



## **PROCUREMENT DIVISION**

Mecklenburg County Public Health Department

Groundwater and Wastewater Permitting and Monitoring Software

Request for Proposal

487-KB-HLT004032

July 31, 2023

*This Solicitation document is prepared in a Microsoft Word format. Any alterations to this document made by the Vendor may be grounds for rejection of proposal, cancellation of any subsequent award, or any other legal remedies available to Mecklenburg County.*



**Procurement Division**  
**700 East 4<sup>th</sup> Street, 4<sup>th</sup> Floor**  
**Charlotte, North Carolina 28202**

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July 31, 2023

This serves as official notice that Mecklenburg County located in Charlotte North Carolina through its Public Health Department, Environmental Health Division, is soliciting and will receive proposals for a Groundwater and Wastewater Permitting and Monitoring Software. Requirements are outlined in the following specifications. Please review them carefully.

A **Non-Mandatory** Pre-Proposal Conference for the purpose of reviewing the Solicitation will be held as noted in the Schedule of Events. You may access the conference via phone or Teams.

[Click here to join the meeting](#)

Meeting ID: 297 782 946 266

Passcode: JHN4u4

[Download Teams](#) | [Join on the web](#)

**Or call in (audio only)**

[+1 704-672-5181,,844031364#](#) United States, Charlotte

Phone Conference ID: 844 031 364#

[Find a local number](#) | [Reset PIN](#)

Questions regarding the Solicitation must be submitted by the date noted in the Schedule of Events.

- Email to [Meckbids@mecklenburgcountync.gov](mailto:Meckbids@mecklenburgcountync.gov).
- In the Subject Line include:
  - Attention: Groundwater and Wastewater Permitting and Monitoring Software - 487-KB-HLT004030
  - Karl Beil, Procurement Analyst

Proposals are to be submitted **electronically** in [MECKProcure](#) on the date notated in the Schedule of Events. Use the Checklist on the following page as a guide in preparing and submitting your response to the Solicitation.

- **NIGP Code:** 20946: Expert System Software
- **NIGP Code:** 92064: System Implementation and Engineering Services
- **NIGP Code:** 92045: Software Maintenance/Support
- **NIGP Code:** 20882: Scientific, Statistical, Engineering, Mathematical, and Mapp software

To submit a response to the Solicitation, vendors must create a profile in [MECKProcure](#). For more information on vendor registration and how to submit a response, please visit the Vendor Resources Site [here](#).

Technical support to assist with vendor registration or submission of your proposal/bid response will be available up until the proposal/bid due date in the Schedule of Events. Please be advised, any request for assistance made after 1:00pm (EST) on the proposal/bid due date may not result in a successful bid submission.

- Contact for Technical Support:
  - Email: [vendor.management@mecklenburgcountync.gov](mailto:vendor.management@mecklenburgcountync.gov)
  - Division Telephone: 980-314-2400

All changes to the terms, conditions or specifications stated in this Solicitation will be documented in a written addendum, issued by the Procurement Analyst. The Addenda will be posted in [MECKProcure](#), and may be accessed at this website by searching the Solicitation Number.

Sincerely,  
Karl Beil  
Procurement Analyst

## Checklist for Submitting A Proposal:

**Instructions:** This Checklist is to provide guidance in submitting a response to the Solicitation. The checklist must be followed. The County may consider proposals non-responsive for any items or deadlines not met as listed below.

1. Read the document fully.
2. Submit **Form A. BID/Solicitation Participation Acknowledgement** to [Meckbids@mecklenburgcountync.gov](mailto:Meckbids@mecklenburgcountync.gov).
3. Refer to this **Schedule of Events** for dates, times and locations specific to the Solicitation.

DATE	Time (EST)	LOCATION/Submittal Requirement	EVENT
7/31/2023	N/A	<a href="#">MECKProcure</a>	Issue Solicitation Notice
8/7/2023	Before 2:00pm	<a href="mailto:Meckbids@mecklenburgcountync.gov">Meckbids@mecklenburgcountync.gov</a>	Form A. BID/Solicitation Participation Acknowledgement Forms Due
8/14/2023	2:00pm	<a href="#">Click here to join the meeting</a> Meeting ID: 297 782 946 266 Passcode: JHN4u4 <a href="#">Download Teams</a>   <a href="#">Join on the web</a> <b>Or call in (audio only)</b> <a href="tel:+17046725181">+1 704-672-5181</a> , 844031364# United States, Charlotte Phone Conference ID: 844 031 364# <a href="#">Find a local number</a>   <a href="#">Reset PIN</a>	Non-Mandatory Pre-Proposal Conference  County's current system will be demonstrated
8/21/2023	Before 2:00pm	<a href="mailto:Meckbids@mecklenburgcountync.gov">Meckbids@mecklenburgcountync.gov</a>	Questions Due
8/28/2023	Before 2:00pm	<a href="#">MECKProcure</a>	Post County Response to Vendor Questions
8/9/2023 8/23/2023	2:00pm	<a href="#">Vendor Registration Form for Training</a>	Vendor Registration and Submittal Training Register and choose a date
9/14/2023	Before 2:00pm	All proposals shall be submitted online via <a href="#">MECKProcure</a>	Proposals Due
10/5/2023	8:00am to 5:00pm	Zoom invite will be sent to invited vendors	Demonstrations
11/27/2023	N/A	N/A	Contract Start Date

**Note:** Mecklenburg County reserves the right to adjust this schedule as it deems necessary.

4. **Proposal Format** - The following items must be submitted in the following order at the time of proposal submission. Vendors are encouraged to check off each item as the required action is completed:
  - ☐ Section 3.1 - Letter of Transmittal
  - ☐ Section 3.2 - Executive Summary
  - ☐ Section 3.3 - Statement of Work
  - ☐ Section 3.4 - Insurance
  - ☐ Section 3.5 - Permits and/or Licenses, if applicable
  - ☐ Section 3.6 - Audited Financial Statement, if applicable
  - ☐ Form B, Pricing Worksheet
  - ☐ Form C, Contract Exceptions Form
  - ☐ Form D, Addenda Receipt Confirmation
  - ☐ Form E, Business Diversity & Inclusion (BDI) Program Provisions Guide and Formal Documents
  - ☐ Form F, Vendor Company Information - Background and Experience Form
  - ☐ Form G, Vendor Reference
  - ☐ Attachment A – Groundwater and Wastewater Vendor Questions

## **1. Introduction**

### **1.1. Objective**

Mecklenburg County, located in the State of North Carolina, is seeking Bids/Proposals from qualified vendors to provide a Groundwater and Wastewater Permitting and Monitoring software system for submitting and monitoring the work related to permitting and inspection of well and septic systems. Mecklenburg County will be entertaining proposals for Cloud (SaaS) solutions as well as On-Premises solutions. Mecklenburg County prefers that bidders submit proposals for both so an informed decision can be made as to the best solution for the County's needs and budget.

Award of a Contract will be made to one (1) vendor on a competitive basis following the process, terms and conditions as described in this Solicitation.

Contract will be for a term of five (5) years, with option to renew for a minimum of one (1) additional consecutive five (5) year term thereafter unless earlier terminated pursuant to the terms and conditions of the Contract. Mecklenburg County reserves the right to negotiate a longer or shorter term, based on the responses to this RFP.

Vendors shall provide pricing based on the requirements. The proposed cost shall remain in effect for the duration of the Contract which includes the initial term and one (1) additional five (5) year term.

### **1.2. Mecklenburg County Rights and Options**

- County may in its discretion require one or more vendors to make presentations to the evaluation team or appear before management and/or its representatives for an interview.
- During such interview, the vendors may be required to orally and otherwise present its proposal and to respond in detail to any questions posed. Additional meetings may be held to clarify issues or to address comments, as deemed appropriate.
- Vendors will be notified in advance of the time and format of such meetings. Since Mecklenburg County may choose to award a Contract without engaging in discussions or negotiations, the proposals submitted shall define the vendors best offer for performing the services described in this Solicitation.
- The commencement of such discussions, however, does not signify a commitment by County to execute a Contract or to continue discussions. County may terminate discussions at any time and for any reason.
- County will decide which proposal best meets the criteria outlined in the Solicitation.
- County reserves the right to waive any minor informalities or irregularities, which do not go to the heart of the proposal or prejudice other offers, or to reject, for good and compelling reasons, any and all proposals submitted.
- Should vendors find discrepancies or omissions in this Solicitation or any other documents provided by Mecklenburg County, the vendors should immediately notify the County of such potential discrepancy in writing via email as noted above, and a written addendum will be made available, if the County determines clarification necessary.
- Vendors are encouraged to make a good faith effort to include environmental considerations supporting waste reduction, recycling and buy-recycled products supporting markets for recycled and other environmentally preferable products whenever practical.
- County has [Solicitation Terms & Conditions](#) posted on the internet site which speaks to non-discrimination and equal opportunity. The County seeks to ensure that all segments of the business community have access to supplying the goods and services needed by County programs. The County affirmatively works to encourage utilization of minority business enterprise in procurement activities and provides equal opportunity for all businesses and does not discriminate against any vendor regardless of race, color, religion, age, sex, and national origin or disability.
- County reserves the right to reject any and/or all proposals in connection with this project, and to waive formalities in the proposal during any step of the procurement or awarding process (even after negotiations have begun).

- Final award of Contract is contingent upon availability of funds from Federal, State and/or local governing bodies.

## 2. Solicitation Process

### 2.1. Pre-Proposal Conference

- A **Non-Mandatory** Pre-Proposal Conference will be conducted according to the **Schedule of Events**. While attendance at the Pre-Proposal Conference is not mandatory, all interested vendors are encouraged to attend.
- If special accommodations are required for attendance, please notify the County representative indicated herein in advance of the date and time above and identify the special accommodation(s) required.

### 2.2. Submission of Responses

- Responses must be submitted electronically via [www.meckprocure.com](http://www.meckprocure.com).
- Responses sent by fax, email or flash drive will not be accepted.

### 2.3. Proposal Opening

- As required by North Carolina General Statute 143 – 131 according to type of Solicitation:
  - Procurement staff will open the proposals received after the Due Date.
  - Proposals will not be read aloud or made available to inspect or copy until any trade secret issues/proprietary and/or confidential information has been resolved and a Contract has been awarded.
  - Public Bid Opening required for Federally funded projects.

### 2.4. Evaluation

The standard of award will be based on the most comprehensive, competitive and best value solution for the County based on 100-point scale for the following criteria/weights, the County reserves the right to modify the evaluation criteria or waive portions thereof:

- **Qualifications, Experience and Approach. 50%**
  - Vendors will be evaluated based upon their understanding, experience and qualifications in performing the same or substantially similar services, as reflected by its experience in performing such services and approach for the provision of the Services.
- **Cost Effectiveness and Value. 25%**
  - Under this criterion, proposals will be compared in terms of the most reasonable, and or most effective pricing options.
- **Minority Business Enterprise (MBE) and Women Business Enterprise (WBE) Project Goals. 15%**
  - Under this criterion, proposals will be compared in terms of supplies and/or services to be provided by MBE and WBE Subcontractors for the contract to meet the project's Participation Goal Type referenced on Form E. Business Diversity & Inclusion (BDI) Program Provisions Guide and Formal Documents – Solicitation Cover Sheet.
- **Acceptance of the Terms of the Contract. 10%**
  - The County will evaluate the proposals for compliance with the terms, conditions, requirements, and specifications stated in this Solicitation including the Sample County Contract referenced in Section 2.5 Contract listed below, and the Information Technology Contract Provisions in Attachment B. Vendors shall provide pricing based on the requirements and terms set forth herein.
- **Interviews.**
  - Interviews may be conducted with vendors at the sole discretion of the County. Any costs associated with interviews is the sole responsibility of the vendor.

### 2.5. Contract Exceptions

- Should there be exceptions to the Contract, list them in **Form C. Contract Exception**.
- Please refer to the Sample County Contract marked below specific to this Solicitation.
  - ☒ [\(Sample Contract\) IT Purchase of Service](#)
  - ☒ [\(Sample Contract\) HHS Purchase of Service](#)
  - ☒ Attachment A IT Required Provisions
    - If your legal counsel needs to review the Sample County Contract for potential issues, the review must be completed prior to submitting a proposal.

### 3. Proposal Content and Format

#### 3.1. Letter of Transmittal

The proposal must include a cover letter of transmittal attesting to its accuracy, signed by an individual authorized to execute binding legal documents on behalf of the vendor.

- The cover letter shall provide the name, address, telephone and facsimile numbers of the vendor along with the name, title, address, telephone and facsimile numbers of the executive that has the authority to Contract with County.
- Each vendor shall make the following representations and warranty in the cover letter, the falsity of which might result in rejection of its proposal: **“The information contained in this proposal or any part thereof, including any exhibits, schedules, and other documents and instruments delivered or to be delivered to County, is true, accurate, and complete. This proposal includes all information necessary to ensure that the statements therein do not in whole or in part mislead County as to any material facts.”**
- The cover letter must include any trade secret issues/proprietary and/or confidential information.

#### 3.2. Executive Summary

A summary describing the vendor’s understanding of the County’s requirements/specifications and the proposed solution.

- A proposed total cost for the project.
- A brief summary of the proposed total cost.
- A summary of the approach to be undertaken to perform the services.
- Highlights any superior or unique aspects of the proposal.
- If applicable, identification of the proposed project team (including responsibilities).
- If you wish to add supplemental information, please be sure the additional attachment(s) is labeled “Supplemental Information.”

#### 3.3. Statement of Work

Vendors must submit a Statement of Work to demonstrate competency in performing services as defined in this Solicitation and the Scope of Work.

