



Professional Services - Contract Task Order

The Contractor hereby agrees to perform the work detailed below in accordance with all the terms and conditions of the Contract referenced below. The Contractor shall furnish the necessary facilities, professional, technical and supporting personnel required by this Task Order as detailed below.

Contract No. S16083

Task Order No. 13

Contractor: RSM US LLP

SAP Requisition No. 2000187550
(Attach Purchase Requisition Form)

Description: Records Management Program Assessment

Term: Effective 04/07/17 and continue in effect through 09/30/17.
Date (Contract term cannot exceed 7 years without Board Approval)

Compensation: (check one) T&M CPFF FFP

Task Order Value:	FFP \$	44,000.00
	Travel	
	TOTAL: \$	44,000.00

(To be completed by Contracts Administrator)

Contract Value available to authorize this Task Order: \$ 1,777,000.00

Funding Information: (Check funding sources)

<input type="checkbox"/> Federal Funds:	<input type="checkbox"/> FTA/Transit	or	<input type="checkbox"/> FHWA/Highways	<input type="checkbox"/> State Funds
<input type="checkbox"/> Caltrans Local Assistance Program	<input type="checkbox"/> Measure A		<input type="checkbox"/> MBTIP Funds	
<input checked="" type="checkbox"/> Other:	<u>VTA local sales tax</u>			

COMPENSATION: For the complete and satisfactory performance of services under this Task Order, Contractor shall be paid in accordance with the compensation provisions in the Master Contract referenced above.

Scope of Services: (check one)

See details below of Scope

See attached Scope of Services

Key Personnel: List additional Personnel authorized to provide services under this Task Order. (check one)

See details below of Personnel (Name/Classification)

See attached List of Personnel (Name/Classification)

- Bill Eggert, Director and VTA Auditor General
- Corey Saunders, Risk Advisory Services Partner
- Lily Rogers, Risk Advisory Services Supervisor
- Pat Hagan, Consultant Subject Matter Expert
- Other VTA management-approved subject matter experts as required


SANTA CLARA Valley Transportation Authority
Professional Services - Contract Task Order

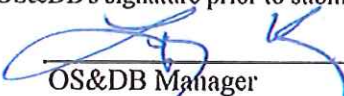
Subcontractors: List additional Subcontractors authorized to provide services under this Task Order. (check one)

- See details below of Subcontractors (Indicate SBE/DBE status)
- See attached List of Subcontractors (Indicate SBE/DBE status)

None.

Approvals: Group/Project Manager is required to obtain OS&DB's signature prior to submitting to Contracts.

OS&DB: SBE/DBE Goal _____ NSG % _____
(Specifically established for this Task Order)

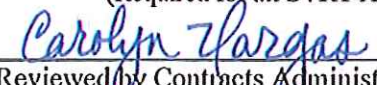

 _____ 5/16/17
 OS&DB Manager Date

Task Manager _____ Date _____


 _____ APR 7, 2017
 Group/Project Manager Date

Project Director or Division Chief _____ Date _____
(Required for all SVRT Agreements)

Capital Projects Group _____ Date _____


 _____ 4/28/17
 Reviewed by Contracts Administrator Date

Santa Clara Valley Transportation Authority

By: Trish Kane _____ 4/30/17
6DED946BF2414E6... Date

Contractor

By:  _____
50414A38847942F... Date

Name (print): Trish Kane
Title: Contracts Manager

Name (print): _____
Title: _____



Date: May 2, 2017
Topic: Auditor General Records Information Management Program Assessment - Planning Meeting

I. Introductions

Office of the Auditor General: Bill Eggert, Pat Hagan, and Lily Rogers

II. Audit Objectives

- Obtain an understanding of VTA's Records Information Management objectives, processes, controls, and related policies and procedures
- Assess the adequacy and effectiveness of policies, procedures, systems, and processes to manage records over the course of their lifecycle
- Assess compliance of VTA's Records Management practices with legal and regulatory requirements
- Identify opportunities for process improvements, enhancements, and controls

III. Proposed Scope and Key Risks

Examine and evaluate the policies, procedures, and controls in place for the following risk areas:

- Adequacy and effectiveness of existing policies and procedures
- Management responsibility and ownership of records
- Appropriate levels of records availability and security
- Staff awareness and adequacy of training
- Compliance with applicable policies, laws, and regulations
- Consideration for various data/information and media types
- Operational effectiveness of current retention methodologies
- Benchmarking of best practices and automation opportunities

IV. Planned Work Steps and Documents

- Planning meeting and preliminary documentation review (*AG to provide a Document Request List*)
- Kickoff meeting
- Walkthroughs and documentation of processes and key controls
- Testing of key controls (as applicable) and preparation of assessment results

V. Planned Audit Timeline

- Kickoff meeting and fieldwork start date: June 6, 2017
- Fieldwork closing date: June 30, 2017
- Report closing meeting: July 14, 2017
- Final report due to VTA: July 28, 2017
- G&A Committee meeting: September 7, 2017