assessing the need, readiness, and requirements for successful ECM workflow deployment and how to achieve process improvement with this technology.*

6. **Do you have any debarments or terminations for cause within the past three years?**

   No X Yes ☐

   If yes, please explain in detail.

7. **Do you have any former state employees working for your company? If so, please list candidate's name, agency they worked for, and their position in your company.**
   No.

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4. VENDOR'S REFERENCES AND EXPERIENCE AND QUALIFICATIONS (THESE ARE **VENDOR COMPANY REFERENCES,** NOT REFERENCES FOR THE INDIVIDUAL CONSULTANT(S) PROPOSED FOR THIS WORK REQUEST. DOR IS MOST INTERESTED IN REFERENCES FOR PROJECTS THAT ARE CLOSELY ALIGNED WITH THE SCOPE OF WORK DESCRIBED IN THIS WORK REQUEST).

RESPONSES TO THIS SECTION SHOULD HIGHLIGHT AND DETAIL THE VENDOR'S QUALIFICATIONS AND EXPERIENCE RELATED TO THE SCOPE OF WORK AND REQUIREMENTS STATED IN THIS WORK REQUEST.
NOTE: VENDOR SUBMISSION OF THIS FORM CONSTITUTES PERMISSION FOR DOR TO CONTACT THE REFERENCES IDENTIFIED BELOW CONCERNING PAST PERFORMANCE.

LIMIT TO 3 REFERENCES; NO MORE THAN 1 PAGE PER REFERENCE.

➢ **CRE8 Response. See the following pages.**

1. Contact Person	Email	Phone Number(s)
Jason Howell Former ECY Director of Information Governance (Now at DSHS). *Jason is the primary reference for ECY.*	Jason: howeljm@dshs.wa.gov	Jason (360) 902-7794
Bill Falling ECY Director of Information Governance (Also worked with Bill at DFW)	Bill: bfal461@ECY.WA.GOV	Bill 1-360-407-7605

Dates of Work Performed	Company Name & Address	Description & Size of Company
2014 - 2021	Washington State Department of Ecology	Headquartered in Lacey, WA, with regional offices across the state, Ecology employees maintain high standards of transparency, professionalism, and accountability. The employees at ECY exhibit leadership in scientific research, creative problem-solving, complex project management, and innovative partnerships. 1,600 employees.

Description of Scope of Work

Department of Ecology - ECM and Information Governance/Records Management Planning. Over the years work included:

➢ conducted ECM enterprise-wide study (entire agency - 55 interviews of section/units and 333 process/file areas),

➢ assessed ECM goals, business drivers, readiness, concerns, resistance, benefits, modules, sub-modules, integration requirements, (line of business systems), access (local, remote), workflows, service improvements, record system integrity, and efficiencies gains,

➢ develop enterprise plan (a. workflow/efficiency based and b. IG/records management based) including readiness discussion,

➢ assessment of ECM systems in place (SharePoint),

➢ vendor market assessment (OpenText, Perspective, Laserfiche, EMC, and Alfresco),

➢ information governance/records information assessment (22 interviews) and update/recommendations (records discovery, policies, procedures, management, RSS, PRR, and roles/responsibilities), state digital requirements, and maturity assessment against industry standards,

➢ development of use case studies identifying requirements including capture, recognition, index, version control, storage, viewer, annotation, digital signature, workflow, integration, and records management,

➢ developed vendor ECM RFP requirement,

➢ identified backfile conversion strategy and options,

➢ compiled a forward ECM technology strategy report combining findings from previous studies and roadmap including IG, RIM and standards and training, and

➢ worked with a team of consultants to assess M365 shared tenant ability to meet the needs of the Agency.

2. Contact Person	Email	Phone Number(s)
Tim Westhoff, Records Governance Manager, Certified Records Manager at Moneytree. Tim is currently Records Manager at Genwest/NOAA Office of Response & Restoration	t.westhoff@comcast.net	206-227-7937

Dates of Work Performed	Company Name & Address	Description & Size of Company
2018 to 2019	Moneytree, Incorporated 6720 Fort Dent Way, Tukwila, WA 98188	Provides loans (payday, auto, installment, etc), check cashing, wire transfers, and prepaid cards in California, Nevada, Idaho, and Washington. At the time of study 100 stores, corporate office, and call center. Over 1,000 employees.

Description of Scope of Work

Conducted an enterprise study of Moneytree to identify ECM goals, modules required, business drivers, readiness, concerns, benefits, modules, sub-modules, integration requirements (line of business systems), access (local, remote), files, indexes, workflows, change management resistance, service improvements, avoidance of litigation/liability, impact on record system integrity, and efficiencies gains.

Work was based upon ECM interviews of over 20 groups, including Real Estate, Finance, Cash Management, Branch (numerous locations), Human Resources, Customer Experience, Call Center, Marketing, Compliance, and General Counsel. Identified ECM readiness, requirements, return on investment, and developed five-year roadmap.

Developed ECM requirements and vendor request for proposal, including project requirements, roadmap, input, indexing, recognition, integration to on-line portal, content storage, foldering, search, workflow, audit and disclosure, retention and electronic records management. Assessed Hyland On-base, Image Source, OpenText, and Laserfiche.

Work also included ECM and workflow loan and records management process interview of all corporate groups (e.g. legal, contracting, operations, finance, records, and compliance) and branch (store) representatives from five states.

Developed baseline process maps (value stream) of corporate and store processes. Reviewed process performance metrics, issues (time waiting, defect, cycle time), conducted root cause (issue) analysis, and provided recommendations for improvement. Developed individual and consolidated future state process maps (future value stream). Identified ways to improve processes through procedural changes and better use existing computer systems in place.

3. Contact Person	Email	Phone Number(s)
Eric J. Sekler, Executive Director	esekler@paulweiss.com	212 373 2543

Dates of Work Performed	Company Name & Address	Description & Size of Company
2010 -2020	Paul, Weiss, Rifkind, Wharton & Garrison LLP. 1285 Avenue of the Americas New York, NY 10019-6064 United States	AMLAW 100 Law Firm. 1,800 employees.

Description of Scope of Work

Conducted enterprise ServiceNow (e-forms, electronic content management, workflow) enterprise study. Work included an inventory of 10 departments, 55 work groups and over 700 processes. Assessed process/workflow: employee FTE, transaction volume, systems used (e.g. Chrome River, Elite, Desksite, SharePoint, Outlook, etc), resistance/readiness, waiting time, efficiency, quality, audit, measurement, issues, and opportunities to improve. Developed Servicenow roadmap, including recommendations for organizational improvement.

Also conducted numerous process/workflow mapping and improvement projects, including change action plans. Projects included all operational areas including Information Technology, Administration (including records), Finance, Practice Development, Human Resources, Professional Development, Inclusion and others.

CERTIFICATIONS AND ASSURANCES

I/we make the following certifications and assurances as a required element of the proposal to which it is attached, understanding that the truthfulness of the facts affirmed here and the continuing compliance with these requirements are conditions precedent to the award or continuation of the related work order:

I/we agree as follows.

1. Vendor certifies that each submission, response, and all information provided by Vendor to the Washington State Department of Revenue (DOR) pursuant to the Work Request are true, accurate and correct, and that Vendor has not omitted any material facts that would make the response, submission and/or information incomplete or misleading.

2. The prices and/or cost data have been determined independently, without consultation, communication, or agreement with others for restricting competition. However, I/we may freely join with other persons or organizations for presenting a single proposal.

3. The attached proposal is a firm offer for a period of 90 days following receipt, and it may be accepted by DOR without further negotiation (except where obviously required by lack of certainty in key terms) at any time within the 90-day period.

4. In preparing this proposal, I/we have not been assisted by any current or former employee of the state of Washington whose duties relate (or did relate) to this proposal or prospective contract, and who was assisting in other than his or her official, public capacity. If there are exceptions to these assurances, I/we have described them in full detail on a separate page attached to this document.

5. I/we understand that the Department will not reimburse me/us for any costs incurred in the preparation of this proposal or any stages of the selection process.

6. I/we understand all proposals become the property of the DOR, and I/we claim no proprietary right to the ideas, writings, items, or samples, unless so stated in this proposal.

7. All objections, issues, and exceptions to the terms of the Contract, including all Attachments, Schedules and/or Exhibits, are set forth in the Issues List that is included as an attachment of this proposal.

8. Unless otherwise required by law, the prices and/or cost data, which have been submitted, have not been knowingly disclosed by the Vendor and will not knowingly be disclosed by him/her prior to announcement of the ASV, directly or indirectly, to any other Vendor or to any competitor.

9. I/we agree that submission of the attached proposal constitutes acceptance of the solicitation contents and the attached contract and general terms and conditions. If there are any exceptions to these terms,

- I/we have described those exceptions in detail on a page attached to this document.

10. No attempt has been made or will be made by the Vendor to induce any other person or firm to submit or not to submit a proposal for restricting competition.

11. I/we grant the Department the right to contact references and others, who may have pertinent information regarding the ability of the Vendor and Consultants to perform the services contemplated by this Work Request.

12. Submission of this form and the attached proposal verifies Vendor compliance with Section 4 of RCW 39.26.160.

On behalf of the Vendor submitting this work request proposal, I certify under penalty of perjury under the laws of the State of Washington that the foregoing is true and correct. **We are submitting a scanned or electronic signature on this form.**

Name and Title	George Dunn President CRE8 Independent Consultants
Signature	
Date	2/22/2022

This form must be signed and dated by a corporate officer of a corporation, or a principal, manager, partner, or other individual representative of the Vendor with the authorization to execute and legally bind the Vendor.

C. Written proposal for completing the scope of work

Provide a detailed description of your planned approach and methodology for meeting the expectations, deliverables and project goals outlined in this Work Request.

i.   Vendors are to provide an approach and methodology that aligns with the tasks listed in the scope of work and the deliverables described in this Work Request.

ii.   Include how many consultants will work on the project, and the names, roles and responsibilities of each.

iii.   If Vendor wishes to propose an alternative set of tasks and deliverables to meet the objectives described for this assessment, Vendor may do so by including the information in the proposal. Clearly mark these items as "Alternative Approach". Include a second Schedule B for the Alternative Approach.

Limit this section to no more than five (5) pages.

➢   **CRE8 Response – the See following pages.**

CRE8 DOR ECM Readiness SOW Deliverable 1 - Finalize project approach, work plan, resource plan, and schedule. Two CRE8 consultants will be dedicated full-time. George Dunn will be responsible for assessing ECM technology, process/workflow considerations and be the project manager. Charmaine Books will be responsible for assessing ECM governance, records management, and compliance considerations. (Deliverable E.1).

CRE8 Independent Consultants will finalize the DOR ECM Readiness Assessment project approach, work plan and schedule based upon final discussions and approval by DOR, this will clearly lay out what is needed to complete the assessment (e.g., tasks, deliverables, schedule, required Vendor and DOR staffing, techniques and approach, issues, risks, etc.). **This will include development of a CRE8 DOR ECM Readiness Assessment project:**

- **charter** including a summary of goals, tasks, responsibility, timeline and executive sponsors. This charter will be distributed to DOR ECM meeting participants in advance of the project and be reviewed with the team(s) during the first meeting(s). IF desired by DOR, CRE8 can also develop a project charter video (2-4 minutes) for distribution.
- **tasks list for CRE8 and DOR**, as defined in the final scope of work, including those tasks to be performed by:
  o CRE8 (review materials, conduct interviews, perform analysis, produce deliverables, write report), and
  o DOR resources (attend meetings; provide what is needed (e.g. relevant studies, documentation, metrics, reports); review deliverables as produced, draft reports, and report).
- **risk assessment** for this type of readiness project and recommended actions. For example, mitigate DOR teams not being clear as to:
  o why they are in meetings – produce a through a well written and presented project charter;
  o what DOR teams are responsible for and time required – produce a clear list of tasks and meeting times;
  o who will approve/accept deliverable – develop a clear definition of project sponsor(s) responsibility (overall, project, technical, contract manager, sign off, and
  o schedule/attendance – have a co-project manager assigned by DOR, to help communicate what is required and attend meetings with CRE8.
- **work plan** showing tasks, deliverables, and identification/mitigation of any project risks that develop during the project. The work plan will indicate for each major task and sub-task – activity, dates, timeline, co-dependencies, CRE8 resources, DOR resources, risks, and mitigation. The schedule will indicate DOR review/feedback timelines as agreed to allow the project to be completed within the overall timeline specified by DOR. Within this timeline, the schedule will allow DOR to review and comment on the deliverables before finalizing.
- **weekly schedule status reports** showing accomplishment of task, production of deliverables, and identification/mitigation of any project risks that develop during the project. The schedule will indicate for each major task and sub-task – activity, dates, timeline, co-dependencies, CRE8 resources, DOR resources, risks, and mitigation. The project schedule will be updated weekly. The schedule will indicate DOR review/feedback timelines as agreed to allow the project to be completed within the overall timeline specified by DOR. Within this timeline, the schedule will allow DOR to review and comment on the deliverables before finalizing. DOR ECM Readiness Assessment tasks will include items such as:
  o discovery - review of relevant reports, studies, surveys, policies, procedures, and schedules,
  o meetings with DOR – planning, interviews, and discussion of deliverables, and
  o consultant tasks – review of materials, interview, analysis, draft deliverables, and finalized deliverable.
- **resource plan will be developed indicating detailed** (Deliverable F.I):
  o CRE8 Consultants and project responsibilities,
  o DOR sponsor responsibilities (leader, deliverable review/approval),
  o DOR staff participating in the project required roles, position, knowledge, and skill set, and
  o Detailed responsibilities for CRE8 and DOR.