- Content:
  - Include detailed description of the services to be completed along with sufficient information for the County to determine if the vendor meets each requirement outlined in the Scope of Work.
  - Answer all questions in Attachment A – Groundwater and Wastewater Vendor Questions
- Format for submission:
  - File size - not to exceed 2MB
  - Single-spaced pages
  - One-inch margins
  - Font - Times New Roman, size 12

#### 3.4. Pricing

- Pricing will include all aspects of the project.
- Pricing will include travel at the [IRS Per Diem](#) rates for Charlotte NC.
- Any costs incurred in the process of preparing and/or submitting a proposal shall be borne by the proposer.

#### 3.5. Insurance

- Evidence of adequate insurance or ability to obtain insurance must be include in the bid/response.
- Provide one of the following documents for the required insurance minimums marked below:
  - A Certificate of Insurance.
  - A signed and dated letter from your insurance provider on their company letterhead stating your ability to obtain coverage.
  - Mecklenburg County must be listed as Certificate Holder on the accord.
    - ☒ **Commercial General Liability**
      - Minimum \$1,000,000
      - Mecklenburg County must be listed as additionally insured.
    - ☐ **Automobile Liability**
      - Minimum \$1,000,000
    - ☒ **Professional Errors & Omissions**

- Minimum \$1,000,000

☒ **Network Security & Privacy Liability**

- Minimum \$1,000,000/\$3,000,000 Aggregate

☒ **Worker's Compensation and Vendors Liability**

- State of North Carolina statutory requirements
- If less than three (3) employees (including the owner(s), provide signed statement on business letterhead that Worker's Compensation not required and state the number of full-time and part-time employees including owner(s)

☐ **Fidelity Bond**

- Minimum \$500,000

☐ **Sexual Abuse and Molestation**

- Minimum \$1,000,000

### 3.6. Permits and/or Licenses

Must procure all necessary permits and licenses and abide by all applicable laws, regulations and ordinances of all Federal, State, and local governments in which work under any resulting Contract is performed.

### 3.7. Audited Financial Statement

- Audited Financial Statement must meet the definition as outlined in the Audited Financial Statement Requirements as stated in [Attachment D](#).
- Must be prepared by an independent Certified Public Accountant.
- The year-end date for the financial statement must be within the past twelve (12) months.
- Submit Audited Financial Statement along with proposal response.
- If Audited Financial Statement is not submitted with proposal response:
  - Your CPA must submit a letter stating the Audited Financial Statement will be finalized and submitted within thirty (30) calendar days after the Proposal due date as identified on the **Schedule of Events**.
  - Letter must be signed and on CPA letterhead.
- The Audited Financial Statement and all correspondence related to the requirement must be sent to [Veronica.Uche@mecklenburgcountync.gov](mailto:Veronica.Uche@mecklenburgcountync.gov).
  - Do not upload in MECKProcure.

## 4. Digital Accessibility Compliance

Mecklenburg County has a Digital Accessibility Policy related to all public-facing digital communications initiatives. The policy supports Mecklenburg County's goal of providing equal access to all members of the public and complying with all applicable digital accessibility laws. Mecklenburg County has obligations under laws including (but not limited to): The Americans with Disabilities Act of 1990 (or "ADA", 28 CFR Parts 35 and 36), Section 508 of the Rehabilitation Act of 1973 (or "Section 508", 36 CFR 1194).

This policy should be used when procuring third-party products, components or services related to the "public-facing digital communications" that are considered to be in scope for accessibility compliance and defined as:

- **Mobile Websites and Applications:** Mobile optimized websites and native applications (e.g. iOS®, Android®) that can be used by the public to interact with any services offered by Mecklenburg County.
- **Websites & Social Media:** Websites and digital content (HTML or non-HTML) that can be accessed by the public via internet browser or social media platform (e.g. Facebook, etc.).
- **Other Public Facing Websites:** Other Mecklenburg County public-facing sites such as: E-Parks, EastwayRec.com, and other department websites.
- **Any other digital communications** effort towards public recipients.

To ensure compliance with this policy, a [Voluntary Product Accessibility Template \(VPAT\)](#) must be submitted to Public Information's Web Services Manager prior to any product public implementations.



## 5. Vendor Support

### 5.1. Vendor Registration and Training

Must be completed prior to response submission but is not required to access the Solicitation documents.

- See [www.meckprocure.com](http://www.meckprocure.com) to:
  - Register as a vendor, click on Register located on the left side of the page.
  - To access bid documents, click on Public Access located on the left side of the page.
- Training regarding Vendor Registration and Electronic Bid Submission will be provided by the Vendor Management Program Office. The training will assist with registration and electronic bid submission.
  - To participate in the training, you must [Register for training](#).
  - Confirmation of the scheduled training along with details will be forwarded to the registrant.

### 5.2. National Institute of Governmental Purchasing Codes (NIGP)

- NIGP Code is a universal taxonomy for identifying commodities and services in procurement systems.
- Define the code for the requested good/service.

## 6. Scope of Work

### 6.1. Project Objective

Mecklenburg County is seeking a Groundwater and Wastewater Permitting and Monitoring software system for submitting and monitoring the work related to permitting and inspection of well and septic systems.

Mecklenburg County will be entertaining proposals for Cloud (SaaS) solutions as well as On-Premises solutions. Mecklenburg County prefers that bidders submit both so the County can make an informed decision as to what is best for the County's needs and budget.

### 6.2. Project Overview

Mecklenburg County's Environmental Health Groundwater and Wastewater Services (GWS) protects the public's health by protecting the county's groundwater resources. GWS permits and inspects private wells (potable and irrigation), and onsite wastewater treatment and disposal systems. In addition, GWS permits and inspects monitoring wells and investigates groundwater contamination incidents. Software applications used to submit and monitor this work are the Well and Septic Permitting Systems (WASPS) and Monitoring Well & Subsurface Investigation Permitting System (MAPS).

Below is a table illustrating the volume of GWS work between July 2021 and July 2022.

Activity Group	Activity Description	Activity Count
A. Septic System	Authorizations - Existing System Reuse other than in MHP *	155
A. Septic System	Authorizations - Mobile Home Parks *	2
A. Septic System	Authorizations for System Reuse - Denied *	15
A. Septic System	Construction Authorization (ALL) per S.L. 2018-114	20
A. Septic System	Construction Authorizations - Expansion	6
A. Septic System	Construction Authorizations - New, Revision, or Relocation	92
A. Septic System	Improvement Permit (ALL) per S.L. 2018-114 (LHD PERMIT PER LSS SUBMISSION)	21
A. Septic System	Improvement Permits Denied (Documented)	6
A. Septic System	Improvement Permits Issued	179
A. Septic System	Improvement Permits Issued - Expansion of Existing System (Valid 60 mos)	25
A. Septic System	Improvement Permits Issued - New or Revision w/ Site Plan (Valid 60 mos)	154
A. Septic System	Improvement Permits Issued - Relocation w/ Site Plan (Valid 60 mos)	25
A. Septic System	Installation Approvals Issued	110
A. Septic System	New System Applications Processed	201
A. Septic System	Notice of Violation Resolved	34



A. Septic System	Notices of Violation Issued	27
A. Septic System	Operation Permit Issued, per S.L. 2018-144	10
A. Septic System	Operation Permits Issued	109
A. Septic System	Repair Installations Completed	41
A. Septic System	Sewage Complaints Investigated	44
A. Septic System	Site Visits (Includes all OSWW field activities not included below*)	271
A. Septic System	Sites Evaluated (includes sites evaluated or re-evaluated for any purpose)	160
A. Septic System	System Alterations Completed	14
B. Wells	ARGU Reviews Denied	5
B. Wells	Grouting Inspection	65
B. Wells	Health Risk Evaluation	146
B. Wells	Inspection of Existing System for Pool Installation Approval	71
B. Wells	Investigations Completed	48
B. Wells	New Well Applications Processed	133
B. Wells	New Well Approvals - Completed	23
B. Wells	New Well Kit	24
B. Wells	New Well Permits Denied	9
B. Wells	Other Sample Collected	46
B. Wells	Water Supply Meeting Construction Standards	90
B. Wells	Water Supply Not Meeting Construction Standards	29
B. Wells	Well Abandonment Applications Processed	159
B. Wells	Well Abandonment Observed	71
B. Wells	Well Abandonment Permit Issued	158
B. Wells	Well Abandonments - Completed	58
B. Wells	Well Certificate of Completion Issued - New	24
B. Wells	Well Certificate of Completion Issued- Repair	1
B. Wells	Well Complaint Investigation	1
B. Wells	Well Construction Permit Issued- New	121
B. Wells	Well Construction Permit Issued- Repair	9
B. Wells	Well Head Inspection	34
B. Wells	Well Site Evaluated	61
C. MPL	New MPL Sites Added	55
D. SIPS	Monitoring Well Registrations	365
D. SIPS	Subsurface Investigation Permits Issued	158
D. SIPS	Monitoring Wells Abandoned	140

GWS has communicated several pain points justifying a need to replace their current applications. Some of the notable issues include:

- Lack of a public facing online portal that provides:
  - Ability to submit a permit application
  - Ability to receive the status/update of a submitted application via search feature
  - Ability to retrieve documents like permits and letters of approval via search feature
  - Ability to submit online payments for more than one service.
- Inability to utilize the software outside of the network and allow for real-time documentation.

The selected vendor's solution must be able to meet GWS's unique requirements through either out-of-the box functionality or a combination of standard functionality with system configuration or customization. The solution must also be able to integrate with other systems including but not limited to: Cityworks, ArcGIS, OnBase, POLARIS, Well Information System, and Forte.

## 6.2 Accessibility

GWS seeks to modernize the permit application and payment process using latest industry best practices while complying with Web Content Accessibility Guidance 2.1 (WCAG2.1)

- Link to WCAG guidance:  
<https://www.w3.org/TR/WCAG21/#:~:text=WCAG%202.1%20was%20initiated%20with,with%20disabilities%20on%20mobile%20devices>
- The solution must provide tools to check for WCAG 2.1 compliance.
- The solution must provide WCAG 2.1 compliant components to display to end users.
- The solution must be available 24/7, outside of scheduled maintenance occurrences.
- Vendor will submit Voluntary Product Accessibility Template (VPAT) or documentation that provides evidence of ADA testing and component remediation to comply with WCAG success criteria.

## 6.3 Technology, Security, and Compliance

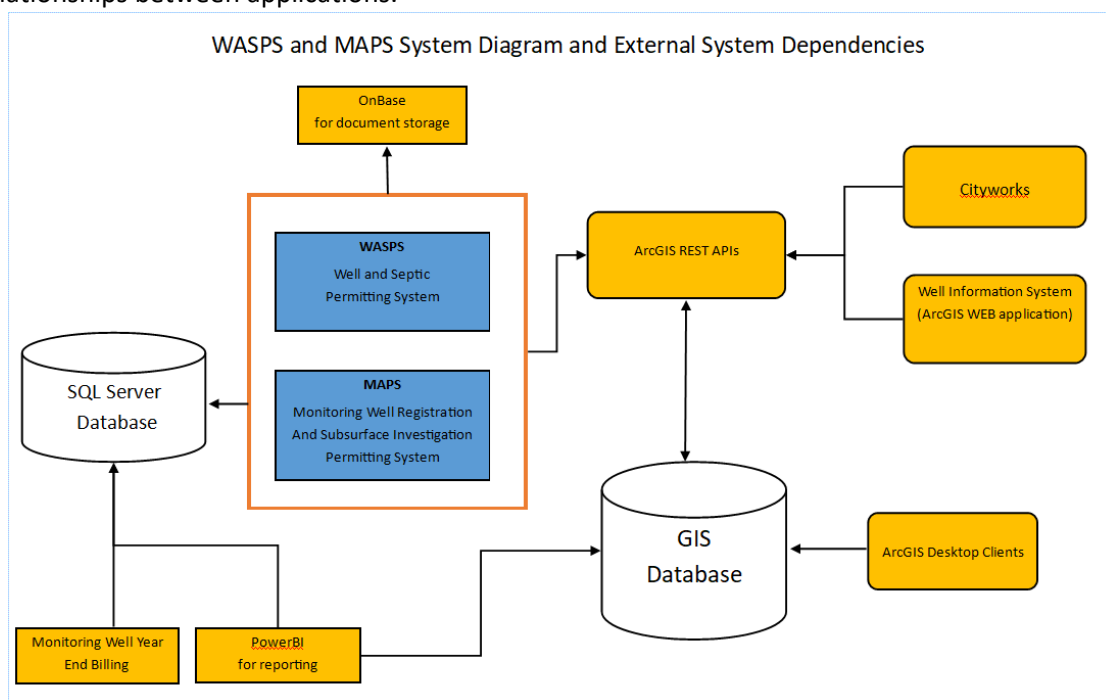
Please refer to **Attachment C – HHS/PH-Environmental Health WASPS and MAPS Replacement Business Requirements** for a full and detailed listing of needed solution requirements. The subsections here only contain brief highlights of some of the major requirements.

Please refer to the Vendor Questions document for the detailed County IT Security & Compliance aspects.

- The solution must be based in a secure environment.
- The solution must provide daily backups.
- The solution must be up to date with software install/patches.
- The vendor must provide a disaster recovery plan.
- The solution must provide a single sign-on experience.
- The solution must be compatible with all current platforms/browsers.
- The solution must be accessible on mobile devices for field workers.

### 6.3.1 Integration

The system diagram below depicts the applications currently used by GWS and shows the interface relationships between applications.



### **.3.2 Online Portal (Creation & Submit Applications, Make Payments)**

The solution must provide the ability for applications to be submitted by GWS customers through an online portal or manually entered into the system by administrative staff and allow multiple payment methods.

The applications/requests include:

- Well Application – New, Abandonment, Repair, Use an Existing Well
- Septic Applications – New, Modified Plot Plan, Alteration, Repair, Use an Existing Septic
- Use an Existing Septic and Well
- Test my Well
- New SIP
- Renew SIP
- Update SIP
- Register Monitoring Wells
- Abandon Monitoring Wells

### **6.3.3 Workflow Management System**

The solution must provide roles and permission management. The different roles include.