Note: 1 The project approach, work plan, and schedule submitted in the Vendor's proposal will be reviewed and may be revised upon mutual agreement of DOR and Vendor. The finalized project plan will require approval from DOR's Executive Sponsor and Contract Manager, with input from DOR's Information Governance Board. Changes to the approach, work plan, and schedule will be handled using the project change management process agreed to by the Vendor and the DOR.
Note: 2 CRE8 will review external and DOR ECM studies, including ERMI, ECM feasibly study, and decision package submitted to OCIO, and other.

CRE8 DOR ECM Readiness SOW Deliverable 1.A - Interviews. Two CRE8 consultants will be dedicated full time. George will be responsible for assessing ECM technology, process/workflow considerations, and be the project manager. Charmaine will be responsible for assessing ECM governance, records management, and compliance considerations. (Deliverable E.II).

Interviews. CRE8 will conduct 15 full interviews with the following DOR divisions and 3 general interviews with other groups (executive, information resources (technology), and contracting).

The 15 full interviews will include Administrative Review and Hearings, Audit, Business & Financial Services, Compliance, Customer Experience and Communications, Executive, Human Resources, Information Resources, Interpretations & Technical Advice, Legislation & Policy, Property Tax, Research & Fiscal Analysis, Taxpayer Account Administration, Taxpayer Services, and Working Families Tax Credit. *Interview attendees should include knowledgeable records coordinators/custodians; and related information technology, operations, and governance staff.*

These interviews will be 1.5 hours each and will be limited to 5-6, active attendees per interview group; this will allow for discussion of interview questions within the time allowed. Other non-active (listening only) attendees can attend the meeting. ECM readiness will be scored and ranked as high (green), medium (yellow) and low (red). Questions to be asked during the division interviews are stated below. *Note: CRE8 and DOR can finalize questions before interviews are conducted.*

- **ECM Division Readiness**
  o Is there an understanding of what is ECM? (Note: after this question, a quick summary of the technology will be provided).
  o What are ECM technology goals/value, challenges/concerns, and resistance?
  o Is there an explicit knowledge of where division/group documents are stored today?
  o Are ECM storage systems in place fragmented or unified? Provide a few examples.
  o What is the need for ECM modules, including capture, recognition, integration, viewers, annotation, redaction, e-signature, search, storage, workflow, and compliance retention/disposition?
  o Rank how existing ECM systems are functioning, including OneDrive, Unisys InfoImage, Kofax, Microsoft SP, MS365 WST, Box, MS SQL, Hyland OnBase, and others.
  o What are the number of total and concurrent ECM users?

- **ECM Division Governance, Records Management and Compliance Readiness**
  o What is the current level of awareness of employees' responsibilities for records management/governance?
  o How is records management/governance perceived in the department today?
  o Is there a procedure for the disposition of records that have met the retention requirements?
  o Are the division's disposition procedure written?
  o Are the division's disposition procedure followed?

- o   Is there a procedure for PRR?
- o   What is the frequency, time, and ability to fulfill public records and discovery requests?
- o   Are there standard naming conventions (indexes) used for online documents by individuals, groups and the department? If not, what overall percentage and provide a few examples?

- **ECM Division Process Improvement Readiness**
  - o   Are there areas where ECM can help employees improve the creation, soring, retrieving and sharing of information? If yes provide a few examples.
  - o   What percentage of processes in the division are documented and up-to-date?
  - o   What percentage of documents are routed manually?
  - o   Are there processes in the division that ECM (including electronic forms and workflow could improve:
    - efficiency and modernize,
    - quality (reduce waste), and
    - customer service.

    If yes provide a few examples.

All information will be collected into our CRE8 Independent Consultants interview collection tools. *This tool rapidly scores, totals, and adds up results. We will be projecting this tool on the screen as we collect information so immediate changes can be made and what is collected during the interview is transparent to the attendees.*

Four additional interviews will be conducted to gain an appreciation/assessment of specific executive, information technology, and contracting areas.

Executive Interview (30 minutes)
- ECM Department Readiness
  - o   What are their goals for ECM, and is their clear support across the department?
  - o   What are their concerns regarding ECM?
  - o   Have ECM studies conducted to date provided a path for automation?
  - o   What is the current state of ECM in the Agency (Fragmented, unified, mix)?

Contracting Interview (30 Minutes)
- ECM Contracting Readiness
  - o   Has an ECM budget been established?
  - o   Has an ECM procurement timeline been established?
  - o   What are the current and projected costs for ECM systems in use?

IT Interview (2 Hours)
- ECM Implementation Readiness
  - o   Does a unified ECM infrastructure exist within the DOR?
  - o   Has a DOR ECM deployment methodology been established?
  - o   What is the supportability and costs of the existing ECM system, including OneDrive, Unisys InfoImage, Kofax, Microsoft SP. MS365 WST, Box, MS SQL, Hyland OnBase, and others?
  - o   What are the current DOR M365 tenant environment and related tools?
  - o   What M365 modules are being utilized?
  - o   What is the current status and perception of DOR ECM shared tenant (M365)?
  - o   Is IT properly staffing and trained to assist with the deployment of ECM?
  - o   Has an ECM implementation risk assessment been conducted?
  - o   Has an ECM change management plan been established?

Key Records Coordinator (PRR) Director Interview (2 Hours)
- o Is ECM records management related
  - ▪ Governance up-to-date? Any issues?
  - ▪ Records Management Program up-to-date? Any issues?
  - ▪ Compliance including PRR up-to-date? Any issues?
  - ▪ Procedures up-to-date? Any issues?
  - ▪ Schedules up-to-date? Any issues?
  - ▪ Training up-to-date? Any issues?

Note 1: IT Representative and Key Records Coordinator (Director) general interviews will be conducted first so there will be time for them to fill out their follow up questionnaires. The Key Records Coordinator (Director) follow up questionnaire will gather statistics regarding Records Program volume logs, issues logs, and past/projected penalties. Questionnaire will also include space and costs associated with paper records (and other physical media, if exists) stored on-site and off-site. The IT representative follow up questionnaire will gather information regarding support issues, plans for upgrade replacement, or discontinue of the formal and informal ECM technology in place at DOR such as network file shares, OneDrive, Unisys InfoImage, Kofax, Microsoft SP. MS365 WST, Box, MS SQL DOR application data, FAST Enterprises GenTax, Hyland OnBase, and SaaS solutions, including Drupal, and Eastern Washington backup facility.

CRE8 DOR ECM Readiness SOW Deliverable 2 - Report. Two CRE8 consultants will be dedicated full time. George will be responsible for assessing ECM technology, process/workflow considerations, and be the project manager. Charmaine will be responsible for assessing ECM governance, records management, and compliance considerations.

The DOR ECM Readiness Assessment report will include the following. (Deliverable F.II)
(a)   DOR's content management needs and benefits of ECM modernization and improvement.
(b)   Current state assessment (including maturity assessment).
(c)   Readiness assessment.
(d)   Recommendations (relevant to DOR's organizational type and size)
(e)   Roadmap

The report will assess and document the current state of DOR's business and technical environments related to content management at a level of detail sufficient to highlight the capabilities, strengths, weaknesses, and gaps in best practices towards DOR's goals. Recommendations will be relevant to DOR's organizational type and size: a state agency; mid-sized enterprise; a M365 environment; broad public disclosure law. The current state assessment will:
- assess the level of ECM knowledge, skills, and abilities (KSA's) of key staff responsible for record management, technical staff supporting the related systems, and gaps in the KSA's necessary to successfully implement, operate, and support ECM. (Deliverable E.III)
- identify any gaps in the existing governance, policies, procedures, processes, and guidelines that may impact effective ECM. (Deliverable E.III)
- assess the effectiveness of current technology tools in use for content management (M365, SharePoint - on-prem and Online, shared network drives, Unisys Corporation InfoImage, Kofax Capture, etc). Clearly addresses DOR's current M365 tenant environment and related tools. (Deliverable E.III)
- characterize and document DOR's position and readiness to engage in ECM. (Deliverable E.IV) Including:
  - o If current in-house knowledge, skills, and capacity are sufficient to implement, operate, and support a contemporary ECM.

- o The level of knowledge of, and support for, effective ECM governance.
- o If the current compliment of DOR technology and tools are sufficient, or if additional tools or systems or approaches are needed. Vendor should be sure to address DOR's current M365 tenant environment in this part of the assessment.
- o The level of alignment across DOR regarding awareness of the value and challenges of ECM.
- provide report recommendations to best position DOR to successfully implement ECM. (Deliverable E.V) Including:
  - o Identification of gaps discovered during the assessment and options on how to address them.
  - o Appropriate technology and tools needed to support core ECM components. Identify technologies needed by type of software product, features, or modules; rather than by specific, named ECM vendor(s) or system(s).
  - o A high-level content placement strategy - e.g., where do industry best practices suggest different types of content be stored for access, processes, and lifecycle management? (do not name specific ECM vendors or systems). Where applicable, include better ways/best practices for using products currently in the DOR environment.
  - o A description of key elements of an effective ECM environment governance program and how it would look at DOR.
  - o An enumeration of staffing needs, by role and responsibility, to effectively support
  - o an ongoing ECM discipline.
  - o Training recommended for both business and technical staff, by role.
  - o Characterization of the level and type of OCM effort needed to support the operating divisions if DOR decides to implement ECM.
  - o The level and type of vendor support needed to successfully implement ECM, based on the assessment of DOR capabilities and knowledge.
  - o The benefits, or consequences, of completing, or not completing, each recommendation.
- include a roadmap, including an overall approach and list of specific actions, which DOR would execute to successfully implement ECM. (Deliverable E.VI). The roadmap will include:
  - o Key strategic elements on how to transition from current state to future state (in stages as necessary), using the findings from the deliverables above.
  - o The order in which suggested actions should occur, noting which items are not constrained by order.
  - o A timeline, with points of flexibility and estimated duration for each recommended action.
  - o Recommended staff, by role and skillset, for each action.
  - o A high-level content migration strategy that aligns with the recommendations.
  - o Where needed training should occur related to other actions.
  - o The development of a governance model.

CRE8 DOR ECM Readiness SOW Deliverable 3 - Presentation. Two CRE8 consultants will be dedicated full time. George will be responsible for assessing ECM technology, process/workflow considerations, and be the project manager. Charmaine will be responsible for assessing ECM governance, records management, and compliance considerations. (Deliverable F.III)

Presentation to DOR leadership and Information Governance Board, providing an overview of the
- scope of Work approach and review of all information in the assessment report,
- how DOR's M365 environment and tools fit in to ECM,
- includes a Q&A, and
- demonstrate in-depth knowledge of ECM and applies to and discusses the details of this assessment.

D. Deliverable Examples

Provide an example of each deliverable listed on Schedule B, Deliverable Cost and Timeline, including any Alternative Approach items proposed.

Examples may be copies of documents created for previous clients, or templates that clearly describe the content typically included.

DOR prefers examples that clearly align with the scope of work and deliverables described in this Work Request and the Vendor's proposal. Examples that clearly demonstrate how the complete group of deliverables will provide added value to the objectives of this Work Request will receive the highest scores.

Schedule B
Deliverable Cost and Timeline

Reference the instructions in Section 5, Proposal Content Requirements, of the Work Request

Deliverables (Deliverables are stated at summary level here. See section 3f, Deliverables, of Work Request for details of each deliverable).
Deliverable 1. Finalized project approach, workplan, resource plan, and schedule.
Deliverable 2. ECM Assessment Report.
Deliverable 3. Presentation.

> ➤ **CRE8 Response. See next pages for selected examples.** Due to confidential nature of our reports, client requirement for disclosure, and the space it would take to show full reports; selected generic examples have been presented for DOR review.

Deliverable 1 (E.I) Example – Project Charter

ECM WORKFLOW STUDY PROJECT CHARTER (SUMMARY 1)

To better understand how the KZ workflow product, purchased by ABC, can increase firmwide productivity, ABC hired CRE8 Independent Consultants to interview ABC departments to develop an inventory of current workflows (processes) and determine which workflows can benefit. Consultants participating in the Study from CRE8 are George Dunn and Charmaine Brooks. Please welcome them to the firm and to your area. The project will start 6/12/2020 and be completed 8/12/2020.

KZ is a workflow platform (product) that helps to automate processes and improve the employee experience. For example, work that is currently communicated by email, phone, or in person, can instead be entered, routed, alerted, tracked, dash boarded, and status checked (e.g., in progress, completed) using KZ. Examples include employee onboarding/offboarding, travel requests, and many other processes.

Firm Project Sponsor - James Smith smith@abc.cmo 222-222-2222	CRE8 Consultant - George Dunn, dunn@cre8inc.com 425-941-5071
Project Manager – Evan Right right@abc.cmo 222-222-2222	CRE8 Consultant - Charmaine Brooks brooks@cre8inc.com 425-888-7345

ECM WORKFLOW STUDY PROJECT CHARTER (SUMMARY 2)

WORKFLOW STUDY PROJECT CHARTER

To better understand how the KZ workflow product, purchased by ABC, can increase firmwide productivity, ABC hired CRE8 Independent Consultants to interview ABC departments to develop an inventory of current workflows (processes) and determine which workflows can benefit. Consultants participating in the Study from CRE8 are George Dunn and Charmaine Brooks. Please welcome them to the firm and to your area. The project will start 6/12/2020 and completed 8/12/2020.

WHAT IS KZ?

ABC is a workflow platform (product) that helps to automate processes and improve the employee experience. For example, work that is currently communicated by email, phone, or in person, can instead be entered, routed, alerted, tracked, dash boarded, and status checked (e.g., in progress, completed) using KZ. To illustrate:

- When an employee is **onboarded** there are many different individual processes that need to occur including assignment of an office, creation of an account, installation of a phone and computer; and training. KZ can help streamline this process by routing information to groups supporting the onboarding process and track the completion of tasks..
- For processes such as **help desk, purchase request, and travel requests**, KZ can provide an on-line form for the requester to fill out, automatically route the request to the group(s) performing the work, and track approvals, progress, and completion.

- Beyond the examples above, there are many other processes KZ can assist, including those with time-consuming tasks, involving numerous groups/people, and difficult to track completion today using email or phone.

WORKFLOW STUDY PROJECT ACTIVITIES

- ➢ Review department organizational chart;
- ➢ Meet with each Chief to discuss workflow project charter, and identify departments/groups to be interviewed (30 minutes);
- ➢ Meet with Director(s) to discuss workflow project charter, and identify major group(s) to be interviewed (30 minutes per meeting);
- ➢ Meet with major group(s) to conduct workflow interview (1.5 hours for each group interview). Note: Each interview should be attended by those working day-to-day with the workflow (process), no preparation is necessary, during the interview a list of workflows will be identified/discussed, and it is recommended Directors attend each interview for their groups, as possible.;
- ➢ Develop a report (department, group); and
- ➢ Provide recommendations (i.e. projected level of workflow improvement, need/opportunity for process improvement (clean up) before workflow deployment, next steps).

WORKFLOW (PROCESS) STUDY INTERVIEW QUESTIONS

- ➢ Department, division, and group;
- ➢ Workflow name, description, number of employees participating, and volume;
- ➢ Percentage of information routed manually and electronically;
- ➢ What starts the workflow, and does the workflow trigger other workflows;
- ➢ Is there a benefit to conduct process improvement before implementation of workflow;
- ➢ Estimated number of workflow/process steps and what percentage is mapped out/up-to-date;
- ➢ Projected improvement in workflow efficiency, time waiting, quality, service, measurement, and integrity;
- ➢ Estimated reduction of current workflow risk (audit, risk of misplacement/loss);
- ➢ Other ideas to improve the workflow (other technologies); and
- ➢ List of Lotus Notes applications (for replacement with KZ or other solutions).

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Deliverable 1 (E.I) Example – Example schedule including accomplishment of task, production of deliverables, and identification/mitigation of any project risks that develop during the project. The schedule will indicate for each major task and sub-task – activity, dates, timeline, co-dependencies, CRE8 resources, DOR resources, risks, and mitigation. The project schedule will be updated weekly. The schedule will indicate DOR review/feedback timelines as agreed to allow the project to be completed within the overall timeline specified by DOR.

Deliverables	Estimated Dates Start	Date End	Sponsor	Consultant Team	Consultant Responsibility	Client Team	Client (Core Team)	Client Review Complete	Issues	Mitigation	Complete
DELIVERABLE 1 (E.I)/ Goals/Tasks	**4/20/2022**	**4/29/2022**									**4/29/2022**
Project approach, workplan, resource plan, and schedule.											
Finalize the ECM Readiness Assessment project approach, work plan and schedule based upon final discussions and approval by ABC (Deliverable E.1). This will include a CRE8 ABC ECM Readiness Assessment project, including:											
Review past ECM studies, including ERMI, ECM feasibly study, decision package submitted to OCIO, and others.				*Tasks Below Are Co-Dependent Upon Receiving Past Studies And ABC Meeting With Client*	Review Past Studies		Send Past Studies and Meet With Consultant				
- Develop Charter	4/21/2022	4/22/2022	Lewit	Dunn/Brooks	Develop Charter	Smith/ Evans	Review and Comment	4/25/2022			4/25/2022
- Develop Tasks list	4/22/2022	4/23/2022	Lewit	Dunn/Brooks	Develop Task List	Smith/ Evans	Review and Comment	4/25/2022			4/26/2022
- Develop Risk assessment	4/23/2022	4/24/2022	Lewit	Dunn/Brooks	Develop Risk Assessment	Smith/ Evans	Review and Comment	4/26/2022			4/27/2022
- Develop Work plan showing tasks, deliverables, and identification/mitigation of any project risks that develop during the project.	4/24/2022	4/26/2022	Lewit	Dunn/Brooks	Develop Work Plan	Smith/ Evans	Review and Comment	4/28/2022	Review Not Completed on 2/28/2022	Meet To Discuss on 2/29/2022. Adjusted Work Plan During Meeting.	4/29/2022

Deliverable 2 (E.III) Example – ECM And Records Management (RM) Strategic Plan, Readiness Assessment and Roadmap Report

Example Table of Contents

Deliverable 2 (E.II) Example - Interview Questions. As possible, CRE8 Independent questions are scored with yes (1) and no (0) to allow for rapid scoring of results.   Here is a sample list.

Depts	Is there an understanding of what is ECM? (Note: after this question, a quick summary of the technology will be provided).	What are ECM technology goals?	Will there be resistance to ECM?	Examples of ECM challenges/ concerns, and resistance?	Is there an explicit knowledge of where division/ group documents are stored?	Are ECM storage systems in place fragmented or unified?	Provide a few examples.	Is there a need for ECM recognit ion?	Is there a need for integratio n to data systems?
	Yes - 1, No - 0	Describe	Yes - 1, No - 0	Describe	Yes - 1, No - 0	Yes - 1, No - 0	Describe	Yes - 1, No - 0	Yes - 1, No - 0
Dept 1	No	Get Rid Of The Paper	Yes	Training	No	Yes	Across 4 Systems	Yes	Yes
Dept 2	Yes	Version Control	No	Like My Paper.	No	Yes	Not Sure Where It Is Stored	Yes	Yes
Dept 3	No	PRR	Yes	No	Yes	No	In My File Cabinet	Yes	Yes
Dept 4	No	Better Efficiency	No	Needs Signatures	Yes	Yes	No	No	Yes
Dept 5	Yes	Disposition Control	Yes	No	No	Yes	No	No	Yes
Total	40.00%		60.00%		40.00%	80.00%	0.00%	60.00%	100.00%

Depts	What is the current level of awareness of employees' responsibilities for records management/gov ernance?	How is records management/ governance perceived terms of importance?	Is there a procedure for the disposition of records that have met the retention requirement s?	Are the division's disposition procedure written?	Are the division's disposition procedure followed?	Is there a procedure for PRR?	What is the time to fulfill public records and discovery requests?	Are there standar d naming conventi ons?	If not, provide a few examples ?
	High 3, Medium 2, or Low 1	High 3, Medium 2, or Low 1	Yes - 1, No - 0	Yes - 1, No - 0	Yes - 1, No - 0	Yes - 1, No - 0	High 3 on time, Medium 2 days late, or Low over 2 days late	Yes - 1, No - 0	
Dept 1	High	Low	No	Yes	Yes	Yes	High	No	Different dots and dash's
Dept 2	High	Low	No	No	No	Yes	Low	No	Individual s Pick Naming
Dept 3	Low	Med	Yes	No	No	Yes	Med	No	Groups Pick Naming
Dept 4	Med	High	No	Yes	Yes	Yes	High	Yes	
Dept 5	Med	Low	No	No	No	Yes	High	Yes	
Total	2.20	1.60	20%	40%	40%	100%	2.40	40%	

Deliverable 2 (E.III) Example – Level of ECM knowledge, skills, and abilities (KSA's) of key staff responsible for record management, technical staff supporting the related systems, and gaps in the KSA's necessary to successfully implement, operate, and support ECM. (Deliverable E.III)

ECM KSA (Green In Place, Yellow Need Training, Orange Need SME Assistance)				
Department	**Knowledge**	**Skills**	**Ability**	**Notes**
Users				**Need Assistance To**
Develop Index Requirements	Green	Yellow	Orange	Understand Group and Enterprise Requirements
Develop Search Requirements	Green	Yellow	Orange	Understand Group and Enterprise Requirements
Develop Workflow Requirements	Green	Yellow	Orange	Map Out, Clean Up Processes; and Develop Workflow Maps
Operate The System	Yellow	Yellow	Yellow	
Records Management				
Develop Policies and Procedures	Orange	Orange	Orange	Write Policies And Procedures That Are Clear And Can Be Followed
Simplify Records Schedules And Set Up	Orange	Orange	Orange	Simplify And Translate Records Schedule To Map Correctly To Compliance/Records Module
Manage Operational Records	Yellow	Yellow	Yellow	
Full Fill Requests	Yellow	Yellow	Yellow	
Dispose Of Records	Yellow	Yellow	Yellow	
Technical Staff				
Planning	Orange	Orange	Orange	Develop Conceptual And Technical Requirements
Integration	Orange	Orange	Orange	Develop Requirements
Conversion	Orange	Orange	Orange	Develop Plan
Set Up	Orange	Orange	Orange	Configure
Maintain/Support	Yellow	Yellow	Yellow	

Deliverable 2 (E.III) Example – Identify any gaps in the existing governance, policies, procedures, processes, and guidelines that may impact effective ECM. (Deliverable E.III).

	CRITICAL	REQUIRED			

Step	2015	2016	2017	2018	2019
Staff Roles, Responsibilities and Capabilities					
• Conduct staffing assessment	REQUIRED	REQUIRED			
• Designate information stewards in each business unit	CRITICAL				
• Define and assign roles and responsibilities	REQUIRED	REQUIRED			
• Update job descriptions with IG/RM responsibilities		REQUIRED			
Change Management					
• Develop change management strategy	CRITICAL	REQUIRED	REQUIRED	REQUIRED	REQUIRED
• Develop communication plans		REQUIRED	REQUIRED	REQUIRED	REQUIRED
• Develop and conduct training		REQUIRED	REQUIRED	REQUIRED	REQUIRED
• Develop audit program for IG/RM		REQUIRED	REQUIRED	REQUIRED	REQUIRED
Legacy Records					
• Develop business unit plans for managing legacy records		REQUIRED	REQUIRED	REQUIRED	REQUIRED
• Conduct inventory of legacy records		REQUIRED	REQUIRED	REQUIRED	REQUIRED
• Analyze legacy records for cleanup or migration		REQUIRED	REQUIRED	REQUIRED	REQUIRED
• Cleanup and migration (in conjunction with technology decisions and procurement)		REQUIRED	REQUIRED	REQUIRED	REQUIRED
Technology					
• Align IG/RM with ECM Implementation	CRITICAL				
• Develop ECM requirements	CRITICAL	CRITICAL			
• Procure ECM solution	CRITICAL	CRITICAL	REQUIRED	REQUIRED	
• Staff Center of Excellence; establish implementation teams and support staff		CRITICAL	REQUIRED	REQUIRED	REQUIRED

Score Card Example

The score card is **subjective**, based on the findings, but is useful in setting priorities for those areas in the most need of attention.