1. GWS Customers
2. GWS Administrative Support Staff
3. Environmental Specialists
4. Soil Scientists
5. Hydrogeologists
6. Data Analysts
7. System Administrators
8. Mecklenburg County IT
9. Mecklenburg County Finance
10. GWS Program Manager
11. GWS Supervisors

The solution must be able to incorporate a variety of worklists based on territory and project type assignment. GWS staff must be able to keep track of incomplete projects. New work must not be mixed with completed projects. Each type of application has a unique workflow which determines who it is assigned to. The worklists include:

- New Application Review
- Soil Evaluations for New Septic
- Septic Permit Review – based on territory
- Well Permit Review – based on territory
- Area of regulated groundwater usage (ARGU) Well Permit Review – based on territory
- Well Inspection – worklist after well permit review is complete, based on territory.
  - Not Grouted
  - Not Sampled
  - Sampled
  - Abandonment Approval Not Granted (for Abandonment Well Applications only)
- Use existing review
- Inactive Projects
- New SIP Request – based on territory
- Update SIP Request - based on territory
- Renew SIP Request – based on territory
- Monitoring Well Abandonment – based on territory
- Test my Well – based on territory

### **6.3.4 System Administration and Vendor Support**

GWS must be able to independently manage the administration and configuration of the system once it is implemented so that ongoing changes in system configuration necessitated by new reporting requirements or other needs can be implemented without vendor assistance. Solutions for on-going software maintenance, upgrades, application code fixes and such must require vendor support.

### **6.3.5 Reporting/Analytics Functionality**

- The solution must allow for Power BI integration.
- The solution must allow for data lake integration.
- The solution must provide a secure connection to the data in real-time.
- The solution must provide secure access to the data for reporting and analysis purposes either through an API or other form of direct access.
- The solution must provide the data in a format that is currently supported by Mecklenburg County.
- The solution must provide secure data access with a 99.9% uptime availability.

### **6.4 Deliverables (service levels, reporting, milestones, etc.)**

- Vendor must adhere to a service-level agreement (SLA) defined by Mecklenburg County.
- Vendor must provide supporting documents as requested by Mecklenburg County - Environmental Health.
- Vendor must participate in Weekly Status Calls with Mecklenburg County.
- Vendor must collaborate and agree on a Milestone Payment Structure with Mecklenburg County.

### **6.5 Vendor Qualifications**

Vendors must demonstrate that they have the necessary resources, experience, and capability to provide the solutions and services as described herein. Vendors shall demonstrate experience in providing similar systems and the services being requested via their proposal and with the references listed in Form G Vendor References Form. All reference shall be entities with similar size and scope to that of Mecklenburg County GWS, as described herein.

### **6.6 Project Management**

The vendor will be required to provide project management services for the full duration of the implementation project. As part of project management services, the vendor will be expected to assign a project manager who will collaborate with the Mecklenburg County Enterprise Project Management Office (EPMO) assigned Project Manager (County PM) to develop and provide a comprehensive Project Management Plan (PMP) deliverable during the project initiation phase that includes project schedule, a communication plan, and details the methodology and approach used by the vendor to manage the project. It is expected that the vendor project manager will collaborate with the County PM schedule and facilitate status meetings with the project team, steering committee and other stakeholders as needed.

### **6.7 Workflow Analysis, Configuration, and Implementation Methodology**

The vendor will be expected to manage and facilitate the activities required to complete all aspects of the new system configuration and implementation process. As part of that effort, the vendor will be expected to work with GWS staff to analyze the existing custom-built system, analyze current workflows and configure the system, as appropriate, to meet GWS and County requirements.

### **6.8 Testing**

- The solution must provide several environments (development, testing, and production).
- The vendor will be expected to provide a Testing Plan and help facilitate all testing activities for the implementation project. The Testing Plan should detail strategies for system testing, including the

development of test script scenarios, testing of interfaces in scope, strategies for regression testing after updates and break/fixes are addressed, and the process for GWS sign-off on testing completion.

## **6.9 Training**

The selected vendor shall provide, at a minimum, the necessary training for system administrators, GWS trainers, and selected super users (i.e., a “train the trainer” approach). Such training must ensure the following:

- GWS system administrators can undertake ongoing system configuration, customization, local maintenance of the software; troubleshooting and resolving routine end user issues; and escalating complex issues to vendor support.
- GWS trainers and subject matter experts receive appropriate training, knowledge transfer, and system documentation to provide effective end user training to the GWS workforce.

## **6.10 Project Staffing**

In addition to a Project Manager, the vendor will be expected to provide qualified staff to perform the activities and implement a viable solution as described in this solicitation. In addition, the vendor will be expected to advise GWS on the number and roles of County staff needed to serve on the core project team and in various stages of the project.

## **6.11 Data Migration and Conversion**

As part of system implementation, the vendor shall assist GWS in the migration and conversion of electronic data from legacy systems to the new GWS solution. The awarded vendor must work with GWS to develop a Data Migration and Conversion Plan that describes how legacy data will be migrated to the proposed system (e.g., through software conversion aids/utility programs or special programs that must be written, actual conversion procedures, etc.). The vendor shall be responsible for overall data conversion coordination including testing, definition of file layouts, and defining steps for data import and validation that the legacy data made it fully and accurately into the new system. New system should include a method for extracting complete sets of data for importation into a relational database system (i.e. flat text file). Furthermore, Mecklenburg County maintains ownership of all data generated.

## **6.12 System Maintenance and Support**

The vendor will be expected to provide ongoing maintenance and support for all aspects of the system. Maintenance and support shall also be provided for any contractual customizations, interfaces, and integrations with third-party applications required to support the system.

- The Vendor shall provide updates and modifications as needed to conform to State and Federal legislation and policy.
- The Vendor shall provide maintenance through pre-planned releases to support technology updates, application upgrades, bug fixes, and security patches. The vendor will support GWS in making changes to existing functionality and features necessary to continue proper system operation, which includes routine maintenance, root cause analysis, applying change requirements, software upgrades, business need changes, rules changes, system enhancements, and corrective maintenance as appropriate.
- In addition to the maintenance and support requirements outlined above, the vendor will be expected to advise the County through release documentation notes regarding the addition of new functionality and features to the system.

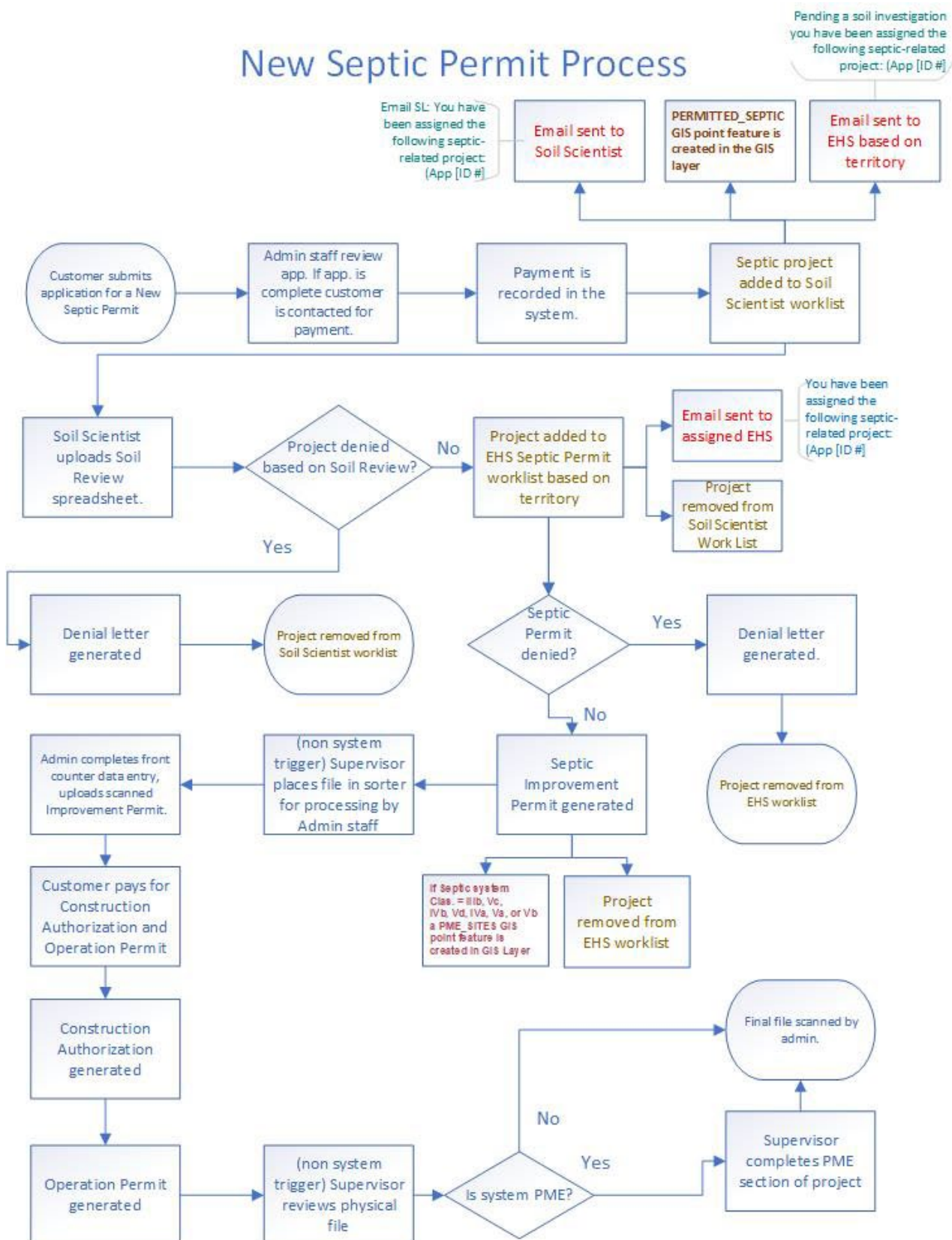
## **6.13 Help Desk Support**

The vendor will be expected to provide a support structure for issues that can occur during the post go-live maintenance period as well as ongoing support as long as the system is in use.

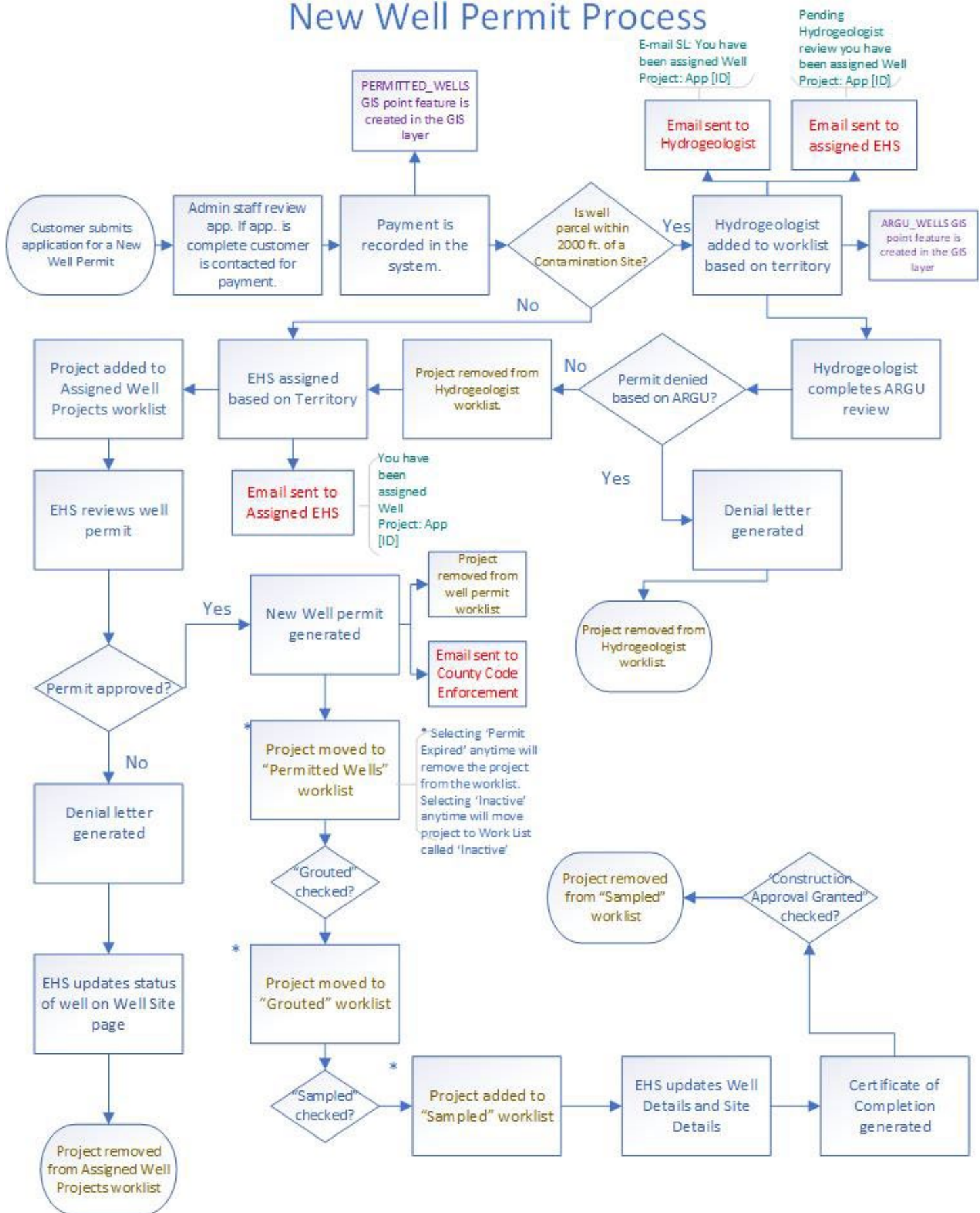
There must be an established means to communicate with the vendor on issues resulting from upgrades/fixes applied to the solution and a means to facilitate an issue resolution.

#### 6.14 Additional Documents

The following diagrams are desired workflows of the most common permits generated in GWS. Also included are the desired worklist headers. Please note that the following diagrams do not represent the complete list of workflows that will need to be implemented. The County will work with the awarded vendor to complete any additional needed workflow diagrams.

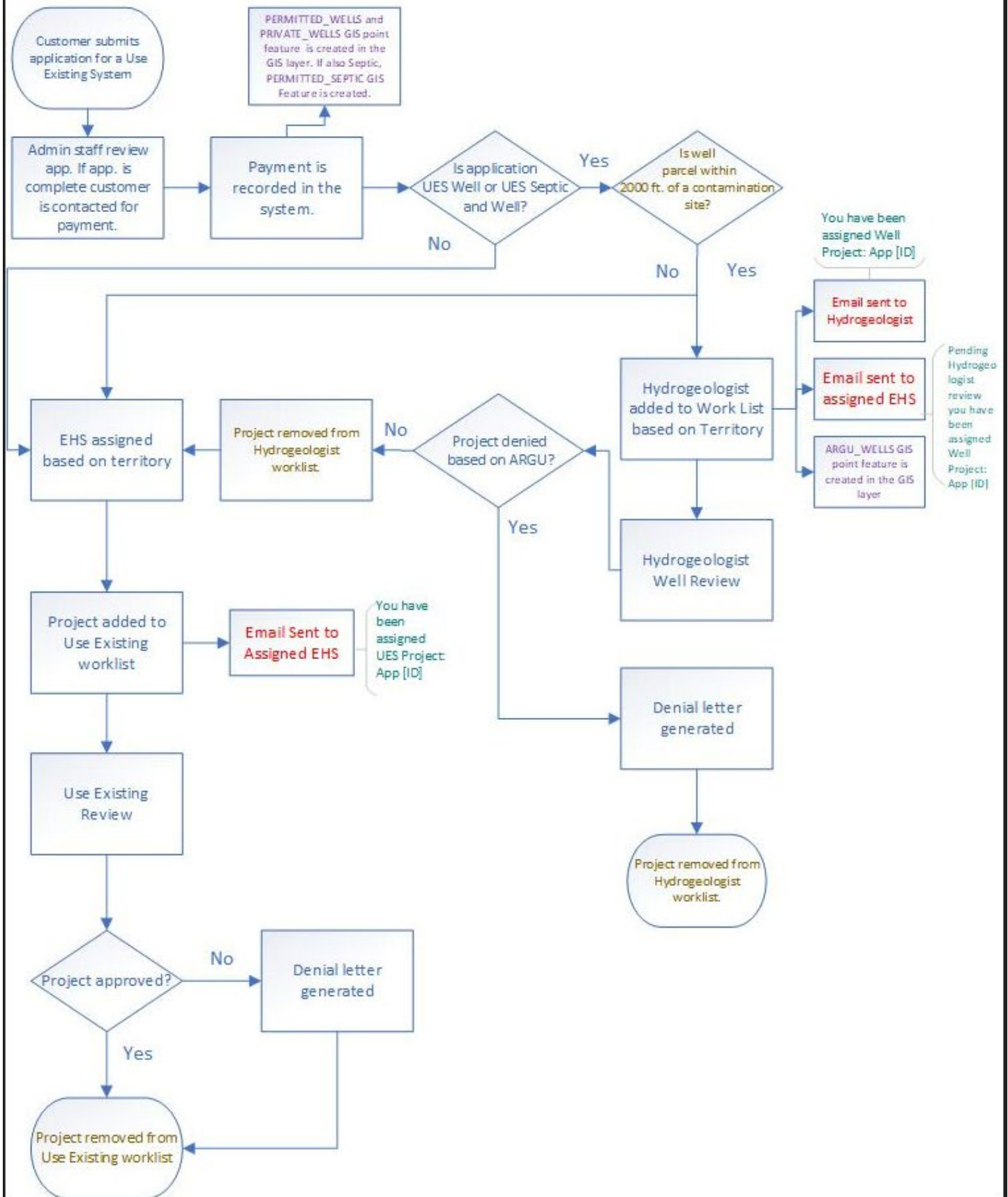


# New Well Permit Process





## Use Existing System Approval Process



## Worklist Headers:

### Septic:

#### Assigned Septic Projects:

	Subdivision	AppID	File_#	Site_Street_Address	Lot_#	Tax_Parcel_ID	PropertyType	SepticPermitType	DateAssigned	Site_Eval	IP_Issued	IPIssueDate
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#### Assigned Soil Evaluation Projects:

	Inspector	AppID	File_#	Site_Street_Address	Tax_Parcel_ID	DateAssigned
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### Wells:

#### Assigned Well Projects:

	Inspector	App_ID	File_#	Site_Street_Address	Parcel_ID__	PropType	Septic	WellPermit	DateSubmitted	ARGU?	Permitted	Sampled	Status
Select	Bumback	43308	43308		467-234-03	Residential	None	NEW	3/15/2022	N	Ready		Active

#### Assigned Inspections:

##### Not Sampled or Grouted

	Inspector	App_ID	File_Num	Well_Site_Address	Parcel_ID__	PropType	Permit_#	WellPermit	DateSubmitted	DateAssigned	Grouted	Sampled	Status
Select	Bumback	43308	43308	8545 STRYKER ST	467-234-03	Residential	40043308	ABANDONMENT	7/20/2022	7/20/2022	N	N	Active

##### Grouted

	Inspector	App_ID	File_Num	Well_Site_Address	Parcel_ID__	PropType	Permit_#	WellPermit	DateSubmitted	DateAssigned	Grouted	Sampled	Status
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##### Sampled

	Inspector	App_ID	File_Num	Well_Site_Address	Parcel_ID__	PropType	Permit_#	WellPermit	DateSubmitted	DateAssigned	Grouted	Sampled	Status
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##### Inactive

	Inspector	App_ID	File_Num	Well_Site_Address	Parcel_ID__	PropType	Permit_#	WellPermit	DateSubmitted	DateAssigned	Grouted	Sampled	Status
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#### Assigned ARGU Projects:

	Inspector	App_ID	File_#	Site_Address	Parcel_ID__	PropType	Septic	WellPermit	DateAssigned	ARGU?
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## Attachment A – Groundwater and Wastewater Vendor Questions

Please note that Mecklenburg County is requesting bidders to submit a Cloud solution and an On-Premises solution. If a particular question doesn't apply to one or the other, please signify, in your answers, which solution it does apply to and which solution it doesn't apply to. If a question doesn't apply at all to either of your solutions, please answer with "NA".

### Technology, Security, and Compliance

- a) Describe and/or depict the solution's technical architecture, including operating systems and database management systems.
- b) Describe any equipment, products, or services required or recommended to enable your proposed solution or complement your solution.
- c) For Cloud solutions, the County requires that all vendor data centers be housed within the United States, more specifically within the continental 48 states. Please describe the locations of your data centers and the processes and procedures in place to ensure system redundancy and high availability

#### IDENTITY MANAGEMENT CAPABILITIES

Does your application support role-based access administration?

Does the solution support federated identity management (Single sign on) using WS-Federation, SAML, OAUTH and/or OpenID?

If the answer to 1.15.2 is 'No', then do you support Integrated Multifactor authentication?

Do you have password compliance policy to secure the application?

Do you have federated identity management (Single Sign On) for APIs, Web services and mobile devices?

Does the solution support Azure AD as an identity Provider?

#### STORAGE MANAGEMENT CAPABILITIES

Mecklenburg County requires all data reside in the US. Please list location of all data centers.

Mecklenburg County requires all access to data is by US based resources.

#### SECURITY CAPABILITIES

**Are you storing sensitive data or regulated data? (Examples of Sensitive Information include but are not limited to:**

Protected Health Information (PHI)

Personally Identifiable Information (PII) such as Drivers License, Social Security Numbers

Payment Card Industry (PCI-DSS)

\*Sensitive Information types are also dependent on department use such as Health Department or Department of Social Services

**Do you have written policies and procedures for the following areas:**

• Acceptable Use
• Patch and Vulnerability Management
• Access Control Policy
• Breach Disclosure Policy
• Physical Security Controls
• Back-up, Disaster Recovery Policy, Business Continuity Plan
• Human Resources Policy on hiring practices, including background checks
• Logging and Monitoring
• Privacy Policy
<b>Mecklenburg County requires an independent 3rd party security audit. Suggestions for audit types include:</b>
SOC II (Preferred)
PCI-DSS Attestation of Compliance
HI Trust or HIPAA Specific Assessment
ISO 27001 Based Assessment
Cloud Security
Other: Please List
<b>Logging, Monitoring and Incident Response:</b>
Can you provide application and security logs upon request?
What is your retention policy for application and security logs
Do you perform any alerting on security concerns?
Are you able to send logs to Mecklenburg County Security and Information Event Monitoring (SIEM) Tool?
Do you have cyber liability insurance?
Do you offer Investigation support in case of breach or compromise of data or users?
Do you perform regular Penetration Testing (at least annually)
Do you perform application layer vulnerability scans regularly?
Do you have intrusion prevention and detection capabilities?
Do you use next generation antivirus / anti-malware software?
<b>Data Encryption/Data Loss Prevention</b>

Do you encrypt data at rest? Please list the method followed.
Do you encrypt data in transit? Please list the method followed.
Do you offer customer configurable data loss prevention (DLP) policies?
<b>APIs/open interfaces are secured and encrypted:</b>
Do you provide multitenant controls for separation of users/data within the service?
Are you required to comply with the following regulatory standards?
<ul style="list-style-type: none"> <li>Federal Risk and Authorization Management Program</li> </ul>
<ul style="list-style-type: none"> <li>U.S. SEC 17a-4</li> </ul>
<ul style="list-style-type: none"> <li>Federal Rules of Civil Procedure (FRCP)</li> </ul>
<ul style="list-style-type: none"> <li>Family Educational Rights and Privacy Act (FERPA)</li> </ul>
<ul style="list-style-type: none"> <li>Criminal Justice Information Services (CJIS)</li> </ul>
<ul style="list-style-type: none"> <li>Federal Information Processing Standards (FIPS 140-2)</li> </ul>
<ul style="list-style-type: none"> <li>IRS 1075</li> </ul>
Does the solution meet or exceed (WCAG) 2.0 A and WCAG 2.0 AA conformance standards?

#### Online Applications (Creation, Submission, Payment)

- Describe how payments are made in the system. Does a customer need to create an account, provide an invoice number, etc.? How would a new septic project (that has 2 fees collected at different intervals) be paid for online by the customer?*
- Can invoices (i.e. annual monitoring well fees) be uploaded for customer access (and payment) online?*

#### Workflow Management System

- Describe the administrative tools and functions used to manage end user access. Regarding role-based access methodology, describe the level of granularity a system administrator has in assigning user access, privileges and preferences based on characteristics such as job role within GWS.*
- Describe how the system facilitates workflow management, i.e., how the system transfers new applications based on application type into work lists or queues; how the system triggers activities and tasks for individuals and teams across the enterprise; how alerts or reminders are displayed for staff to complete tasks, and how the system monitors completion of assigned tasks. Include an explanation of any customizations available for dynamic worklists.*
- Describe the reports, dashboards, or other tools available to supervisors to manage the incomplete tasks assigned to members of their team.*
- Describe the level of configurability for the generation of system alerts.*
- Describe the process for viewing and searching historical progress notes and other documents. What filtering and search criteria are available?*

#### System Administration and Vendor Support

- Describe how much customization control an end user with administrative rights would have.*

#### Reporting/Analytics Functionality

- Describe how data will be provided. Is data live or delayed?*

## **Project Management**

- a) *Provide a description of your project management methodology and project management approach to be utilized for this engagement. This should include a description of the vendor's standard approach to, at a minimum, the following: schedule management, status reporting, risk and issue management, communication, and change management.*
- b) *Based on the information provided in this solicitation, provide a preliminary project schedule depicting activities and milestones from contract execution through new system go-live. The preliminary project schedule should include all of the major key activities required to replace the existing system with the new system.*

## **Workflow Analysis, Configuration, and Implementation Methodology**

- a) *Describe your overall approach to engaging GWS staff to analyze current workflows and the use of your staff to augment workflow analysis*
- b) *Describe the system configuration process, including details on how information gathered during the workflow analysis phase will be incorporated into the new GWS system.*
- c) *Describe the implementation and go-live process in terms of the level of support the vendor will provide leading up to and during the go-live.*

## **Testing**

- a) *Describe your proposed training approach for GWS, including, but not limited to, the following:*
  - o *Responsibilities of both the vendor and GWS staff as it relates to training and roles.*

*Approach for providing a separate training environment that mirrors the production environment but does not disrupt ongoing operations once the system is live and new employees require training*

## **Project Staffing**

- a) *Provide a vendor staffing model for this project, including an organizational chart outlining the recommended positions and hierarchy of reporting relationships. At a minimum, the vendor must propose a Contract Project Manager (CPM) with the necessary expertise and availability to oversee the entire project and serve as the main point of contact for the County.*
- b) *Based on the information provided in this solicitation, provide: 1) a description of the proposed division of work between County and vendor staff during the major phases of the project, and 2) an estimated level of involvement, by resource role, from the County to support each major phase of the implementation project.*

## **Data Migration & Conversion**

*Describe your approach to developing the data migration and conversion plan and the processes and tools that must be used to migrate and convert legacy data into the new system.*

*Are there any constraints for importing the County's existing data (limit on the number of tables that can be migrated, database size, etc)?*

## **System Maintenance & Support**

- a) *From the standpoint of system maintenance, are necessary patches, fixes, and upgrades on system components provided and managed from a United States (US) location? Please describe.*
- b) *Describe your processes for supporting enterprise release management and version control for routine upgrades, patches, and releases.*

## **Help Desk Support**

- a) *Describe how support will be provided past system go-live.*
- b) *Describe how bugs not found during implementation will be addressed past go live.*

## Attachment B

### INFORMATION TECHNOLOGY CONTRACT PROVISIONS

In accepting this Order ("Order"), your company (the "VENDOR"), acknowledges and agrees to abide by the Terms and Conditions set forth below. In the event that a binding written contract signed by both the VENDOR and the County exists, the terms and conditions of this agreement shall supersede any conflicting terms and conditions of the aforementioned contract.