The ratings are based on a scale of 1 to 3 as follows:

Rating 1 – Well managed ✔

Rating 2 – Requires attention ⓘ

Rating 3 - Should be addressed. ✖

4.2 Information Governance

CRITERIA	Issue	Score
Culture	**Does the Corporate culture recognize information as a strategic asset?** *Department employees are well aware of their responsibilities for creating and maintaining records to meet the organizational requirements. Initial steps are being initiated for the management of physical records, electronic records and long-term preservation requirements are being addressed within the department. The Corporate Records Management function has provided limited guidance to the department in the management of records.*	2 ⓘ
Change Management	**Are the change management implications related to RIM well understood? Is there a change management program in place?** *Department employees understand that changes are required to better manage records. However, these changes will require training and education, in incremental stages to overcome resistance to changing ways of working. Due to the Awareness Sessions and Interviews, employees are most receptive to the program and impatient for efficiency improvements.*	2 ⓘ

The following roadmap represents requirements projected over a 1–5-year period in the following groupings of tasks:

1. Governance Model (IG)
2. Corporate Practice and Approach (CP)
3. Storage and Security (SS)
4. Technology (T)
5. Communication and Training (CT)

Task No	Action 2021	Tasks
IG 1.1	Planning and Oversight	Develop working group to review and approve IM program requirements, initiatives and IM Tools (policies, classification schemes, file structures and retention schedules).
IG 2.1	Roles and Responsibilities	Formalize roles and responsibilities of the Records Management and departmental staff
IG 2.2	Roles and Responsibilities	Review and assess department IM responsibilities and staff capability for management of electronic records, physical records, technology and policies
IG 2.3	Roles and Responsibilities	Formalize other RM roles and responsibilities
CP 1.1	IM Procedures	Review business processes to ensure records are managed and stored securely
CP 2.1	Classification	Establish a functional classification scheme and map to RRS
CP 2.2	Classification	Develop procedures to create and manage updates to classification scheme and file structures
CP 3.1	Disposition	Finalize approval of revised RRS and submit to Council for approval as a Bylaw
CP 3.2	Disposition	Develop procedures and processes for maintaining the RRS
CP 3.3	Disposition	Develop an implementation policy for disposition processes for electronic records
CP 4.1	Metadata	Add metadata for security, privacy and other business process related classifications to RRS
SS 2.1	Security	Assess records security issues and establish goals for data protection
SS 2.2	Security	Establish privacy and other classifications of records (vital, confidential, sensitive, and historical) of records consistent with IT security policies

Deliverable 2 (E.III) Example - Assess the effectiveness of current technology tools in use for content management (M365, SharePoint - on-prem and Online, shared network drives, Unisys Corporation Infolmage, Kofax Capture, etc). Clearly addresses DOR's current M365 tenant environment and related tools. (Deliverable E.III). Generic summary example provided.

System	Electronic Capture	Recognition	E-Signature	Version Control	Advanced Search (Include Content)	Integration Tools	Workflow	Retention/ Disposition	E-Discovery	Notes
Email	Yes	No	No	No	Yes	Yes	No	No	No	
Shared Drives	Yes	No	No	No	No	No	No	No	No	Limited Content Search
Collaboration	Yes	No	No	No	Yes	Yes	No	No	No	Limited Content Search
Capture	Yes	Yes	No	Yes	No	Yes	Yes	No	No	
ECM 1	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	More Advanced Functionality Then ECM Shared Tenant
ECM 2	Yes	No	No	Yes	Yes	Yes	No	Yes	No	
ECM 3	Yes	No	No	Yes	No	No	No	No	No	Limited System
ECM Shared Tenant	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	Yes	No License For Retention/ Disposition. Platform Is Constantly Changing. Can Be Difficult To Support.
Records Management System	No	Yes	Yes	No	No	No	No	Yes	No	Limited Content Search
HR System	Yes	No	No	No	No	Yes	Yes	No	Yes	Limited Content Search
Finance System	Yes	No	No	No	No	Yes	Yes	No	No	Stores Documents On Share Drives Using Hyperlinks.
Off Site Storage Tracker	No	Yes	Yes	No	No	No	No	No	No	
	83%	42%	33%	42%	42%	67%	42%	25%	25%	

Deliverable 2 (E.V) Example - Report recommendations to best position DOR to successfully implement ECM. (Deliverable E.V) Including appropriate technology and tools needed to support core ECM components. Identify technologies needed by type of software product, features, or modules; rather than by specific, named ECM vendor(s) or system(s). See **

I	A	Who Attended Interview		Dept 1	Dept 2	Dept 3	Dept 4	Dept 5	
	B	Urgency for change to ECM technology (high within six months year, medium within one year, or low after one year).	High - 3, Med - 2, Low 1	High	High	High	High	High	High
II		**Number Of Users**							
	A	Total users of ECM within the group. (Named)		2	2	1	3	14	**22**
	B	Total users of ECM outside of the group but in the organization (Concurrent)		1	20	15	3	4	**43**
	C	Total users of ECM outside of the organization (Named)		0	0	0	0	0	**0**
III		**High Level ECM Functional Requirements ****							
	A	Capture required (scanning/electronic)?	Yes - 1 No - 0	Yes	Yes	Yes	Yes	Yes	**100%**
	B	Indexing recognition required (ICR/OCR)?	Yes - 1, No - 0	Yes	Yes	Yes	Yes	Yes	**100%**
	C	Electronic forms processing required?	Yes - 1, No - 0	Yes	Yes	Yes	No	No	**60%**
	D	If so, do forms need to be redesigned/cleaned up?	Yes - 1, No - 0	Yes	Yes	Yes	No	No	**60%**
	E	Annotations required?	Yes - 1, No - 0	Yes	Yes	Yes	Yes	Yes	**100%**
	F	Annotation type (sticky note, direct annotation, mark up)	Type	Both	Both	Both	Both	Both	
	G	Digital signature required?	Yes - 1, No - 0	Yes	Yes	Yes	Yes	Yes	**100%**
	H	Key word index search required across predefined indexes?	Yes - 1, No - 0	Yes	Yes	Yes	Yes	Yes	**100%**
	I	Full text search required across non-defined indexes?	Yes - 1, No - 0	Yes	Yes	Yes	Yes	Yes	**100%**
	J	Document creation versioning required?	Yes - 1, No - 0	Yes	Yes	Yes	Yes	Yes	**100%**
	K	Linking ECM system to an existing data application required?	Yes - 1, No - 0	Yes	Yes	No	Yes	Yes	**80%**
	L	If so, which application(s)?	Examples	Operations	HR	Finance	Operations	SACS	
	M	Workflow (structured) required?	Yes - 1, No - 0	Yes	Yes	Yes	Yes	Yes	**100%**
	N	If yes, would processes benefit from improvement before implementing workflow?	Yes - 1, No - 0	Yes	Yes	Yes	Yes	Yes	**100%**
	O	Portal		No	Yes	No	No	No	**20%**
	P	Records retention/disposition required	Yes - 1	Yes	Yes	Yes	Yes	Yes	**100%**

Deliverable 2 (E.V) Example - Identification of gaps discovered during the assessment and options on how to address them. An ECM RM planning and ECM technology example is provided.

ECM RM PLANNING AND OVERSITE	
Industry Benchmark or Best Practice	**Gaps**
An ABC-wide ECM records management strategy is in place, which is consistent with State and national standards. Records management strategies are based on developing and adopting policies, procedures and practices, setting goals, and designing and implementing systems in ways that meet the operational needs of the ABC and that accord with the regulatory environment.	The ABC does not have an ECM records management strategy. The ABC is not in compliance with State and national standards. There is no central oversight and no consistently defensible position.
Goals related to ECM information governance accountability have been established for all individuals/departments that have responsibility. The accountability process within the records and information governance structure should support the legal defensibility of program outcomes.	The ABC has not established ECM goals for managing records. The ABC is not able to measure accomplishment and progress for the ABC as a whole, departments and individual record owners against requirements.
ECM Records management program and methodology are thoroughly documented and consistently implemented to address compliance and risk mitigation. The highest quality of documentation exists showing status of the program within the department (i.e., efficient, thorough, and complete).	ECM Records management guidelines are informal and disseminated through on-the-job training. The ABC is at risk to not meet records management compliance requirements. Records management processes are not consistently or thoroughly documented, measured, and implemented.
There is a consistent, ongoing effort to improve ECM business functions and processes. The analysis of business needs includes records management issues and potential solutions that incorporate records management considerations.	There is no ABC-wide ECM methodology or comprehensive plan to improve business processes and recordkeeping. There is no plan or process in place to assess, search, and manage the various collections of records retained across multiple formats (paper, paper/digital, and digital) and their locations.
There is consistent allocation of suitable resources in support of ECM records management with senior-level support of resulting initiatives.	Gaps in ECM RM staffing put a burden on employees who do not have the time to both do their job and manage the records which results in inconsistent practices. Required records management work is not conducted for the ABC as a whole.
A long-term ECM digital preservation risk assessment has been completed for all records with a retention more than ten years.	The ABC has not identified the ECM locations of long-term records or developed a strategy to ensure their preservation. This puts the ABC at risk to be in compliance with long-term preservation requirements.

Program or Initiative	**Recommendation**	**Five Year Roadmap with Priorities See Section**	**Recommended Practices (Activities/Tasks) See Section**
Planning and Oversight	Formalize and initiate an ECM Records Management (RM) work group to review and approve program requirements, initiatives and tools, including policies, procedures, classification structures, file structures and retention schedules. Develop a five-year ABC plan and set goals for each department to implement RM, manage records lifecycle, and compliance.	IV.1.A (ECM Planning and Oversight)	IV.2 (ECM Records Management Practices) IV.2.I (ECM Monitoring and Audit)

ECM TECHNOLOGY	
Benchmark or Best Practice	**Gaps**
An ECM governance structure (such as a project steering committee) is in place to ensure the collaboration of key individuals in planning, acquiring designing or developing records management systems, including the IT manager, department project managers, systems developers (internal and external) and records managers. There is a process that validates the retention processes/functionality against new technology the organization is considering. This process should address technology "services" that are contracted as well, e.g., could cloud computing vendors.	The ABC does not have a process for evaluating ECM technology acquisitions for records management requirements, capabilities or functionality. Records management technology in place (ECM-1, ECM-2, and ECM-3) is not configured correctly to support records management requirements.
The ABC has a documented ECM IT strategy that fully accommodates records management policies and principles in all areas and recognizes the difference between managing records and managing technology.	ECM technology implementation and deployment of systems supporting records management, including ECM-1, ECM-2, ECM-3, and data applications, require specialized knowledge and skills, which the ABC does not currently have.
ECM Information systems, business applications and communication systems, and the business processes which they support, should be designed, modified or redesigned so that adequate records can be created and captured as a routine part of undertaking business activities. ECM mechanisms have been established to assess system compliance with records management requirements through time.	ECM technology tools have been designed and implemented, but all employees that manage records do not fully understand what he or she is responsible to keep and where records should be kept. ECM records management technology in place (ECM-1, ECM-2, and ECM-3) is not configured and used correctly to support records management requirements. Data systems in place may manage records independent of ECM 1, and may not be in accordance with records management requirements. Implementing digital records management tools and systems without regard to proper indexing consistent search, and retention/disposition will not make records sufficiently available for business needs or discovery.
Leverages ECM technology significantly to simplify records management, ensure enforcement of policies and procedures, and promote records governance.	The ECM records management practices are not documented for the systems of record, such as Data System, other data systems, ECM-1, ECM-2, and ECM-3. The ABC has not implemented the full functionality of ECM-1, ECM-2, and ECM-3 automated capabilities to ensure records are protected from alteration and metadata change from unauthorized staff with the chain of custody to support proper retention/disposition and meet e-discovery requirements. In addition, these systems are not configured to support workflow automation (workflow module).
ECM new technology developments are monitored and evaluated for further improvement opportunities.	The ABC has limited resources to assess ECM new records management technology capabilities and functionality.

Program or Initiative	Recommendation	Five-Year Roadmap with Priorities. See Section	Recommended Practices Activities/ Tasks). See Section
ECM Records Management	Establish proper ECM records management and clean-up requirements.	IV.1 (Summary Roadmap with Priorities). Section IV.1.H (Technology Records Management)	IV.3.A.a (Records Management)
ECM Operational	Establish consistent and beneficial ECM search, indexing, workflow, and retention/ disposition requirements.	Section IV.1.H (Technology Records Operational)	Section IV.3.A (ECM Configuration)
Process Improvement	Focus on the deployment of ECM workflow where it will provide the most benefit to the ABC. Improve and clean up processes before automation.	Section IV.1.H (Technology Process Improvement)	Section IV.3.B (Process Improvement)
Platforms and Systems	Determine the value, benefit, cost, and challenges of expanding current ECM platforms (Google, Laserfiche, M365).	Section IV.1.H (Technology Platforms and Systems)	Section IV.3.C (Platforms and Systems)

Deliverable 2 (E.VI) Example include a roadmap, including an overall approach and list of specific actions, which DOR would execute to successfully implement ECM. (Deliverable E.VI). The roadmap will include key strategic elements on how to transition from current state to future state (in stages as necessary), using the findings from the deliverables above.