#### 1. INFORMATION SECURITY

- 1.1 VENDOR agrees to ensure its software and services comply with all applicable laws and regulations. VENDOR shall, at no additional charge, promptly furnish any updates to the software and services necessary for compliance with any changes in laws or regulations during the terms of this Agreement.
- 1.2 Mecklenburg County may, at its expense and for reasonable grounds, require VENDOR to participate in audits and tests relative to County systems and/or services provided by VENDOR on behalf of the County.
- 1.3 VENDOR will take every reasonable precaution to ensure the services and software do not contain any virus or similar code that may destroy, modify, alter or cause destruction, modification, or alteration in whole or in part, of any Mecklenburg County data, equipment, networks or software.
- 1.4 VENDOR agrees to allow Mecklenburg County access to system security logs that affect this contract, its data, and/or its processes. The VENDOR must provide self-service log reporting or review option, or the VENDOR must produce logs based on regulatory retention requirements of data held (e.g. PCI, HIPAA, etc.)
- 1.5 The parties agree that the vendor will provide certain services to, for, or on behalf of Mecklenburg County involving the use or disclosure of Protected Health Information (PHI), as that term is defined by the Health Insurance Portability and Accountability Act (HIPAA). As such, the parties agree to the attached Business Associate Agreement.
- 1.6 Notification of security incident or data breach: Mecklenburg County requires a minimum of twenty-four (24) hours notification when any data protection is compromised, or security incident occurs. Unauthorized access or disclosure of non-public data is considered a breach. The VENDOR will provide notification to the County as soon as it is aware of the breach. If the VENDOR is liable for the loss, the VENDOR shall bear all costs associated with the investigation, response, and recovery from the breach. The breach must be communicated to Mecklenburg County's Security Officer.
- 1.7 Prior to the effective date of this agreement, VENDOR will, at its expense conduct or certify that the following certifications have been performed:
  - i. Attestation under HIPAA, PCI, DSS and/or FedRAMP (NIST, FIPS 200 and SP800-53, ISO 27001, SOC)
  - ii. A SOC 2 audit of providers security policies, procedures and controls. SOC 2 provided must report on security controls of the solution/application.
  - iii. A vulnerability scan performed by a third-party service of VENDOR systems under this agreement.
  - iv. A formal penetration test performed by a process and qualified personnel of VENDOR systems under this agreement.
  - v. VENDOR will provide Mecklenburg County the reports or other documentation resulting from the above audits, certifications, scans and tests within 30 calendar days of VENDOR's receipt of such results. Based on the results of the above audits, certifications, scans and tests, VENDOR will, if the results require, within thirty (30) calendar days of receipt of such results, promptly modify its security measures in order to meet its obligation under this Agreement and provide Mecklenburg County with written evidence of remediation.
  - vi. Mecklenburg County may, at its expense and reasonable grounds, require VENDOR to perform additional audits and tests, the results of which will be provided to Mecklenburg County within seven business days of VENDOR's receipt of results.
  - vii. VENDOR shall protect Mecklenburg County's data against deterioration or degradation of data quality and authenticity, including, but not limited to, annual third-party data integrity audits performed by an independent, external organization to determine the VENDOR's compliance with standards



- 1.8 VENDOR agrees to allow Mecklenburg County (or a designated third-party selected by Mecklenburg County) the opportunity to perform an onsite inspection of the VENDOR's infrastructure and security practices on an annual basis.
- 1.9 Mecklenburg County reserves the right to review the infrastructure and security specifications of the VENDOR in written format on an annual basis.

## **2. NETWORK SECURITY**

- 2.1 VENDOR agrees at all times to maintain network security that, at a minimum, includes network firewall provisioning, intrusion detection, and regular third-party vulnerability assessments. Likewise, VENDOR agrees to maintain network security that conforms to generally recognized industry standards and best practices that VENDOR then applies to its own network.

## **3. INTEGRATION & SINGLE SIGN ON**

- 3.1 The application must integrate with Azure Active Directory using Security Assertion Mark-up Language (SAML) to provide authentication and single sign on (SSO) services. The County and VENDOR will exchange the necessary information to configure and test (SSO) using Azure AD prior to implementation in the production environment.

## **4. USER AUTHENTICATION AND ACCESS RIGHTS**

- 4.1 All facilities used to store, and process Mecklenburg County's data will implement and maintain administrative, physical, technical and procedural safeguards and industry best practices at a level sufficient to secure such data from unauthorized access, destruction, use, modification or disclosure. Such measures will be no less protective than those used to secure the VENDOR's own data of a similar type, and in no event less than, for data of the same type and nature, during the term of this Agreement.
- 4.2 The VENDOR must take the same care to prevent the disclosure of Mecklenburg County's confidential information as it takes to prevent disclosure of its own information of a similar nature. In no event, may the VENDOR take less than a reasonable degree of care.
- 4.3 VENDOR warrants that all Mecklenburg County data will be encrypted in transmission and at rest (including via web interface).
- 4.4 ADA Accessibility: VENDOR warrants all digital and interactive content will meet or exceed Web Content Accessibility Guidelines (WCAG) 2.0 A and WCAG 2.0 AA conformance standards, published by the World Wide Web Consortium (W3C), Web Accessibility Initiative (WAI), the organization responsible for developing internet standards. Web accessibility means that people with disabilities can fully and equally perceive, understand, navigate, and interact with the Web as their non-disabled counterparts.

## **5. DATA LOCATION**

- 5.1 Mecklenburg County data, all backups shall not be located, accessed, processed or stored outside of the United States.

## **6. ACCEPTABLE USE**

- 6.1 Confidential Information of the other party may be used by the receiving party only about the performance of or as specifically authorized by this Agreement. Each party will protect the confidentiality of Confidential Information of the other party in the same manner that it protects the confidentiality of its own proprietary and confidential information, including, without limitation, by entering appropriate confidentiality agreements with employees, affiliates, independent contractors and subcontractors. Access to Confidential Information will be restricted to the VENDOR's, its personnel (as well as its agents and independent contractors) engaged in a use permitted under this Agreement. Confidential Information may not be copied or reproduced without the disclosing party's prior written consent, except as necessary for use about this Agreement.
- 6.2 Mecklenburg County data cannot be used or modified outside of the terms of this agreement without written consent of those actions to be performed.
- 6.3 Subject to the provisions governing all Confidential Information made available under this Agreement, including copies thereof, will be returned or certified destroyed upon the termination of this Agreement or immediately upon the other party's request; provided, that, subject to the terms of this Section, each party may retain copies of the other party's Confidential Information required for its compliance with its record keeping or quality assurance requirements.

## **7. PUBLIC RECORDS**

- 7.1 Notwithstanding anything contained herein to the contrary, the parties recognize and acknowledge that Mecklenburg County is a subdivision of the State of North Carolina and is, therefore, subject to the North

Carolina Public Records Act (the "Act") at N.C. Gen. Stat. 132-1 et seq. The parties further acknowledge that any information that is not otherwise protected by law is a public record under North Carolina law and may be released and disclosed by the County pursuant to the Act, and that any such release or disclosure shall not in any way constitute a breach of this Agreement, nor shall the County be liable to the VENDOR for such release or disclosure. In the event the County receives a request for disclosure of Confidential Information which the VENDOR has specifically marked "Confidential" or "Proprietary" the County shall give the VENDOR written notice of such request (the "Notice of Request for Disclosure"). In the event the VENDOR has a reasonable basis for contending that the disclosure of such Confidential Information is not required by the Act, the VENDOR shall within ten (10) days after receipt of the Notice of Request for Disclosure notify the County in writing of its objection to disclosure and the basis therefor. The VENDOR shall indemnify, defend and hold harmless the County from and against all losses, damages, liabilities, costs, obligations and expenses (including reasonable attorneys' fees) incurred by the County in connection with any refusal by the County to disclose Confidential Information after receiving an objection to disclosure from the VENDOR. If the County receives no written objection from the VENDOR within ten days after the VENDOR's receipt of a Notice of Request for Disclosure, the County shall disclose the Confidential Information referenced in the Notice of Request for Disclosure. Notwithstanding the foregoing, the parties agree that the computer database information that the County is required to disclose under N.C. Gen. Stat. §132-6.1 shall not be deemed Confidential Information, and that the County shall be entitled to disclose such information without notice to the VENDOR.

- 7.2 In accordance with the North Carolina electronic data-processing records law N.C.G.S. §132-6-1, all software and documentation provided by the VENDOR or its subcontractors is subject to potential public inspection and examination.
- 7.3 All Software and Documentation provided by the VENDOR or its subcontractors will have sufficient information to enable the County to create an index containing the following information with respect to each database used by the System without extraordinary commitments of staff or resources: (i) annotated list of data fields: name, description, and restricted field indicator; (ii) description of the format or record layout; (iii) frequency with which the database is updated; (iv) list of any data fields to which public access is restricted; (v) description of each form in which the database can be copied or reproduced; (vi) title of the database; (vii) owner of the data; (viii) narrative description of the database; (ix) person creating the index; and (x) purpose of the database. The VENDOR agrees that the County may copy and disclose the information listed above in response to requests for database information under the North Carolina General Statutes. (f) All Documentation for the Products and the System is and will be in all material respects complete and accurate, and will enable data processing professionals and other County employees with ordinary skills and experience to utilize the Products and the System for the expressed purpose for which they are being acquired by the County.

## **8. DATA RETENTION AND DELETION**

- 8.1 Any data entered, loaded and stored in the software are property of Mecklenburg County. The VENDOR shall provide the County a copy of its data for any reason, and at the termination of the services, at no cost to the County.
- 8.2 In the event of an emergency or time-sensitive situation, the VENDOR shall provide Mecklenburg County the ability to completely retrieve the data from the cloud within 24 hours.
- 8.3 RETURN OF CONFIDENTIAL INFORMATION: The VENDOR will return or destroy Mecklenburg County's confidential information in all forms and types of media and provide written confirmation or certification of such destruction within 30 days. If the data is returned to the County, the VENDOR shall provide the data in the file format agreeable by the County.
- 8.4 RECORDS RETENTION: To ensure compliance with data retention schedules, the VENDOR will retain data according to retention schedules specified and shall return or destroy Mecklenburg County's records as requested when allowed by law.

## **9. BUSINESS CONTINUITY**

- 9.1 VENDOR must provide documented evidence of disaster recovery and business continuity plans. Such plans shall be made available to Mecklenburg County upon request for inspection of documentation. If documentation is unavailable, or has not addressed findings in a timely manner, the VENDOR shall be assessed a penalty, up to termination of agreement, for failure in complying with the County's minimum requirements, as discovered through inspections, audits, or actual disasters.

- 9.2 VENDOR agrees that any and all data stored, processed, or maintained for the County will be backed up to a geographically diverse location at a minimum of once per day. VENDOR agrees to provide certification of successful disaster recovery testing upon request of the County.

#### **10. WARRANTY**

- 10.1 VENDOR warrants that during the warranty period product and services will be provided according to industry standards.
- 10.2 VENDOR warrants to Mecklenburg County that during the applicable warranty period software and services will conform to the operation in accordance with the documentation in all material respects; and services will be carried out according to industry standards in a professional workmanlike manner by qualified personnel.

#### **11. THIRD PARTY VENDORS**

- 11.1 The VENDOR shall inform Mecklenburg County of any outsourced functionality and its provider.
- 11.2 Unless otherwise stated within this agreement, no assignment of the contract or components of the contract can occur without explicit, written agreement from Mecklenburg County. If portions of the service are provided by a third party, the VENDOR is directly responsible for all terms of the contract, regardless of outsourced functions.

#### **12. EXIT**

12. 12.1 VENDOR further agrees that following successful transmission of all data to Mecklenburg County, any and all Mecklenburg County data will be erased, destroyed, and rendered unrecoverable and certify in writing that these actions have been completed within 30 days of the termination of this Agreement. At a minimum, a "clear" media sanitization is to be performed in accordance to standards enumerated by the National Institute of Standards, Guidelines for Media Sanitization. During the period between termination of the Agreement and authorization for destruction, all security measures must remain intact, including, but not limited to, encryption, backup, and storage.