H) Technology Roadmap	2022	2023	2024	2025	2026
Records Management					
• Develop ECM metadata schema, access and security schema, and codes, rules and term stores for repositories.	▓	▓			
• Develop ECM RM requirements for repositories (ECM1, ECM2, ECM3).	▓	▓			
• Identify ECM functionality and capabilities for RM in Systems of Records (DS1, DS2, etc.). Determine how to manage the data/records in place (within the data system) if they are not to be retained in the ECM 1 (ongoing).	▓	▓	▓	▓	▓
• Integrate ECM document-level security classification.	▓	▓			
• Develop ECM content clean up and migration strategy for File Analysis, Classification and Remediation (FACR).	▓	▓			
• Begin ECM clean up and migration.	▓	▓			
• Define document version controls (e.g., what constitutes a new version).	▓	▓			
• Test and then implement ECM RM classification structure in repositories (as it rolls out to business areas).	▓	▓			
Operational					
• Establish consistent, usable, and beneficial ECM requirements before re-configuration and expansion of current ECM systems.	▓	▓			
• Develop a standardized template to collect detailed ECM baseline (current state) and new (future state) requirements. Keep requirements as simple as possible.	▓	▓			
• Have requirements signed off by department heads and the ABC records manager before set up or the expansion of RM systems.	▓	▓			
Process Improvement					
• Identify processes within departments and across departments (cross-functional) that are in need of improvement (e.g. quality, efficiency, service, governance) (ongoing).	▓	▓	▓	▓	▓
• Rank processes and, for high-value areas, conduct process mapping and improvement. Establish standard operating procedures (SOP) as required (ongoing).	▓	▓	▓	▓	▓
• Develop workflow maps showing how processes can be automated with workflow and identify requirements (routing, decisions, calls to data systems, etc) (ongoing).	▓	▓	▓	▓	▓
• Review and sign off of workflow maps by department heads before set up within the system (ongoing).	▓	▓	▓	▓	▓
Platforms and Systems					
• Determine the value, benefit, and challenges of managing records (documents) in existing data systems, the ECM1 or ECM2 platform.	▓	▓			
• Understand the estimated cost to expand the Google platform and the Laserfiche platform to provide retention/disposition, e-discovery, workflow, and necessary licenses. Assess third-party products as required.	▓	▓			
Decision					
• Based upon requirements and benefits/ease of use, identify where the ABC should invest in the expansion of the ECM systems (ECM1, EC2, ECM3) or consolidation. Test vendors abilities.	▓	▓			

CRE8 DOR ECM Readiness SOW Deliverable 3 - Presentation to DOR leadership and Information Governance Board, providing an overview of the scope of work approach and review of all information in the assessment report.

1. Executive Summary Example

1. Findings, Recommendations, Roadmap, and Guidance

Senior management of the ABC Organization (ABC) is aware of many of the ECM records management (RM) challenges facing ABC and, as a result, sponsored this study for CRE8 Independent Consultants to identify specific ECM RM issues, readiness to move to an ECM shared tenant, and overall recommendations/guidance to improve current records management operations.

During the study, we found that ABC departments and individuals are actively managing records in numerous systems and the ABC Records Department has taken many actions to improve record management. However, as a whole, ABC does not have a records management program compliant with state and national standards that will support an ECM strategy to ensure the protection, disclosure, and preservation of records. There are numerous ECM systems in place with inconsistent capabilities (this makes it difficult for employees to store/find records and meet PRR requirements). In regard to ABCs plan to move to a shared ECM tenant ABC existing staff do not have all the KSA necessary to support successful planning, implementation and support of this new system.

Findings (Section II.1) include the following.

- Records management practices are highly decentralized, with each department having its own records guidelines and ECM filing and retrieval systems. For example, folder and file names for records are not standardized, making it difficult to map, search and make decisions for retention and disposition. In some departments, the State Records Retention Schedule is in use or proposed, but other departments have no retention guidelines.
- In regard to ABC Policy N0. A Public Records Processing Policy for public records requests for complying with the State Act and departments have established PRR processes, however, but these are not documented.
- There is no methodology or technology in place for proper enforcement of ECM records protection. The ABC does not have a process for reviewing ECM inactive records and making decisions to retain or destroy the records.
- There are no overall records management policies, procedures, strategy to manage records (documents) stored in ECM systems, data systems, shared drives, email, and paper.
- Supporting records management technology in place (ECM1 ECM2, and ECM3) are not configured, used, and have enough user licenses to properly support the ABC's ECM records management needs and requirements.

Example Statistics

- Standard naming conventions for online documents exist in 54% of departments. Fifty percent of departments indicate challenges finding documents online. Seventy-one percent of departments specify a challenge if these searches include historical or older documents before 2018.
- ABC records management procedures to properly dispose of ECM records when they have met retention requirements exist in 18% of ABC Departments. Seven percent of departments have a written disposition procedure in place. Fourteen percent of departments follow their written and verbal procedures.
- Fifty-two percent of departments indicate operational processes are documented and up-to-date. Seventy-eight percent of departments believe there is a need to conduct process improvement.
- Existing ECM systems as a whole have only 55% of the functionality required to properly support ABC operational, records requirements, and compliance requirements.
- Existing staff have less than 25% KSA's to support the consolation of ECM systems into a shared tenant system.

Gaps to industry benchmarks and best practices (Section II.2) include Planning and Oversight, Staffing, Roles and Responsibilities, Policies, Manuals, and Procedures, Security, Protection, Monitoring and Audit, Schedules, Taxonomies, Metadata and Inventory, Retention and Disposition, Business Process and Usage, Change Management, Communications and Training, and Technology. Recommendations (Section III) include the following.

- Develop a five-year ABC plan and set goals for each department to implement Records Management (RM), including managing ECM records lifecycle and compliance. Formalize and initiate an ECM RM workgroup to review and approve RM program requirements, initiatives and tools, including policies, procedures, classification structures, file structures and retention schedules.
- Develop records management, PRR, and retention/disposition policies and procedures for records stored in email, ECM systems, data system, paper, and other mediums that can be consistently followed across the ABC for categorization, inactive records handling, records retention, storage and disposition, and security. Establish processes to monitor RM implementation projects and compliance.
- Develop ECM RM tools for organizing and managing records, such as ABC-wide functional classification, retention and metadata structures. Apply retention and disposition to records collections, both digital and physical. Ingest long-term digital records into a repository in archival formats.
- Develop strategies and plans for communicating the ECM RM program and managing changes to the ways staff are working. Develop training materials and conduct training sessions.
- For ECM systems in use (ECM1, ECM2, and ECM3) establish proper records management requirements. Establish consistent and beneficial ECM search, indexing, workflow, and retention/ disposition requirements. Identify how to link these systems to data systems. Focus on the deployment of ECM workflow where it

will provide the greatest benefit to the ABC. Improve and clean up processes before automation.
- Support proper planning, implementation and support of a consolidated ECM shared tenant, provide external subject matter expertise to provide the KSA's necessary.
- Determine the value, benefit, cost, and challenges of expanding or consolidating the current ECM platforms. Develop migration plans and conduct cleanup of older records before proceeding. Test ECM vendor ability to meet ABC requirements and confirm costs. Decide on the direction.

Summary Roadmap with Priorities
A timeline of specific and ongoing tasks to implement recommendations is provided (Section IV). Steps can be initiated sequentially but often overlap as resources (staff, capabilities and funding) are available. Key aspects of the roadmap are as follows.

- Planning, and Designate Staffing, Roles, and Responsibilities   2022
- Policies, Manuals and Procedures   2022-2023
- Records Management and Operational Technology Planning   2022-2023
- Update Platforms and Systems   2022-2023
- Security, Protection, Monitoring and Auditing   2022-2026
- Schedules, Taxonomies, Metadata and Inventory   2022-2026
- Retention and Disposition   2022-2026
- Change Management, Communications and Training   2022-2026
- Process Improvement   2022-2026

Written guidance is provided to assist the ABC with the development of an ECM Records Management ECM (RM) Program, including records management roles and responsibilities, policies, procedures and guidelines, schedules, taxonomies, and metadata, disposition process, records storage, long-term digital preservation, training, and communication plans and change management.

Technology recommendations are provided, including proper configuration of ECM systems, process improvement, and expansion of platforms and systems. Based upon discussions with Google and Laserfiche (MCCI) cost options are stated.

We recommend the ABC not purchase or expand ECM systems until it has determined where and to what level - active, closed, retained, and permanent records should be stored and managed, developed use case study requirements, and tested vendor and software capabilities, including 3rd party products. In essence, re-set before proceeding.

2. PROJECT SCOPE

The principal components of this ECM Records Management Study included the discovery and assessment of existing records and policies/procedures within the timeline of this study The purpose of the study is to develop a detailed assessment and strategic roadmap for a comprehensive ABC Organization Records Management Program.

To accomplish this online assessment/discovery interview sessions were conducted with teams from ABC departments/groups to identify record repositories and processes that result in the generation of records. Areas interviewed include the following seven (14) department/groups ………

Work included, assess:
A. Current records requirements by the ABC and types of records generated (e.g., data, documents, messages, hardcopies, electronic/soft copies, etc.).
B. Current ECM systems.
C. KSA's to support consolidation of ECM systems and an ECM shared tenant.
D. Systems utilized to store records for both current and legacy documents.
E. Current taxonomy and metadata implemented.
F. Existing data inventory systems from offsite record storage providers.
G. Systems utilized to store records for both current and legacy documents.
H. Evaluation of adherence to the current Retention Schedule/Record Destruction Policy - Identification and evaluation of records generated (hard copy and/or electronic)
   - Applicable federal, state, and local laws/regulations.
I. Current system used for record storage (current and archived).
J. Areas of potential record duplication.

Deliverables included:
A. Work Plan/Timeline: Provide work timeline with estimated days/hours required to complete the Discovery/Assessment of Existing Records, System, and Procedures.
B. Report with comprehensive findings resulting from the assessment/evaluations.
C. Key Stakeholder Meeting: Conduct one onsite presentation of the gap analysis findings to the ABC's identified project team.
D. Available ECM retention processes that are applicable across various record generating processes and systems.
E. Gap assessment for ECM systems in place and technology necessary to correct.
F. Best practices regarding where content in ECM should be stored to support operating and long term preservation of records.
G. KSA's assessment to implement, operate, and support a proper ECM system including a M365 Shared Tennant.
H. Alignment requirements across ABC to maximize the awareness and value of an ECM system.
I. If the current compliment of ABC technology and tools are sufficient, or if additional tools or systems or approaches are needed. Vendor should be sure to address ABCs current M365 tenant environment in this part of the assessment.
J. ECM governance plan.
K. Costs and strategies for implementing such automated processes across different enterprise systems, including:
   a) Migration to an ECM Shared Tenant including KSA's and strategies.
   b) A reduction of impacts to existing and future document users and resources, including processes that access, use, generate, store or destroy documents (including minimizing new requirements, responsibilities and processes related

to managing documents).

c) Recommendations on maximizing the availability and accessibility of documents for business and transparency purposes.

d) Recommendations on minimizing the long-term costs associated with managing documents of all forms, including costs associated with onsite and offsite document filing, storing and retrieving, as well as storing and backing up electronic documents.

e) Recommendations on minimizing ABC liability associated with retaining and destroying documents and comply with applicable regulations and laws.

f) Document destruction, transference and conversion guidelines.

g) Identify space (internal or external) and equipment necessary for filing records. Determine if offsite records storage can be reduced for cost reduction for the ABC.

h) General guidance on executing strategies for successful adoption of new policies, processes and procedures.

i) Recommendations for change management, training and other ongoing program management activities such as self-auditing.

j) Additional recommendations as-needed.

k) Work Plan/Schedule for recommendations and strategies (including milestones and phases).

About CRE8 Independent Consultants

Since 1995, CRE8 Incorporated (Independent Consultants) has been providing independent consultant education and planning services, including:

- electronic content management (ECM) technology enterprise, readiness assessment, application/RFP planning, vendor assessment, and project management,
- records program management/information governance assessment, readiness assessment, inventory, schedules, policies, and procedures. Areas include records management, email, public disclosure, discovery, and disaster recovery,
- process/workflow improvement (BPM, Lean, Six Sigma, Re-engineering) of complex operations, workflows, and processes,
- complex system replacement option evaluation and application/process design, and
- education of executives, managers, and staff, online and onsite.

CRE8 has worked with hundreds of organizations and thousands of individuals in the area of consulting and educational services.

As independent consultants, CRE8 does not represent or resell technologies but instead works directly for its clients (end-user organizations). This allows CRE8 to provide an independent voice regarding applicability of electronic content management technologies, development of strategic plans, standards, process/workflow improvement, application designs, return on investment assessment, record management plans (including the development of records/email/public disclosure policies, procedures and schedules); vendor/integrator evaluation, and project management.

E. Consultant(s) Qualifications - Resume for each Consultant submitted for the project.

Resumes - For each Consultant, provide a detailed resume with information stated in a concise manner and formatted to facilitate review.

i.   Summarize at the top of the resume the Consultant's years of experience for each item listed in section 4b, Consultant Knowledge, Experience and Qualifications.

ii.   Resumes should detail the consultant's experience, knowledge, skills and abilities related to the scope of work and requirements stated in this Work Request.

iii.   Resumes should be direct and succinct and focus on the consultants' qualifications for the roles and responsibilities the consultant will fulfill for this scope of work.

<u>Limit resumes to five (5) pages.</u>

➢   CRE8 Response – See following pages for George Dunn and Charmaine Brooks Resumes.

GEORGE J. DUNN, PRESIDENT
CRE8 ® INDEPENDENT CONSULTANTS RESUME

Mr. George J. Dunn, Founder and President of CRE8, is a worldwide recognized consultant, speaker, instructor, and author on Electronic Content Management technologies (e.g., capture, recognition, electronic forms, electronic content management, digital signatures, workflow, and electronic records management), Business Process Innovation (BPM, Re-engineering, LEAN, Six Sigma, TQM), Workflow mapping and redesign, and Computer Legacy System Replacement.

Mr. Dunn has over twenty-six years of experience in the process improvement and advanced technology planning industry. He has served in executive and leading roles for organizations such as CRE8 Incorporated, GTE Corporation, Wang Labs, ASA International, and KPMG Peat Marwick (Management Consultant Division and CPA).

Through an approach of teaching/consulting organizations how to understand process improvement, paperless technology planning, and legacy system replacement, Mr. Dunn can transfer knowledge and enthusiasm of planning to the organizations he serves. As a result, he has successfully helped organizations in the following areas:

Electronic Content Management (ECM) Planning
- Develop and provide onsite and online ECM planning training,
- Establish enterprise-wide ECM standards (de jure, de facto, and best practices),
- Develop enterprise and departmental ECM strategic plans,
- Perform ECM cost/benefit analysis and ranking (enterprise, department, and application-level),
- Develop ECM application scan/index, capture, recognition, content management, workflow, electronic records management and architecture design requirements for new and existing systems (replacement),
- Create and review vendor request for information (RFI) and request for proposals (RFP) response documents,
- assisting in the evaluation of vendor/integrator proposals, options, responses, and demonstrations, and
- proving implementation quality oversite and project management assistance.

Process and Workflow Improvement
- Develop and provide process/workflow improvement training,
- Blueprint current processes and workflows,
- Identify stress points (employee, customer, management, regulatory agencies) in existing processes,
- Determine process improvement methodology (CPI, BPM, Re-engineering, LEAN, Six Sigma) or a mixture of methods best suited to resolve organization issues or obtain desired opportunities,
- Diagnose current processes and workflows,
- Redesign processes and workflows with procedural changes (non-technology, current technology changes (owned by the organization), and new technologies,
- Develop change action plans to help ensure the roll-out of new processes and workflows, and
- Design new operational procedures and measurements.

Complex Computer System Replacement
- Develop and provide onsite and online complex system replacement planning training,
- Assess evaluation of benefits, risks, and costs of:
  - Extending the life of complex systems,
  - Porting complex software to new platforms/databases,
  - Purchase of COTS (off the shelf replacement software), or

- o   Undertaking custom software development,
- Document, at the module, sub-module, and screen level, what legacy system functionality can be eliminated, consolidated, and added,
- Re-affirm current process/business goals that the replacement system will need to support, and
- Gap assessment to evaluate the time, risks, and cost associated with porting or replacement options.

Mr. Dunn has worked with hundreds of organizations and instructed thousands of individuals in the areas of process improvement and technology planning. Mr. Dunn is an accredited: Certified Lean/Six Sigma Expert, Certified Business Process Re-engineer, Certified Workflow Specialist, Management Consultant, EDP Auditor, and former CPA. He has served as an advisor to the Worldwide Workflow Standards Board for the Association for Information and Image (AIIM) and as Board member and the Director of Education for the Pacific Northwest Chapter of AIIM. George has received training/certification in Total Quality Management; Quality Is Free, Business Process Management, Re-engineering, Workflow Improvement, and LEAN Six Sigma methodologies. Mr. Dunn has recently written an authoritative white paper on process improvement and paperless technologies.

Presentation examples for Mr. Dunn
- How To Develop A Microsoft M365 Digital Transformation Strategy Plan?, CRE8
- How To Properly Plan For Records Management In M365 And Why Is That Important?, CRE8
- What Type Of Organizations Need Assistance With Process Improvement And Advanced Technology Planning (Digital Transformation), Dotcom Magazine
- How Can The Finance Department Use And Plan For Robotic Process Automation? An Informative Discussion, CRE8
- How to Develop a Business-Process-Focused Digital Transformation Plan, AIIM
- Worldwide Paperless Technology and Process Improvement On-Line Workshop, CRE8.
- Worldwide Law Firm Process Improvement On-Line Workshop, CRE8.
- Electronic Content Management, Workflow, and Electronic Records Management: Planning and Process Innovation Workshop, CRE8.
- Put an End to Manual Data Processing, AIIM.
- Transform your Company through Modern Process Applications (BPM), AIIM.
- Successful Paperless Technology Funding & Implementation, AIIM ASIA.
- Overcome the 5 Deadly Process Inefficiencies Worldwide, AIIM Seminar.
- Taking Automation Further: Process Innovation & Advanced Paperless, DSF.
- Records Management Process Improvement. ARMA NYC and Chicago.
- Winning the Paper Wars, a Four Step Battle Plan, Worldwide AIIM Webinar.
- Process Improvement = Procedure + Intervention, Worldwide AIIM Webinar.
- Remove the Roadblocks: How to Create Compelling Cost-Benefit Analyses to Get What You Need", Document Strategy Forum.
- AIIM Boot Camp Road Show (Document Management & Workflow).
- Speaker – Practical Steps to Integrating ECM and Finance Systems.
- Process Improvement and Records Management, ARMA.
- Driving Efficiency through Document Capture. Worldwide Web Presentation for Fierce Content.
- How to Plan for E-Discovery and Long-Term Electronic Document Management, AIIM.
- Picking the Right Document Management Software (E-Discovery, ECM, EDMS, Workflow), The Canadian Institute Conference.
- How to Significantly Improve Service and Reduce Costs Through Process Improvement and Workflow Technology, AIIM.
- Blueprint for Business Process Management Document Magazine, Document Strategy Forum.

Publication Examples of Mr. Dunn
- Why Is A Digital Workflow Consultant Important? – CRE8
- Digital Transformation Consultant, Roles, And Responsibilities, CRE8
- How To Hire An Ecm Consultant, CRE8
- Is How Your Organization Storing Documents Causing Operational, Ig, Audit, And Litigation Risk?, CRE8
- Are Your Electronic Records a Ticking Time Bomb? - DSF
- Is Where Employees are Storing Documents Harming Your Organization?: - LIP
- Is Your Organization at Risk When Litigation, Audit, and Disclosure Occurs? - LIP
- What Does the Price of Tea Have to Do with Paperless Technologies? - DSF
- The Frictionless Organization: A Six-Step Plan to Reduce Friction. - DSF
- Process Improvement and Paperless Technology, an Authoritative White Paper. -CRE8
- Is it Time for a Chief Process Officer? - DSF
- Is There a Better way to Treat Customers and Vendors? - DSF
- Email, Workflow, and the Toyota Production System. - DSF
- 6 steps to ensure a failed ECM System. - DSF
- The Problem with SharePoint. - DSF
- Why the Inefficiencies, Challenges, and Risks of Using Shared Network Drives and Email for ECM Is Unacceptable. - DSF
- What are the Signs Your Law Firm Needs Process Improvement White Paper? - CRE8.
- The Process of Establishing and Maintaining Information Governance. - for DSF.
- Is Email Harming your Company? - Document Strategy Forum.
- Why ECM Systems Fail? - Document Strategy Forum.
- How to Perform an Organizational Culture Checkup. - Document Strategy Forum.
- A 3-Step Process Improvement Plan for Legal Departments. – Corporate Counsel.
- Law Firms: Cut Costs, Attract Clients, Boost Profits. - Article for Law Technology News.
- Examining the Contracting Process. - Q & A with Ken Adams.
- Process Improvement for General Legal Counsel and Law Firms. A follow-up to the 26th Annual General Counsel Conference - ALM.
- Rethinking & Radical Redesign of an Organization: Re-engineering and Workflow.- DSF.
- Five Six Sigma Items on Your Process and ECM Technology Checklist. - DSF.
- LEAN and Digital Signature Technology: 79% Improvement. - DSF.

Accreditation, Associations and Educational Background for Mr. Dunn
- Certified Lean/Six Sigma Consultant (Green Belt)
- Certified Process Improvement Consultant (TQM, Re-engineering, BPM, Workflow)
- Certified ECM and Workflow Specialist
- Certified Management Consultant (KPMG Peat Marwick)
- Director of Education, Association for Information and Image Management New York City and Pacific Northwest Seattle Chapters (AIIM)
- Member of Board, Association of Information and Image Management PNW (AIIM). Seattle And NYC Chapters
- Advisor to World Wide Standards Workflow Committee, AIIM International Worldwide
- New York State, Certified Public Accountant (Former) while at KPMG.
- Certified EDP Auditor
- University of Utah, B.S. Accounting, Honors Program

CHARMAINE BROOKS
SENIOR RECORDS CONSULTANT, CRM

Ms. Brooks is a Certified Records Manager and has 25+ years' experience in the full lifecycle management of records and information field of management. She has been responsible for managing multi-year and complex projects. She has been the corporate records manager for a global semi-conductor manufacturer, manager at a records management software development company and a consultant for records and information management. She has been involved in a number of taxonomy projects for EC/RM implementations.

Charmaine has been responsible for all activities associated with information governance and records management for organizations, public or private, small to large, in a variety of industries. She developed processes, systems, and procedures for the full lifecycle management of records and information ensuring compliance with governmental and legal requirements. Ms. Brooks has managed offsite records centers, supervised records management staff, and worked with all levels and departments to plan for and meet the information governance requirements.

METROPOLITAN WATER DISTRICT OF SOUTHERN CALIFORNIA
Conduct a records program assessment using the ARMA maturity model, technology assessment, staffing assessment and a multi-year roadmap for the records program, staffing and technology ecosystem.

WYOMING STATE ARCHIVES
Revised the organizational based Wyoming government retention schedules into a functional structure based on ISO 15489, provided practical guidance and recommendations for implementation and assisted with the development of a policy framework for a trusted digital repository.

IDAHO STATE ARCHIVES
Project lead to conduct a Records Study to assess and analyze the state records holdings and provide future planning recommendations for technology, standards and best practices, training and funding mechanisms for the ISA/RC. The study analyzed the city, county and state records holdings within the state of Idaho and provided recommendations on a number of related matters.

TRIMET
Completed record management assessment and ECM requirements, developed agency-wide and departmental file plans, implementation plans and training materials. Provided mentoring to records manager to develop and implement the file plans in the departments for shared drive clean up.

CITY OF LACEY, WA
Assessed records and information management practices, strategic roadmap, developed functional classification and records retention schedule based on Washington State RRS, assisted with requirement gathering and procurement assistance for Enterprise Content and Records Management system and File Analysis Classification and Remediation tools.

CITY OF TORONTO
Developed an electronic records management strategy for the City of Toronto including all components of an electronic records management program, legal compliance issues and alignment

issues with existing and proposed document management and information management initiatives. Developed a Business Classification System for the City. The Classification was developed using existing Information Management tools, electronic inventories and collaborative sessions.

NISSAN NORTH AMERICA

As part of a global simplification effort consolidated schedule organizational based records retention schedules structure with 9,000 + record titles into a functional schedule following the ISO 15489 standards. The records were grouped by function, sub-function, and record series reducing the number of record titles to approximately 300 record series in 14 functions.

Developed a training strategy and training materials for introducing the new RRS to all Nissan North America affiliates, including PowerPoint slide decks, guidelines and quick reference cards.

SNOHOMISH PUBLIC UTILITY DISTRICT

IMERGE conducted a high-level assessment of the districts Records Management practices. The assessment findings indicated the need for a functional records retention schedule and classification structure in order to deploy OpenText District-wide. A follow-on engagement included development of foundational tools for Records and Information Management to support the current and ongoing initiatives for Enterprise Content Management (ECM) and Electronic / Physical Records Management (ERM) to automate content, records and information management using the SharePoint and OpenText platforms. The initial implementation included business processes for documents required in SAP using OpenText's SAP connector extended ECM (xECM). Ms. Brooks developed a Functional Classification and Records Retention Schedule, OpenText documentation for Record Series Indicators (RSI), and related policies, procedures and guidelines.

EXPERIENCE

2005 to-present. **IMERGE Consulting, Inc.** Partner **RIM CONSULTANT**
1997 to 2005 **Select Technologies/Optika/Stellent ADMINISTRATIVE MANAGER/RIM SPECIALIST**
1993 to 1997 Micron Technologies, Inc. **CORPORATE RECORDS MANAGER**

EDUCATION

San Diego Community College and Boise State University

CERTIFICATIONS

Certified Records Manager, ICRM, Enterprise Records Management Master, AIIM, and Information, Organization and Access Master, AIIM

PROFESSIONAL

Charmaine is a member of the Association for Information and Image Management (AIIM) since 1993 and ARMA International since 1993

PUBLICATIONS

The Headaches with Reorganizing Your Shared Drives **01/12/2017** with Jim Just. Classification: Foundational Elements of Content Lifecycle Management **03/10/2016** *Document Strategy Magazine http://documentmedia.com/by-author-100-1.html.* Managing Electronic Records. Robert Smallwood, Charmaine Brooks contributing Author. *Wiley Publishing, CIO Series 2013*

F. Consultant References - Schedule D (note, these references are for each Consultant, not the Vendor).

i.   Complete Schedule D, Consultant Reference Form, to provide three references for projects similar to the scope of work described in this Work Request.

ii.   Submit a Schedule D for each Consultant proposed for this Work Request.

<u>Limit to three (3) references, and no more than one (1) page per reference.</u>

➢   CRE8 Response – See following pages for George Dunn and Charmaine Brooks Resumes.

Schedule D
Consultant Reference Form

1. VENDOR NAME:	CRE8 INCORPORATED (INDEPENDENT CONSULTANTS)
2. CONSULTANT NAME:	GEORGE DUNN, PRESIDENT

3. CONSULTANT'S REFERENCES (THESE ARE INDIVIDUAL CONSULTANT REFERENCES, NOT REFERENCES FOR THE VENDOR COMPANY). DOR IS MOST INTERESTED IN REFERENCES FOR PROJECTS THAT ARE CLOSELY ALIGNED WITH THE SCOPE OF WORK DESCRIBED IN THIS WORK REQUEST.