# **Attachment C**

## **HHS/PH – Environmental Health WASPS and MAPS Replacement Business Requirements Information Technology Services**

Document Version 5.0

Date of Release

9/01/2022

## Glossary of Terms

- WASPS–Well and Septic Permitting Systems (existing system to permit wells and septic systems)
- MAPS – Monitoring Well & Subsurface Investigation Permitting System (existing system to permit SISP and maintain contamination sites (MPLs))
- City Works – 3<sup>rd</sup> party asset management system used for work orders and service requests for wells and septic systems. documentation repository
- GWS – Groundwater and Wastewater Services
- PID - Parcel ID
- SIP – Subsurface Investigation Permits
- LIMs – Laboratory Information management system
- MPL – Mecklenburg Priority List – contamination site documentation (soil and groundwater)
- MW-Monitoring Well
- JV-Journal voucher- a document that supports or confirms a business transaction
- General ledger-compilation of financial transactions
- Chart of accounts-an index of all financial accounts in a general ledger.
- EHS-Environmental Health Specialist
- Hydro/Geo-Hydrogeologist
- PME-Public Management Entity
- PLL-Permits, Licensing, and Land
- ARGU-Area of Regulated Ground Water Usage

## Business Need

Mecklenburg County Public Health- Environmental Health Division is concerned with all aspects of the natural and built (human made) environment affecting human health. The department's main goal is to prevent the spread of disease and promote personal safety through proper sanitation, safe food, clean water, and the management of disease carrying pest, and proper disposal of waste. Environmental Health is divided into four areas:



Groundwater and Wastewater Services (GWS) protects the public's health through the protection of the groundwater resources. GWS permits and inspects private wells, potable and irrigation wells, and onsite wastewater treatments, and disposal systems. In addition, GWS permits and inspects monitoring wells and investigates groundwater contamination incidents. Applications used to submit and monitor this work are WASPS and MAPS. The business has communicated several pain points that justify a need to replace their current applications. Some of the notable issues have been identified as:

- Online portal for request and submit applications to allow public interfacing with the solution
- Online payments options, allowing payments for multiple services
- Complex business rules require further development
- Support and development for the .net framework is no longer available as of Q3 FY2020
- Billing statement distribution In September (separate project – Hybrid Mail solution)

## Current State

WASPS and MAPS are .net frameworks, developed in-house by Bruce Smith, a County GIS employee. Both applications have been in use by the GWS department since 2006. Some of the major functionalities are:

- Registering new and pre-existing septic systems and wells (permitted prior to Feb 2006)
- Applying for residential and commercial/industrial well & septic permits
- Applying for new, renewed, or updated SIPs (monitoring well permits)
- Requesting well and septic by the EHS reviews
- Requesting well by the HydroGeo reviews
- Requesting well & septic inspections
- Registering a well and septic systems
- Requesting soil evaluations for septic permitting
- Report abandoned wells
- Register/update/abandon MWs
- Register/update MPLs

Payments for applications and services are received in the form of a money order, cashier's check, business/personal check, cash, and credit card. Vendors have the option to pay in person, over the phone, or by mail. Payment types:

- Full/Partial/Refund
- Staggered payment for IP Improvement Permit, CA Construction Authorization, OP Operation Permit

Forte is a payment solution utilized by the division to accept credit card payments. Vendors paying in person receive a paper receipt for their transaction. All transactions received before 5pm are submitted directly from Forte to the designated Bank of America account for the division.

Office administrators manually enter all transactions for the day into Navision (LUESA application), that allows the issuance of a receipt. Applications and payments are linked by the permit number in both systems.

Daily reports are generated from Forte, Navision, and Excel and transmitted to the Finance Department for daily reconciliation. The finance department has communicated their requirements for reporting.

## Scope and Purpose

The scope and purpose of this document is to capture the current state and high-level requirements communicating what the solution needs to do to satisfy the business' needs and expectations. If the project is approved a full set of detailed requirements will be gathered upon project initiation. The requirements **priority** key is listed below:

High	Medium	Low
A fundamental user's need would not be met if omitted. Not an option to exclude.	Not a fundamental user's need, however the functionality would provide process improvement and/or increase user effectiveness.	Not part of core functionality, but would increase user satisfaction, considered a bonus if included.

## Requirements

Functionality			
No.	Business Requirements	Priority	Must Have or Nice to Have
1.	The solution should be cloud-based or an on-premises solution, so that users have access to on-demand services online, via a server.	Medium	Nice to Have
2.	Server, security, data integrity, backups, and updates should be managed by the vendor, so that the software remains current and highly functional.	High	Must Have
User Access			
No.	Business Requirements	Priority	Must Have or Nice to Have
3.	The solution should require access to be granted after user is authenticated by entering a unique username and password, so that identity is verified before entering the solution.	High	Must Have
4.	The solution should allow access to the solution outside of the county network, so that user can document work in the field using any internet browser.	High	Must Have
5.	<p>The solution should allow documentation completed outside of the county network to appear in real-time, so that it is visible to users connected to the county network.</p> <ul style="list-style-type: none"> <li>Documentation completed with no access to the internet (off-line) will be updated to the software once internet connectivity is established.</li> </ul>	High	Must Have
Front End User – County Employee			
No.	Business Requirements	Priority	Must Have or Nice to Have
6.	The solution should allow access to a Dashboard displaying scheduled assignments in a “To Do” list or schedule, so that user can view assigned task/work. Ability to view by EHS, HydroGeo, and Supervisor & view work list according to work completed.	High	Must Have
7.	<p>The solution should allow access to a Dashboard displaying a calendar view integrated with MS Outlook, so that there is bi-directional communication for a single calendar.</p> <ul style="list-style-type: none"> <li>User’s time-blocked on either calendar will mark the user unavailable on both calendars. Ex. PTO, Meetings, In Field, etc.</li> <li>For Hydrogeologist assignments should continue to appear on their schedule if out of office.</li> </ul>	Low	Nice to Have



8.	The solution should allow access to a Dashboard that allows user level configurations, so that users can arrange their personal dashboard views. <ul style="list-style-type: none"> <li>Configurations controls should allow for multiple worklists by various date ranges, statuses, column sequences, etc.</li> </ul>	High	Must Have
9.	The solution should allow for creation of a variety of worklists based on territory and project type assignment so that staff can track projects. <ul style="list-style-type: none"> <li>New work must not be mixed with completed projects.</li> <li>Each type of application has a unique workflow which determines to whom it is assigned.</li> <li>Allow supervisors the ability to reassign projects and delete permit applications.</li> </ul>	High	Must Have
10.	The solution should allow a search feature that returns data based on search criteria. <ul style="list-style-type: none"> <li>search criteria should include, but not be limited to address, name, PID, SIP, File #, App #, Permit #.</li> </ul>	High	Must Have
11.	The solution should allow the appropriate GIS layer to tie to these Permits Licensing & Land (PLL) actions: <ul style="list-style-type: none"> <li>New, Abandonment, Repair Well Applications</li> <li>ARGU</li> <li>MPL</li> <li>SIP Site</li> <li>New Septic, Alteration, Modified Plot Plan, Repair Septic Applications</li> <li>and use of an existing well/septic permit application, so that I can have a GIS point for the address listed on the application.</li> <li>PME - If Septic System classification = IIIb, IVa, Va, or Vb, IVb, Vc, Vd</li> <li>Pre – Existing Wells and Septic</li> <li>EOP-Engineered Option Permit</li> <li>Water Supply Wells</li> <li>Monitoring Wells</li> </ul> The solution must allow GIS point deletions when major errors are made and the application process just needs to be deleted and restarted Acceptance Criteria: <ul style="list-style-type: none"> <li>Coordinate Site: MASTERADDRESS_PT, Parcel Centroid</li> <li>AGS Rest API Operation: addFeatures, updateFeatures, deleteFeatures</li> </ul>	High	Must Have
12.	The solution should allow users to move a GIS Point by providing the coordinates in the vendor system (x,y coordinate that moves the dot)  Acceptance Criteria: <ul style="list-style-type: none"> <li>Coordinate Site: MASTERADDRESS_PT, Parcel Centroid</li> <li>AGS Rest API Operation: addFeatures, updateFeatures, deleteFeatures</li> </ul>	High	Must Have
13.	The solution should provide a means to issue a permit by print, fax, or email, so that user can meet the needs of the customer efficiently.	High	Must Have
Front End User – County Employee Inspections			
No.	Business Requirements	Priority	Must Have or Nice to Have

<b>14.</b>	The solution should provide a mapping feature with tracking functionality to detect the current location and devise a preferred route, so that time is used most efficiently. <ul style="list-style-type: none"> <li>Each address should be geocoded and populate coordinates on the map feature.</li> <li>The mapping feature should check against current traffic conditions and suggest the most efficient route.</li> </ul>	Low	Nice to Have
<b>15.</b>	The solution should provide a mapping feature that can send the preferred route to a cellular device, so that the map application on the device can direct based on the route sent. <ul style="list-style-type: none"> <li>The preferred route must be sent by inputting the cellular number in the software.</li> <li>A notification should appear on the cellular device indicting that new route has been sent.</li> </ul>	Low	Nice to Have
<b>16.</b>	The solution should provide the ability to enter a status on each task, so there is an indication of stage the request is in.	High	Must Have
<b>17.</b>	The solution should provide the ability to input notes/documentation/attachments on application, so that the most recent details of a request are visible.	High	Must Have
<b>Front End User – County Employee Processing Applications</b>			
<b>No.</b>	<b>Business Requirements</b>	<b>Priority</b>	<b>Must Have or Nice to Have</b>
<b>18.</b>	The solution should allow automatic calculations in the septic improvement permitting and billing logic	High	Must Have
<b>19.</b>	The solution must verify if an accurate/existing parcel number is entered in the permit application using an existing county parcel geocode service	High	Must Have
<b>20.</b>	The solution should allow incoming applications to be first vetted and approved before being assigned to an Environmental Health Specialist.	High	Must Have
<b>Front End User – Resident: Online Portal</b>			
<b>No.</b>	<b>Business Requirements</b>	<b>Priority</b>	<b>Must Have or Nice to Have</b>
<b>21.</b>	The solution should allow the ability to submit, renew, or update an application, register wells, and abandon wells via an online portal, so that the data from those actions is stored in the solution.	High	Must Have
<b>22.</b>	The solution should allow the ability to create a unique (auto-generated) identifier for each request/application so that user can access application status and other details about their request.	High	Must Have
<b>23.</b>	The solution should allow create username & login upon registration via online portal so that users can access their information confidentially.	High	Must Have
<b>24.</b>	The solution should allow general information searches, so that user can perform research without authentication.	High	Must Have

25.	The solution should allow entering of data and attachment of files, during or after submitting a request/application, so that supporting documentation can accompany user's original request.	Medium	Very Nice to Have
26.	The solution should allow the ability to submit payment for applications and multiple services, so that user can complete an application and payment in one transaction.	High	Must Have
27.	The solution should provide confirmation of user registration, application, and payments.	High	Must Have
28.	The solution should allow distribution of invoices via email or regular mail.	High	Must Have
29.	The solution should allow multiple payment methods for applications and services, so that users can select their best option. Allow: <ul style="list-style-type: none"> <li>all major credit card submissions.</li> <li>electronic check submissions.</li> </ul> Exception: Cash and money order payments must be submitted in person.	High	Must Have
30.	The solution should allow the ability to view payment history, print, or receive a receipt via text or email, so that user has a method of verifying past payments.	High	Must Have
31.	The solution should provide a means to check the status and comments of a permit/application via an online portal, so that user can monitor the progress of their: <ul style="list-style-type: none"> <li>New System Permits</li> <li>System Alterations</li> <li>Modified Plot Plans</li> <li>Existing Systems</li> <li>Septic Repairs</li> <li>Water Supply Wells</li> <li>SIPS (new, update, renewal)</li> <li>Monitoring Well Registrations</li> </ul>	High	Must Have
32.	The solution should provide access to educational information on the GWS website, so that users can become more informed.	High	Must Have

#### System Administration

No.	Business Requirements	Priority	Must Have or Nice to Have
33.	The solution should load data to an SFTP site allowing for secure transfer and storage on vendor servers.	High	Must Have
34.	The solution should create and send a data map/ source file to the vendor, so there is a reference point for data mapping.	High	Must Have
35.	The solution should write mapping scripts, so that older SQL code can be converted to their database.	High	Must Have
36.	The solution should allow for data migration from the legacy system to the new solution with less than two days' worth of system down time.	High	Must Have
37.	The solution should allow the ability to create and manage user roles with different levels of access to designated functionality and features, so that each user has what is required to complete job tasks.	High	Must Have

38.	As a system administrator, I require the ability to configure menus, views and fields based on user roles and business logic, so that the appropriate information is visible.	High	Must Have
39.	The solution should allow the ability to configure standard email and text alerts to be generated to a user/role, so that users can communicate.	High	Must Have
40.	The solution should allow the ability to route tasks to staff based on business rules, so that the software can guide staff's work actions. <ul style="list-style-type: none"> <li>Ex. Well Permits– a task for EHS Review is first routed to the Hydrogeologist based on proximity to MPLs. If parcel is within 2000' to MPL. After review is completed, task is routed to EHS for permitting. If parcel is greater than 2000' from MPL, task routed directly to EHS for permitting.</li> </ul>	High	Must Have
41.	The solution must allow error messages to be added/updated for each field and form. <i>Ex. a parcel number must be no more no less than 8 digits and be a valid parcel within Mecklenburg County</i>	High	Must Have
42.	The solution must provide the ability to designate required fields and prevent the customer from submitting an incomplete application.	High	Must Have
43.	The solution should allow notifications to include: the date and time of the service pack installations, software/data updates, and infrastructure maintenance task, so that end users are notified one month in advance.	Medium	Nice to Have
44.	The solution should allow notifications in the form of an alert of any unsuccessful service pack installations, software/data updates, and infrastructure maintenance task, with a rescheduled date and time, so that end users are aware of failures.	High	Must Have
System Availability/Vendor Availability & Support			
No.	Business Requirements	Priority	Must Have or Nice to Have
45.	The solution should allow reoccurring planned maintenance tasks affecting system availability to be scheduled for after hours, so that end users are not impacted.	High	Must Have
46.	The solution should include technical support during operating hours (8am-5pm EST), so that troubleshooting/issue resolution is available for end users.	High	Must Have
47.	The solution's servers should be housed in the primary server farm and a backup housed at a second facility, so that data is preserved and protected from a local disaster.	High	Must Have
48.	The solution data should be replicated real-time, with a daily backup stored at a defined time, to ensure that data is current at the off-site facility.	High	Must Have
49.	The solution should have a rolling snapshot taken every 30 minutes and held for 1 hour before being overwritten, so that a small increment of data is required to be loaded for given period in the event of a restoration.	High	Must Have
50.	The solution should be available 24/7 to all users except for during scheduled maintenance tasks for a timeframe previously communicated to the department.	High	Must Have
Backend Functionality - Payments			