RESPONSES TO THIS SECTION SHOULD BE CONCISE AND CLEARLY DEMONSTRATE AND DETAIL THE VENDOR'S QUALIFICATIONS AND EXPERIENCE RELATED TO THE SCOPE OF WORK AND REQUIREMENTS STATED IN THIS WORK REQUEST. NOTE: SUBMISSION OF THIS FORM CONSTITUTES PERMISSION FOR DOR TO CONTACT THE REFERENCES IDENTIFIED BELOW CONCERNING PAST PERFORMANCE.

LIMIT TO 3 REFERENCES; NO MORE THAN 1 PAGE PER REFERENCE.

> ➤ See following pages for George Dunn, President CRE8 Independent Consultant references.

4. Contact Person	Email	Phone Number(s)
Jason Howell Former ECY Director of Information Governance (Now at DSHS). *Jason is the primary reference.* Bill Falling ECY Director of Information Governance (Also worked with Bill at DFW)	Jason: howeljm@dshs.wa.gov Bill: bfal461@ECY.WA.GOV	Jason (360) 902-7794 Bill 1-360-407-7605

Dates of Work Performed	Company Name & Address	Description & Size of Company
2014 - 2021	Washington State Department of Ecology	Headquartered in Lacey, WA, with regional offices across the state, the employees in our environmental programs exhibit leadership in scientific research, creative problem-solving, complex project management, and innovative partnerships. 1,600 employees.

Role, Responsibilities, and Description of Scope of Work Performed

Department of Ecology - ECM and Information Governance/Records Management Planning. Over the years work included:

➢ conducted ECM enterprise-wide study (entire agency - 55 interviews of section/units and 333 process/file areas),
➢ assessed ECM goals, business drivers, readiness, concerns, resistance, benefits, modules, sub-modules, integration requirements, (line of business systems), access (local, remote), workflows, service improvements, record system integrity, and efficiencies gains,
➢ develop enterprise plan (a. workflow/efficiency based and b. records management based) including readiness discussion,
➢ assessment of ECM systems in place (SharePoint),
➢ vendor market assessment (OpenText, Perspective, Laserfiche, EMC, and Alfresco),
➢ development of use case studies identifying requirements including capture, recognition, index, version control, storage, viewer, annotation, digital signature, workflow, integration, and records management,
➢ developed vendor ECM RFP requirement,
➢ identified backfile conversion strategy and options,
➢ compiled an forward ECM technology strategy report combining findings from previous studies and roadmap including IG, RIM and standards and training.
➢ worked with a team of consultants to assess M365 shared tenant ability to meet the needs of the Agency.

CRE8 RESPONSE TO DOR RFP DOR K2033 ECM ASSESSMENT   2/24/2022

5. Contact Person	Email	Phone Number(s)
Tim Westhoff, Records Governance Manager, Certified Records Manager at Moneytree. Tim is currently Records Manager at Genwest/NOAA Office of Response & Restoration	t.westhoff@comcast.net	206-227-7937

Dates of Work Performed	Company Name & Address	Description & Size of Company
2018 to 2019	Moneytree, Incorporated 6720 Fort Dent Way, Tukwila, WA 98188	Provides loans (payday, auto, installment, etc), check cashing, wire transfers, and prepaid cards in California, Nevada, Idaho, and Washington. At time of study 100 stores, corporate office, and call center. Over 1000 employees.

Role, Responsibilities, and Description of Scope of Work Performed

Conducted an enterprise study of Moneytree to identify ECM goals, modules required, business drivers, readiness, concerns, benefits, modules, sub-modules, integration requirements, (line of business systems), access (local, remote), files, indexes, workflows, change management resistance, service improvements, avoidance of litigation/liability, impact on record system integrity, and efficiencies gains.

Work based upon ECM interviews of over 20 groups, including Real Estate, Finance, Cash Management, Branch (numerous locations), Human Resources, Customer Experience, Call Center, Marketing, Compliance, and General Counsel. Identified ECM readiness, requirements, return on investment, and developed five year roadmap.

Developed ECM requirements and vendor request for proposal including project requirements, roadmap, input, indexing, recognition, integration to on-line portal, content storage, foldering, search, workflow, audit and disclosure, retention and electronic records management. Assessed Hyland On-base, Image Source, OpenText, and Laserfiche.

Work also included ECM and workflow loan and records management process interview of all corporate groups (e.g. legal, contracting, operations, finance, records, and compliance) and branch (store) representatives from five states.

Developed baseline process maps (value stream) of corporate and store processes. Reviewed process performance metrics, issues (time waiting, defect, cycle time), conducted root cause (issue) analysis, and provided recommendations for improvement. Developed individual and consolidated future state process maps (future value stream). Identified ways to improve processes through procedural changes and better use existing computer systems in place.

6. Contact Person	Email	Phone Number(s)
Eric J. Sekler, Executive Director	esekler@paulweiss.com	212 373 2543

Dates of Work Performed	Company Name & Address	Description & Size of Company
2010 -2020	Paul, Weiss, Rifkind, Wharton & Garrison LLP. 1285 Avenue of the Americas New York, NY 10019-6064 United States	AMLAW 100 Law Firm. 1,800 employees.

Role, Responsibilities, and Description of Scope of Work Performed
Conducted enterprise ServiceNow (e-forms, electronic content management, workflow) enterprise study. Work included inventory of 10 departments, 55 work groups and over 700 processes. Assessed process/workflow: employee FTE, transaction volume, systems used (e.g. Chrome River, Elite, Desksite, SharePoint, Outlook, etc), resistance/readiness, waiting time, efficiency, quality, audit, measurement, issues, and opportunities to improve. Developed Servicenow roadmap, including recommendations for organizational improvement. Also conducted numerous process mapping (value stream). Identified organizational and process improvement recommendations. Conducted process value steam mapping, metrics assessment, and redesign. Projects have spanned all operational areas, including Information Technology, Administration (including records), Finance, Practice Development, Human Resources, Professional Development, Inclusion and others.

1. VENDOR NAME:	CRE8 INCORPORATED (INDEPENDENT CONSULTANTS)
2. CONSULTANT NAME:	CHARMAINE BROOKS, CERTIFIED RECORDS MANAGER (CRM). CRE8 SUBCONTRACTOR (IMERGE CONSULTING).

3. CONSULTANT'S REFERENCES (THESE ARE INDIVIDUAL CONSULTANT REFERENCES, NOT REFERENCES FOR THE VENDOR COMPANY). DOR IS MOST INTERESTED IN REFERENCES FOR PROJECTS THAT ARE CLOSELY ALIGNED WITH THE SCOPE OF WORK DESCRIBED IN THIS WORK REQUEST.

RESPONSES TO THIS SECTION SHOULD BE CONCISE AND CLEARLY DEMONSTRATE AND DETAIL THE VENDOR'S QUALIFICATIONS AND EXPERIENCE RELATED TO THE SCOPE OF WORK AND REQUIREMENTS STATED IN THIS WORK REQUEST. NOTE: SUBMISSION OF THIS FORM CONSTITUTES PERMISSION FOR DOR TO CONTACT THE REFERENCES IDENTIFIED BELOW CONCERNING PAST PERFORMANCE.

LIMIT TO 3 REFERENCES; NO MORE THAN 1 PAGE PER REFERENCE.

> ➢ **See following pages for Charmaine Brooks, Senior CRM references.**

4. Contact Person	Email	Phone Number(s)
Cecilia Good, CMC, City Clerk.	cgood@sheridanwy.gov	Office: 307-675-4214 Cell: 307-461-3232
Dates of Work Performed	**Company Name & Address**	**Description & Size of Company**
2021-2022	City of Sheridan	City. 90 employees, City of 17,500.
Role, Responsibilities, and Description of Scope of Work Performed		

Conducted a review of all City departments including Clerk, Fire, Human Resources, Municipal Court, Police, Treasurer, Utilities, and Executive. Assessed major business processes and the City Records Management Program (policies, procedures, schedules, public disclosure and training).

Assessed records management awareness, perception and guidance; procedures and responsibility for destruction; process documentation; standard naming conventions and public records search challenges.

Provided recommendations for improvement of processes and records management including procedural changes, and improved used of City owned records management technologies and platforms, and electronic content management (M365, Google, Laserfishe, and Tyler).

5. Contact Person	Email	Phone Number(s)
Peri Edmonds, City Clerk	cityclerk@ci.lacey.wa.us	(360) 486-8704

Dates of Work Performed	Company Name & Address	Description & Size of Company
2017 to 2019	City Of Lacey, Washington	City. 252 employees.

Role, Responsibilities, and Description of Scope of Work Performed
Conducted an assessment of records and information management practices, including public records, at the City. Developed a records management strategic roadmap, requirement gathering and provided procurement assistance for enterprise content, records management system, and file analysis classification and remediation tools.

6. Contact Person	Email	Phone Number(s)
Steve Gonzales, Metro Project Lead	SGonzales@mwdh2o.com	Office: (213) 217-6911 Mobile: (213) 217-6911

Dates of Work Performed	Company Name & Address	Description & Size of Company
2015-2019	**Metropolitan Water District of Southern California,** 700 N Alameda St Los Angeles, CA 90012	Water Utility. 1,600 employees.

Role, Responsibilities, and Description of Scope of Work Performed

Provide an assessment of Metropolitan's current records management program and provide a gap analysis, recommendations, and a strategic plan.

Conduct the analysis to compare Metropolitan practices to industry best practices and to determine and document recommendations addressing the goals as mutually determined. The findings will be professionally documented and presented to Metropolitan's management team.

Work included identification of the key characteristics of a records management program and identifying the gaps between the future and current state to develop recommendations, the strategic plan and a roadmap, and then describe how this environment will be achieved through:
•   Changes in staffing levels and skills,
•   Changes to the Records Program,
•   Changes to current records practices,
•   Leveraging current technology, and
•   Technology options and alternatives.

Develop a strategic plan proportional to the level of complexity and budget for Metropolitan.

G. Deliverable Cost and Timeline - Schedule B

Complete one Schedule B for the deliverables list identified by DOR on the form and in Section 3F of this Work Request. Complete all columns for each deliverable. Additional deliverables proposed as beneficial to DOR may be added and must be clearly marked as "for consideration".

If Vendor is also proposing an alternative set of tasks and deliverables, as described in Section 5C of this Work Request, complete a separate Schedule B identified as Alternative Approach.

Vendors are encouraged to provide their best rate in response to this Work Request. The hourly rates to perform the work are not to exceed the rates in effect in the Vendor's master contract as approved by DES on the date Vendor responds to this Work Request. Rates in excess of the DES master contract rates will be deemed non-responsive and the proposal will not be scored.

Schedule B
Deliverable Cost and Timeline

Reference the instructions in Section 5, Proposal Content Requirements, of the Work Request

Deliverables (Deliverables are stated at summary level here. See section 3f, Deliverables, of Work Request for details of each deliverable).	*Hourly Rate	Approximate Number of Hours	Max Total compensation	Timeline to complete deliverable
Deliverable 1. Finalized project approach, workplan, resource plan, and schedule. *Includes status reports (SR) during project.*	$220	94 D1 (62) SR (32)	$20,680	4/20- 4/29/2022 (1.5 Weeks) Note: SR are on-going during the project.
Deliverable 2. ECM Assessment Report. ***Deliverables per SOW.*** See Detailed Scope of Work, Next Page. E.II - 85 Hours, $18,700 E.III 84 Hours $18,480 E.IV 61 Hours $13,420 E.V 102 Hours $22,440 E.VI 106 Hours $23,320	$220	438	$96,360	5/2 – 6/20/2022 (7 Weeks)
Deliverable 3. Presentation.	$220	48	$10,560	6/29/2022 (1 Week)
Totals	$220	**580**	**$127,600**	**4/20-6/29/2022 (9.5 Weeks)**

SCHEDULE B DETAILS

ACTIVITIES	PROJECT TIMELINE		CONSULTANT HOURS			COST		
Deliverables	**Estimated Dates Start**	**Date End**	**George Dunn Hours**	**Charmaine Brooks Hours**	**Total Hours**	**Rate**	**Amount**	**Total**
DELIVERABLE 1 (E.I)	**4/20/2022**	**4/29/2022**						
Project approach, workplan, resource plan, and schedule.								
CRE8 Independent Consultants will finalize the DOR ECM Readiness Assessment project approach, work plan and schedule based upon final discussions and approval by DOR (Deliverable E.1). This will include a CRE8 DOR ECM Readiness Assessment project, including:								
Review past ECM studies, including ERMI, ECM feasibly study, decision package submitted to OCIO, and others.			8	8	**16**	$220	$3,520	
Develop Charter			5	1	**6**	$220	$1,320	
Develop Tasks list for CRE8 and DOR			6	5	**11**	$220	$2,420	
Develop Risk assessment for this type of readiness project and recommended actions.			5	5	**10**	$220	$2,200	
Develop Work plan showing tasks, deliverables, and identification/mitigation of any project risks that develop during the project.			5	5	**10**	$220	$2,200	
Resource plan			6	3	**9**	$220	$1,980	
			35	**27**	**62**		**$13,640**	**$13,640**
Weekly schedule status reports showing accomplishment of task, production of deliverables, and identification/mitigation of any project risks that develop during the project.	**4/29/2022**	**6/27/2022**	26	6	**32**	$220	$7,040	
			26	**6**	**32**		**$7,040**	**$7,040**
DELIVERABLE 1 (INCLUDES STATUS REPORTS)			**61**	**12**	**94**			**$20,680**

Deliverables	Estimated Dates Start	Date End	George Dunn Hours	Charmaine Brooks Hours	Total Hours	Rate	Amount	Total
DELIVERABLE 2 (E.II)								
INTERVIEWS								
Conduct 15 full interviews will include Administrative Review and Hearings, Audit, Business & Financial Services, Compliance, Customer Experience and Communications, Executive, Human Resources, Information Resources, Interpretations & Technical Advice, Legislation & Policy, Property Tax, Research & Fiscal Analysis, Taxpayer Account Administration, Taxpayer Services, and Working Families Tax Credit. (Interviews 1.5 Hour Each)	**5/2/2022**	**5/13/2022**	22.5	22.5	**45**	$220	$9,900	
Conduct 4 general interviews with Executive (30 Min), Contracting (30 Min), Information Resources (Technology) (2 Hours), and Main Public Records Officer/Director (2 Hours). IT and Public Records Officer will need to be first interviews as there will be a list of questions for them for follow up. (5 Hours total)			5	5	**10**	$220	$2,200	
Review Interviews and Notes.			15	15	**30**	$220	$6,600	
			42.5	**42.5**	**85**		**$18,700**	**$18,700**

Deliverables	Estimated Dates Start	Date End	George Dunn Hours	Charmaine Brooks Hours	Total Hours	Rate	Amount	Total
DELIVERABLE 2								
Report								
The report will assess and document the current state of DOR's business and technical environments related to content management at a level of detail sufficient to highlight the capabilities, strengths, weaknesses, and gaps in best practices towards DOR's goals.	5/14/2022	5/20/2022						
Assess the level of ECM knowledge, skills, and abilities (KSA's) of key staff responsible for record management, technical staff supporting the related systems, as well as gaps in the KSA's necessary to successfully implement, operate, and support ECM. (E.III)			15	15	**30**	$220	$6,600	
Identify any gaps in the existing governance, policies, procedures, processes, and guidelines that may impact effective ECM. (E.III)			5	20	**25**	$220	$5,500	
Assess the effectiveness of current technology tools in use for content management (M365, SharePoint - on-prem and Online, shared network drives, Unisys Corporation Infolmage, Kofax Capture, etc). Clearly addresses DOR's current M365 tenant environment and related tools. (E.III)			25	4	**29**	$220	$6,380	
DOR to review Deliverable and Provide Comments Within 5 Days. (F.1)		5/27/2022	**45**	**39**	**84**		**$18,480**	**$18,480**

Deliverables	Estimated Dates Start	Date End	George Dunn Hours	Charmaine Brooks Hours	Total Hours	Rate	Amount	Total
Characterize and document DOR's position and readiness to engage in ECM. (E.IV) Including:	**5/21/2022**	**5/27/2022**						
If current in-house knowledge, skills, and capacity are sufficient to implement, operate, and support a contemporary ECM.			5	5	**10**	$220	$2,200	
The level of knowledge of, and support for, effective ECM governance.			5	5	**10**	$220	$2,200	
If the current compliment of DOR technology and tools are sufficient, or if additional tools or systems or approaches are needed. Vendor should be sure to address DOR's current M365 tenant environment in this part of the assessment.			25	6	**31**	$220	$6,820	
The level of alignment across DOR regarding awareness of the value and challenges of ECM.			5	5	**10**	$220	$2,200	
DOR to review Deliverable and Provide Comments Within 5 Days. (F.1)		**6/3/2022**	**40**	**21**	**61**		**$13,420**	**$13,420**
Provide report recommendations to best position DOR to successfully implement ECM. (E.V) Including:	**5/28/2022**	**6/3/2022**						
Identification of gaps discovered during the assessment and options on how to address them.			4	4	**8**	$220	$1,760	
Appropriate technology and tools needed to support core ECM components. Identify technologies needed by type of software product, features, or modules; rather than by specific, named ECM vendor(s) or system(s).			15	5	**20**	$220	$4,400	

Deliverables	Estimated Dates Start	Date End	George Dunn Hours	Charmaine Brooks Hours	Total Hours	Rate	Amount	Total
A high-level content placement strategy - e.g., where do industry best-practices suggest different types of content be stored for access, processes, and lifecycle management? (do not name specific ECM vendors or systems). Where applicable, include better ways/best practices for using products currently in the DOR environment.			8	8	16	$220	$3,520	
A description of key elements of an effective ECM environment governance program and how it would look at DOR.			4	4	8	$220	$1,760	
An enumeration of staffing needs, by role and responsibility, to effectively support an ongoing ECM discipline.			4	4	8	$220	$1,760	
Training recommended for both business and technical staff, by role.			4	4	8	$220	$1,760	
Characterization of the level and type of OCM effort that would be needed to support the operating divisions if DOR decides to implement ECM.			4	4	8	$220	$1,760	
The level and type of vendor support needed to successfully implement ECM, based on the assessment of DOR capabilities and knowledge.			4	4	8	$220	$1,760	
The benefits, or consequences, of completing, or not completing, each recommendation.			9	9	18	$220	$3,960	
DOR to review Deliverable and Provide Comments Within 10 Days. (F.1)		6/10/2022	**56**	**46**	**102**		**$22,440**	**$22,440**

Deliverables	Estimated Dates Start	Date End	George Dunn Hours	Charmaine Brooks Hours	Total Hours	Rate	Amount	Total
Develop a roadmap, including an overall approach and list of specific actions, which DOR would execute to successfully implement ECM. (E.VI) The roadmap will include:	6/6/2022	6/10/2022						
Key strategic elements on how to transition from current state to future state (in stages as necessary), using the findings from the deliverables above.			30	10	**40**	$220	$8,800	
The order in which suggested actions should occur, noting which items are not constrained by order.			4	4	**8**	$220	$1,760	
A timeline, with points of flexibility and estimated duration for each recommended action.			4	4	**8**	$220	$1,760	
Recommended staff, by role and skillset, for each action.			4	4	**8**	$220	$1,760	
A high-level content migration strategy that aligns with the recommendations.			4	4	**8**	$220	$1,760	
Where needed training should occur related to other actions.			4	4	**8**	$220	$1,760	
The development of a governance model.			6	20	**26**	$220	$5,720	
DOR Will review Deliverable and Provide Comments Within 10 Days. (F.1)		6/17/2022	**56**	**50**	**106**		**$23,320**	**$23,320**
Assemble Report (With Finalized Sections Above)	5/25/2022	6/20/2022						
DELIVERABLE 2	5/2/222	6/20/2022	**239.5**	**198.5**	**438**			**$96,360**

Deliverables	Estimated Dates Start	Date End	George Dunn Hours	Charmaine Brooks Hours	Total Hours	Rate	Amount	Total
DELIVERABLE 3 (F.III)								
Presentation to DOR leadership and Information Governance Board, providing an overview of the	6/23/2022	6/29/2022						
Scope of Work approach and review of all information in the assessment report,			15	15	**30**	$220	$6,600	
How DOR's M365 environment and tools fit in to ECM,			6	6	**12**	$220	$2,640	
Includes a Q&A, and			2	2	**4**	$220	$880	
Demonstrates in depth knowledge of ECM and applies to and discusses the details of this assessment.			1	1	**2**	$220	$440	
DELIVERABLE 3			**24**	**24**	**48**		$10,560	**$10,560**
TOTAL PROJECT (D1,D2, D3)			**324.5**	**255.5**	**580**			**$127,600**
PER CONSULTANT RECAP								
			324.5	255.5	580			
			$220	$220	**220**			
			$71,390	**$56,210**	**$127,600**			

H. Contract Issues List - Schedule C

Vendor must review the draft Contract. Vendors are to use Schedule C, Issues List, to submit any issues, concerns, exceptions, or objections to any of the terms or conditions contained in the draft Contract.

The Issues List will be used initially to determine the responsiveness of the Proposals. Proposals that are contingent upon DOR making substantial changes to material terms in the Contract will be determined to be non-responsive. DOR will consider the number and nature of the items on the Vendor's Issues List in determining the likelihood of completing a contract with the Vendor. Unresolved issues regarding the material business terms of the Contract may affect DOR's selection of Vendors to advance to the next stage of the procurement.

The Schedule C response form must be submitted to DOR in an unrestricted, editable Microsoft Word format.

<u>If there are no issues, concerns, exceptions or objections to the Contract terms and conditions, you are not required to submit Schedule C.</u>

➢ **CRE8 Response – No issues, concerns, exceptions, or objections.**

I. Vendor Certification Executive Order 18-03 Worker's Rights Form - Schedule E

Vendors must include with their Proposal a completed and signed Workers' Rights Certification, Schedule E.

<div align="center">

SCHEDULE E
CONTRACTOR CERTIFICATION
EXECUTIVE ORDER 18-03 – WORKERS' RIGHTS
WASHINGTON STATE GOODS & SERVICES CONTRACTS

</div>

Pursuant to the [Washington State Governor's Executive Order 18-03 (dated June 12, 2018](#)), the Washington State Department of Revenue is seeking to contract with qualified entities and business owners who certify that their employees are not, as a condition of employment, subject to mandatory individual arbitration clauses and class or collective action waivers.

I hereby certify, on behalf of the firm identified below, as follows (check one):

    X NO MANDATORY INDIVIDUAL ARBITRATION CLAUSES AND CLASS OR COLLECTIVE ACTION WAIVERS FOR EMPLOYEES. This firm does <u>NOT</u> require its employees, as a condition of employment, to sign or agree to mandatory individual arbitration clauses or class or collective action waivers.

<div align="center">OR</div>

    ☐ **MANDATORY INDIVIDUAL ARBITRATION CLAUSES AND CLASS OR COLLECTIVE ACTION WAIVERS FOR EMPLOYEES.** This firm requires its employees, as a condition of employment, to sign or agree to mandatory individual arbitration clauses or class or collective action waivers.

I hereby certify, under penalty of perjury under the laws of the State of Washington, that the certifications herein are true and correct and that I am authorized to make these certifications on behalf of the firm listed herein.

FIRM NAME: CRE8 INCORPORATED (INDEPENDENT CONSULTANTS) _____
               Name of Contractor/Vendor– Print full legal entity name of firm

By: _____   _George Dunn, President_____
    Signature of authorized person   Print Name of person making certifications for firm

Title: President _____   Place: Seattle, Washington _____
    Title of person signing certificate   Print city and state where signed

Date: 2/21/2022_____

J. Vendor Certification Wage Theft Prevention Form - Schedule F

Vendors must include with their Proposal a completed and signed Wage Theft Prevention Certification, Schedule F.

<div align="center">

SCHEDULE F
CONTRACTOR CERTIFICATION
WAGE THEFT PREVENTION – RESPONSIBLE BIDDER CRITERIA
WASHINGTON STATE GOODS & SERVICES CONTRACTS

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Prior to awarding a contract, agencies are required to determine that a bidder is a 'responsible bidder.' The responsible bidder criteria include a contractor certification that the contractor has not willfully violated Washington's wage laws. See RCW 39.26.160(2) & (4).

I hereby certify, on behalf of the firm identified below, as follows (check one):

X NO WAGE VIOLATIONS. This firm has <u>NOT</u> been determined by a final and binding citation and notice of assessment issued by the Washington Department of Labor and Industries or through a civil judgment entered by a court of limited or general jurisdiction to have willfully violated, as defined in RCW 49.48.082, any provision of RCW chapters 49.46, 49.48, or 49.52 within three (3) years prior to the date of the above-referenced solicitation date.

<div align="center">OR</div>

☐ VIOLATIONS OF WAGE LAWS. This firm has been determined by a final and binding citation and notice of assessment issued by the Washington Department of Labor and Industries or through a civil judgment entered by a court of limited or general jurisdiction to have willfully violated, as defined in RCW 49.48.082, any provision of RCW chapters 49.46, 49.48, or 49.52 within three (3) years prior to the date of the above-referenced solicitation date.

I hereby certify, under penalty of perjury under the laws of the State of Washington, that the certifications herein are true and correct and that I am authorized to make these certifications on behalf of the firm listed herein.

FIRM NAME: CRE8 INCORPORATED (INDEPENDENT CONSULTANTS) _____
<div style="padding-left:2em">Name of Contractor/Bidder – Print full legal entity name of firm</div>

By: _____   George Dunn_____
<div style="padding-left:2em">Signature of authorized person   Print Name of person making certifications for firm</div>

Title: President_____   Place: Seattle, Washington _____
<div style="padding-left:2em">Title of person signing certificate   Print city and state where signed</div>

Date: 2/21/2022_____