No.	Business Requirements	Priority	Must Have or Nice to Have
51.	<p>The solution should allow vetting, transmittal and recording of multiple payment methods.</p> <ul style="list-style-type: none"> <li>Examples of accepted payment types: cash, check, credit card, journal voucher, and accounting charges.</li> </ul> <p>Vetting should be conducted before the application is moved to the next step in the process. Solution should allow recall of application if the application/payment doesn't pass vetting.</p>	High	Must Have
52.	The solution must allow for multiple fee types such as fees paid after application review, second payment, and annual billing	High	Must Have
Backend Functionality - Reporting			
No.	Business Requirements	Priority	Must Have or Nice to Have
53.	<p>The solution should allow the ability to generate reports with adjustable parameters to capture daily counter transactions, so that user can account for the amount collected.</p> <ul style="list-style-type: none"> <li>Must have filtering parameters by day, week, month, YTD etc.</li> <li>Must have filtering parameters to return results by individuals</li> <li>Must have the ability to include voids and adjustments.</li> </ul>	High	Must Have
54.	<p>The solution should allow the ability to generate reports of each cash drawer balance, so that I can account for the cash in each drawer at the end of business.</p> <ul style="list-style-type: none"> <li>Must have filtering parameters by day, week, month etc.</li> <li>Must have filtering parameters to return results by individual</li> </ul>	High	Must Have
55.	<p>The solution should allow the ability to generate reports of receipts distributed, so that I can account for the receipts distributed.</p> <ul style="list-style-type: none"> <li>Each receipt must have a unique identifier/number.</li> <li>Each application must have a unique identifier/number</li> <li>Must have filtering parameters by day, week, month etc.</li> <li>Must have filtering parameters to return results by individual</li> <li>Must have the ability to filter by payment type.</li> </ul>	High	Must Have
56.	As an Admin Support Supervisor, I require the solution to include a crosswalk of transaction codes to the general ledger, so that each transaction code can register the respective chart of accounts in the ledger.	High	Must Have
57.	<p>The solution should allow the ability to generate reports of staff members username/login, so that user can identify the staff member's actions by their username/login.</p> <ul style="list-style-type: none"> <li>Each staff member must have a unique username/login.</li> <li>Password should remain unknown and not identifiable.</li> </ul>	High	Must Have
Integration/Interface with Other Systems			
No.	Business Requirements	Priority	Must Have or Nice to Have

58.	The solution should allow the ability to connect directly (through API or SDK) to the software to pull data for reporting and dashboards into MS PowerBI, so that user can fulfill requests for information.  Reporting needs include: <ul style="list-style-type: none"> <li>• 50-60 departmental reports</li> <li>• 10-15 BOCC reports</li> <li>• Adhoc request for reports</li> </ul>	High	Must Have
59.	The solution must trigger automatic creation of Cityworks AMS work orders, inspections and service requests so that downstream workflow processes can be completed	Medium	Nice to Have
60.	The solution must allow the GIS layers to support the permitting systems and other Cityworks processes related to permitting or provide an equivalent vendor supported functionality	Medium	Must Have
61.	The solution must add Cityworks AMS required fields (AssetID or FacilityID and Location) to all GIS features created	High	Must Have
62.	The solution must add/update all other fields in the GIS that are required by other systems such as: <ul style="list-style-type: none"> <li>• Well Information System (<a href="https://edmsmapserver.Mecklenburgcountync.gov/wis4/index.html">https://edmsmapserver.Mecklenburgcountync.gov/wis4/index.html</a>),</li> <li>• POLARIS (<a href="https://polaris3g.Mecklenburgcountync.gov">https://polaris3g.Mecklenburgcountync.gov</a>), and</li> <li>• The symbology used in the maps viewed by Environmental Health (EH) staff daily using the ArcGIS Desktop client (ArcMap).</li> </ul>	High	Must Have
63.	The solution must provide the ability to retrieve the completed scanned project file from OnBase or an equivalent .pdf storage solution	High	Must Have
64.	The solution must provide integration with Forte for credit card payments	High	Must Have
65.	The solution must have the ability to integrate with ArcGIS feature classes for well, septic system, and SIP locations (points) as well as MPL locations (parcel polygons).	High	Must Have
Document Management & Signatures			
No.	Business Requirements	Priority	Must Have or Nice to Have
66.	The solution must provide the ability to capture and store signatures from GWS customers so that they are visible on forms & documents in electronic format and when the form/document is printed.	High	Must Have
67.	The solution should allow the ability to scan/upload documents as different permits are completed (ex. WASPS allows you to click on link to IP, OP, etc. and print it out).	High	Must Have

## Other Requirements/Business Needs

- **Scalability**

The vendor solutions will be adaptable to the changing needs or demands of the Environmental Health department. There are currently concurrent users in the department. The solution shall have the capacity to accommodate growth and not compromise on system availability or speed as growth occurs.

- **Data Conversion/Migration Needs**

Data and field mapping shall occur during data migration. WASPS and MAPS databases will require sequel server migration from a full back-up from the source server.

- **Interfaces to Other Systems**

The solution must have the ability to integrate with ArcGIS feature classes for well, septic system, and SIP locations (points) as well as MPL locations (parcel polygons).

The Solution must provide the ability to integrate with internal and external applications/systems; including but not limiting to: Cityworks, ArcGIS, OnBase, POLARIS, Well Information System, Forte.

- **Data Retention, Archival & Purge Requirements**

Data should be replicated real-time with a rolling snapshot taken every 30 minutes and held for one hour. Stored data requires a back-up daily and remain archived for 7 days.

- **Additional Hardware & Software Requirements**

Environmental Health may purchase devices (iPad Pros) for inspectors use in the field. Solution must be accessible on mobile devices for inspectors and customers.

- **Availability**

The System should be available 24/7 to all users in any unforeseen circumstance. The solution may be unavailable due to scheduled maintenance tasks for a timeframe previously communicated to the department.

- **Data Backup & Recovery Requirements**

If data recovery should occur the 30-minute snapshots can be restored to bring the most recent data on the server.

- **Training and Documentation Needs**

The vendor must provide training to all users or subject matter experts identified by the business unit. Training must be made available in a classroom style with virtual or face to face instructing. Users must be equipped with training materials, online portal with modules, and a help feature in the application. Full product delivered, tested by core staff for 1-2 weeks. Then if accepted move to in house training and then the 30 days of everyone testing and using it. Then Go live.

- **Audit Requirements**

PH audit procedures will be followed and will not change with this implementation.

- **Security Regulatory & Legal Requirements**

All Public Health Security and Regulatory guidelines will be followed with this implementation, as well as County legal requirements. Both teams will review the contract with the selected vendor and ensure that coverage is managed between Environmental Health and the vendor.

- **Funding Source**

Technical Reserve funding approved for FY23 in June 2022 and confirmed in July 2022.

- **ROI/Justification for Request**

- County residents will have access to requests and applications where their data will be stored in the software. This will improve current process of printing or completing forms to have them dropped off or keyed into various applications. The ability to access a portal where the resident can search by a unique



identifier and receive a status of the progress of their request will improve customer experience and satisfaction with services.

- A reduction in the carbon footprint for resident will occur with the ability to use the online portal for multiple steps that were previously manual processes.
- Transitioning from an application built in house will decrease the support in maintenance, enhancement, and break fix exposure.
- Obtaining a software that is vendor hosted with backup servers in a separate location from the primary offers a more secure infrastructure in the event of a natural disaster locally.
- Obtaining a software that provides support for maintenance task like upgrades and patches on a scheduled basis increases the stability in versioning and allows the vendor to ensure testing has occurred on the current code level.
- Environmental Health staff can experience an application with combined functionality, offering a wholistic approach to their work tasks and documentation.

### Form A. BID/Solicitation Participation Acknowledgement

This form is to acknowledge that you are interested in participating in this project and that you have read/reviewed the County Sample Contract that will be used upon award. Failure to submit this form by the designated date as identified on the Schedule of Events shall not preclude the Company from submitting a proposal.

- Please complete and submit this form to the email address: [Meckbids@mecklenburgcountync.gov](mailto:Meckbids@mecklenburgcountync.gov).
- In the Subject Line include: Attention: Groundwater and Wastewater Permitting and monitoring Software 487-KB-HLT004032 Karl Beil, Procurement Analyst

AGENCY CONTACT INFORMATION			
Name:		Phone:	
Fax:		Email:	

AGENCY INFORMATION		
Agency Name:		
Name:	Title:	
Address:		
City:	State:	Zip Code:
Business Designation (check One)		
Individual [ ]      Sole Proprietorship [ ]      Public Service Corp [ ]      Partnership [ ]		
Corporation [ ]      Government/ Nonprofit [ ]      LLC [ ]		

Please check the appropriate box and provide the requested information:

- Yes ☐ No ☐ **Will attend the Pre-Proposal Conference and will submit a Proposal**  
Number of attendees:    In-Person                      Via Teleconference
- Yes ☐ No ☐ **Will not attend the Pre-Proposal Conference; however, intend on submitting a Proposal**  
Reason:
- Yes ☐ No ☐ **Will not attend the Pre-Proposal Conference nor submit a Proposal**  
Reason:

## Form B. Pricing Worksheet

Regardless of exceptions taken, Companies shall provide pricing based on the requirements and terms set forth in this RFP. Pricing must be all-inclusive and cover every aspect of the Project. Cost must be in United States dollars. **If there are additional costs associated with the Services, please add to this chart. Your Price Proposal must reflect all costs for which the County will be responsible.**

For purposes of this Solicitation, assume an initial term of three (3) years, with the County having an option to renew for two (2) additional consecutive one (1) year terms thereafter.

1. Provide an all-inclusive annual rate for the proposed services.

Service	Proposed Cost				
	Year 1	Year 2	Year 3	Year 4	Year 5

2. Provide hourly billing rates for key personnel that may be needed to complete additional services not included in the Scope of Services.

Job Title/Labor Category	Hourly Rate

Good/Service	Amount	Estimated Costs per unit, hour, etc.	Total Cost
		\$ -	
		\$ -	
		\$ -	
		\$ -	
		\$ -	
		\$ -	
		\$ -	
Sum:			

**Additional Comments:**

### Form C. Contract Exception

**Instructions:** Please acknowledge exception status to the County Sample Contract.

<input type="checkbox"/> Exceptions to the County Sample Contract*		<input type="checkbox"/> No Exceptions to the County Sample Contract	
<i>All exceptions must be listed below. Exceptions not listed may not be considered during contract negotiation.</i>			
Page #	Section	Specification/Requirement	Exception

**Form D. Addenda Receipt Confirmation**

**Instructions:** Please acknowledge receipt of all addenda posted to [MECKProcure](#) by including this form with your Proposal.

**ADDENDUM #:**

**DATE REVIEWED:**

I certify that this proposal complies with the General and Specific Specifications and conditions issued by Mecklenburg County except as clearly marked in the attached copy.

(Please Print Name)

Date

Authorized Signature

Title

Company Name

## BDI SOLICITATION COVERSHEET

The County maintains a strong commitment to the inclusion of MWBEs in the County's contracting and procurement process. Accordingly, BDI provides information and forms that Bidders will supply to be considered for the Program.

Bidders are expected to review the entire BDI Program Provisions Guide and this BDI Solicitation Coversheet as they are planning to submit the BDI form(s) with their Bid/Proposal. The Bid/Proposal should outline any supplies and/or services to be provided by Subcontractors, including each certified Minority Business Enterprise (MBE) and Women Business Enterprise (WBE) for the Contract. Submittals (forms) and time frames can be referenced in Section-4.

**PROJECT NAME:** Groundwater and Wastewater Permitting and Monitoring Software RFP 487-KB-HLT004032

### INDUSTRY CATEGORY

☐ Architect & Engineering ☐ Construction ☐ Professional Services ☐ Other Services ☒ Goods

Review the established participation goal type selected with the ☒ below for this specific solicitation.

### PARTICIPATION GOAL TYPES

#### ☐ A. CONTRACT-BY-CONTRACT GOALS

THE ESTABLISHED PARTICIPATION GOALS FOR THIS PROJECT ARE:

\_\_\_\_\_ MBE \_\_\_\_\_ WBE  
*\*Note: the goals must be achieved independently and not in combination*

Required Bid forms associated with this participation goal type are:

- [Form A] Listing of Good Faith Efforts (GFE)
- [Form B] Identification of Subcontractor Participation
- ☐ Joint Ventures Documentation (include when ☒ is selected)

#### ☒ B. ACHIEVEMENT GOALS

THE ESTABLISHED PARTICIPATION GOALS FOR THIS PROJECT ARE:

5% MBE 4% WBE  
*\*Note: the goals must be achieved independently and not in combination*

Required Bid forms associated with this participation goal type are:

- [Form B] Identification of Subcontractor Participation
- [Form C] Statement of Intent to Perform Contract with Own Workforce
- [Form D] MWBE Inclusion Plan
- ☐ Joint Ventures Documentation (include when ☒ is selected)

#### ☐ C. SPECIAL PROJECTS

THE ESTABLISHED PARTICIPATION GOALS FOR THIS PROJECT ARE:

\_\_\_\_\_ MBE \_\_\_\_\_ WBE  
*\*Note: the goals must be achieved independently and not in combination*

Required Bid forms associated with this participation goal type are:

- [Form D] MWBE Inclusion Plan
- ☐ Joint Ventures Documentation (include when ☒ is selected)

## Form B – Identification of Subcontractor Participation

[Submit with Bid]

The County maintains a strong commitment to the inclusion of MWBEs in the County's contracting and procurement process when there are viable subcontracting opportunities. Bidders must submit this form with their Bid/Proposal outlining any supplies and/or services to be provided by all Subcontractors, including each MBE, WBE, and non-certified firms for the Contract.

\*\*\*Prior to submission, review your documents for accuracy and ensure all items are complete\*\*\*

**Name of Bidder:**  
(Company Name)

**Certification Status**  
(check all that apply):

☐ MBE    ☐ WBE    ☐ NCSBE  
☐ CBI-SBE    ☐ NCDOT-DBE

**Project Name:**

Groundwater and Wastewater Permitting  
and Monitoring Software

**Solicitation #:**

487-KB-HLT004032

**Total Bid Amount:**

**Authorized Person:**

**Telephone:**

**Email:**

I, the Authorized Person, do hereby certify that on this Contract, we intend to use the following certified **MWBEs** and non-certified firms as Subcontractors (subconsultants, vendors, suppliers, and/or providers of professional and/or other services). We intend to expend the amounts/percentages below of the total dollar amount of the contract with the businesses listed

**\*\*MBE and WBE Certification with the NCHUB Office is required to be counted toward participation goals.**

Total Utilization Amount	Total Utilization Percentage	Total MBE Amount	Total MBE Percentage	Total WBE Amount	Total WBE Percentage	Total Non-Certified Amount	Total Non-Certified Percentage

#	Firm Name / Contact Person	Telephone / Email	County / State	Scope of Work	MBE Amount	WBE Amount	Non-Certified Amount
1							
2							
3							
4							
5							
6							

**BUSINESS DIVERSITY & INCLUSION (BDI) PROGRAM PROVISIONS GUIDE**  
Mecklenburg County Government

Formal Documents

7							
8							
9							
10							
11							
12							
13							
14							
15							

*(add additional sheets if needed)*

Pursuant to GS143-128.2(d), the undersigned will enter into a formal agreement with the firms listed on this form, conditional upon execution of a contract with the Owner. Failure to fulfill this commitment may constitute a breach of the contract, giving rise to all contract and/or statutory remedies, including but not limited to cancellation of the contract.

The undersigned hereby certifies that he or she has read the BDI Program Provisions Guide and the terms of this commitment and is authorized to bind the Bidder to the commitment herein set forth.

\_\_\_\_\_  
Signature of Authorized Person

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date



## Form C – Statement of Intent to Perform Contract with OWN Workforce

[Submit with Bid]

\*\*\*Prior to submission, review your documents for accuracy and ensure all items are complete\*\*\*

Name of Bidder: \_\_\_\_\_ Certification Status: ☐ MBE ☐ WBE ☐ NCSBE  
(Company Name) \_\_\_\_\_ ☐ CBI-SBE ☐ NCDOT-DBE  
Telephone: \_\_\_\_\_ Emails: \_\_\_\_\_  
Project Name: Groundwater and Wastewater Solicitation #: 487-KB-HLT004032  
Permitting and Monitoring Software  
Total Bid Amount: \_\_\_\_\_

I hereby certify that it is our intent to perform 100% of the contract required for this Contract.

1. In making this certification, the Bidder states that the Bidder does not customarily subcontract elements of this type of project, normally performs, has the capability to perform, and will perform **all elements of the work** (labor) on this project with his/her own current workforces – **including any aggregation of material, equipment or supplies required for the project provided by the Bidder's company for utilization on a County Project, with the total value of which is ten percent (10%) or more of the value of the contract or \$2,000, whichever is less; and**

The Bidder agrees to provide any additional information or documentation requested by the owner in support of the above statement.

2. If it should become necessary to subcontract some portion of the work at a later date, the Bidder will comply with all "Good Faith Efforts" requirements in providing equal opportunity to MWBE firms to Subcontract the Work. The BDI Program Office should be notified immediately and approved, and respective BDI Program Provisions and Forms should be adhered to.

The undersigned hereby certifies that he or she has read the BDI Program Provisions Guide and this certification and is authorized to bind the Bidder to the commitments herein contained.

Date: \_\_\_\_\_ Name of Authorized Person: \_\_\_\_\_  
Signature: \_\_\_\_\_  
Title: \_\_\_\_\_

State of \_\_\_\_\_, County of \_\_\_\_\_  
Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_  
Notary Public Name/Signature \_\_\_\_\_  
My commission expires \_\_\_\_\_

SEAL

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## **Form D – MWBE Inclusion Plan**

[Submit with Bid, when selected in the BDI Solicitation Coversheet]

Create a detailed description of the strategies and actions the Bidder will take to outreach fairly and equitably, support, and contract with MWBEs.

\*\*\*Prior to submission, review your documents for accuracy and ensure all items are complete\*\*\*

The following are elements to incorporate into the MWBE Inclusion Plan to help collaborate with MWBEs by addressing the following, but not be limited to:

- the firms you contacted, when, and how you made contact, and their contact information
- the outreach strategy used to meet this Contract's MWBE achievement goals;
- the specific resources and resource contacts utilized to locate MWBE firms for this Contract;
- the plan for building a connection with MWBEs and developing a project team;
- the plan to strengthen business relationships;
- the methods that will be used to improve lines of communication;
- the approach(es) that will be taken to resolve disputes;
- detailed description of the supportive services and activities that will be established for business development and how the plan will be executed;
- the mentorship opportunities that will be made available and how those opportunities will be executed; and
- the efforts that will be made available for capacity building and how those efforts will be executed.

*(add additional sheets if needed)*

**Form F. Vendor Company Information - Background and Experience**

<b>Vendor Background</b>	
<b>Question</b>	<b>Response</b>
<b>Vendor Identification</b>	
Vendor Legal Name:	
Vendor Assumed or DBA Name:	
Vendor Address:	
Vendor Contact Information:	
<b>Corporate Notes</b>	
<b>Ownership:</b>	
State company ownership status <ul style="list-style-type: none"> <li>• Business</li> <li>• Sole Proprietor</li> <li>• Partnership</li> <li>• Corporation</li> <li>• Limited Liability Corporation (LLC)</li> <li>• Other</li> </ul>	
State what city and state the company was legally formed.	
State the date the company was formed.	
<b>Certified Partnerships:</b>	
Identify certifications held for implementing another firm's products. Include how long the partnership or certification has been effect.	
<b>Organization Size:</b>	
Describe organization, including any parent companies, subsidiaries, affiliates and other related entities. <ul style="list-style-type: none"> <li>• If a Subsidiary               <ul style="list-style-type: none"> <li>○ # of employees of proposing company/division</li> <li>○ Identify revenues of proposing company/division</li> </ul> </li> </ul>	
<b>Vendor Experience</b>	
<b>Customer Base:</b>	
# of public sector clients.	
# of clients that are municipalities/counties	
# of clients served similar in size to the County	
# years of experience delivering products/services as described in the Scope of Work	
<b>Terminated Projects:</b>	
List any terminated projects. Please disclose the jurisdiction and explain the reason for the termination.	
<b>Litigation:</b>	

List any litigation that you have been involved with during the past two (2) years regarding services provided.	
<b>Additional Narrative Response</b>	
<b>Background:</b>	
Describe company in terms of size, type of services offered, and clientele served.	
Describe track record for providing services and/or deliverables similar to the Scope of Work in the Solicitation.	
<b>Financial Information:</b>	
State whether the company or its parent company (if any) has ever received any sanctions or is currently under investigation by any regulatory or government body.	
<b>Project Team</b>	
Describe the project team key individuals responsible for performing the Statement of Work services and/or deliverables. <ul style="list-style-type: none"> <li>• Include information regarding             <ul style="list-style-type: none"> <li>○ Experience</li> <li>○ Qualifications</li> <li>○ Professional certifications/licensures</li> <li>○ Other information as deemed necessary</li> </ul> </li> </ul>	
Describe communication scheme you will use to keep the County informed about services?	
What risks are associated with project? What contingencies have been built in to mitigate those risks?	

### Form G. Vendor Reference Form

Please provide the following information for three (3) customers of comparable size and scope as outlined in this Solicitation, particularly North Carolina public sector customers that the vendor has been under Contract with during the past five (5) years, as well as any additional municipality references.

References may be called at any time during the procurement process. The County will not notify Vendors before reference checks begin.

The County reserves the right to check any other reference(s) that might be indicated through the explicitly specified contacts or that result from communication with other entities involved with similar projects.

If your Bid/Proposal includes a Third-Party Provider, you must also submit a separate copy of this form for each Third-Party Provider.

#### **REFERENCE 1:**

Name of Client: \_\_\_\_\_ Phone: \_\_\_\_\_

Address: \_\_\_\_\_

Primary Contact: \_\_\_\_\_ Title: \_\_\_\_\_

Email Address: \_\_\_\_\_ Phone: \_\_\_\_\_

Service Dates: \_\_\_\_\_

Summary and Scope of Services Provided:

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Client Operating Budget: \$ \_\_\_\_\_ Client # of Employees: \_\_\_\_\_

#### **REFERENCE 2:**

Name of Client: \_\_\_\_\_ Phone: \_\_\_\_\_

Address: \_\_\_\_\_

Primary Contact: \_\_\_\_\_ Title: \_\_\_\_\_

Email Address: \_\_\_\_\_ Phone: \_\_\_\_\_

Service Dates: \_\_\_\_\_

Summary and Scope of Services Provided:

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Client Operating Budget: \$ \_\_\_\_\_ Client # of Employees: \_\_\_\_\_

**REFERENCE 3:**

Name of Client: \_\_\_\_\_ Phone: \_\_\_\_\_

Address: \_\_\_\_\_

Primary Contact: \_\_\_\_\_ Title: \_\_\_\_\_

Email Address: \_\_\_\_\_ Phone: \_\_\_\_\_

Service Dates: \_\_\_\_\_

Summary and Scope of Services Provided:

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Client Operating Budget: \$ \_\_\_\_\_ Client # of Employees: \_\_\_\_\_

10/2018

## Attachment D – Audited Financial Statement Requirements

	Mecklenburg County Financial Services Department Financial Statement Policy	SOP Name	Financial Statement Policy
		SOP Owner	Veronica Uche
		Approval	March 21, 2023
		Implementation Date	April 10, 2013
		Last Reviewed/Revised	April 4, 2023
		Pages	

Introduction: The Departmental Financial Services Division requires all Mecklenburg County (the “County”) contractors of health and human services to comply with the requirements in this policy except as provided by any general or special exemptions, which can also be found in this policy.

### Standard Operating Policy

#### 1. Purpose and Scope

The purpose of this policy is to establish guidelines for when contracted Health and Human Services providers are required to submit audited financial statement to Mecklenburg County.

#### Definitions:

- a. **Contractor** refers to a person, company, firm, agency, or provider under contract with Mecklenburg County to provide a service on behalf of the human services departments of Mecklenburg County at any given time during the current fiscal year
- b. **Certified Public Accountant (CPA)** refers to a qualified accountant in the United States who has passed the Uniform Certified Public Accountant Examination, has met additional state education and experience requirements for certification as a CPA, and maintains a current active license with the North Carolina State Board of CPA Examiners or an equivalent CPA licensing board in another state.
- c. **Audited Financial Statements** refers to a company's financial statements prepared and certified by an independent CPA. The CPA certifies that the financial statements provide a fair representation of the company's financial position and the results of its operations in accordance with U.S. Generally Accepted Accounting Principles (GAAP).

#### 2. Process

#### Requirements:

Contractors with total annual contract amounts of **one hundred thousand dollars (\$100,000)** or more from all Mecklenburg County contracts are required to submit annual Audited Financial Statements prepared by an independent CPA. The Audited Financial Statements must include the following:

- Balance Sheet, (also referred to in some organizations as a Statement of Financial Position or Statement of Assets, Liabilities and Owner's Equity).
- Statement of Income (also referred to in some organizations as a Statement of Revenues and Expenses).
- Statement of Cash Flows.
- Independent Auditors' Opinion.
- Notes to Financial Statements and Supplement Information. The Notes to the Financial Statements are required as they provide additional detail and further explanation of the financial statements.
- The Audited Financial Statements may also include additional information such as management's discussion and analysis, schedules, or exhibits that provide further detailed items included in the basic financial statements.
- If the contractor is subject to Single Audit requirements, such audit report shall also be provided along with a copy of the audited financial statement.

### **General Exemptions:**

General exemptions to the requirements in this policy are listed by category below. The County maintains contractual relationships with large numbers of these contractors in each category that present mitigating circumstances to the risks associated with continuity of service provision due to financial instability of contractors. In addition, the nature of business, type of contractor or type of contractual relationship with these contractors present mitigating circumstances to the risks associated with financial liability to the County due to financial instability of contractors.

- Children's Developmental Services Agency (CDSA) – Providers enrolled in the CDSA network that provide direct services to consumers. No federal, state or county funds are attached to contracts with these providers.
- Extended Warranty/Maintenance Agreements – Service Provider that provides maintenance on equipment and machines under an extended warranty agreement or a service maintenance agreement. Service maintenance includes break-fix, preventive, testing, calibration, monitoring, and any other routine, incidental, or necessary maintenance to ensure the equipment and machinery are in proper working condition and free from defective material and workmanship. Extended warranty maintenance covers the equipment and machinery for replacement, repair or other compensation for any defect as stated without cost.
- Facility Use Agreements – An agreement which documents the cost, scheduling, equipment, supplies, food, or other items needed for an event with an outside company organization for the purposes of training, meetings, or special events. In addition, the agreement is used to comply with Mecklenburg County Procurement Policy Section 8. Contract Execution and Approval.
- Forensic Evaluations – Providers serving as sole practitioners to conduct forensic, psychological, or physiological evaluations. These providers are licensed by the state to provide mandated services in the art of healing.
- Low Income Energy Assistance Program (LIEAP) – Contractors providing residential utility services primarily to customers through LIEAP.
- Medical Consultants – Providers serving as sole practitioners to provide expertise in or clinical oversight of a certain service, including but not limited to physicians, surgeons, veterinarians, nurse practitioners, and other persons practicing a professional art of healing. These providers are not typically involved in the day-to-day operations of the service, and departments that choose to provide this service are typically mandated to have this type of expertise or clinical oversight.
- Memorandums of Understanding – Contractors that provide services on behalf of the County through a Memorandum of Understanding whereby no funds are attached.
- Residential Level III Room and Board Contracts – Contracts solely for Room and Board services provided by certain contractors on behalf of the County for at-risk children and adolescents. Contractors must be providing Medicaid-covered services to children and adolescents in a Residential Level III group home community-based setting, enrolled with Cardinal Innovations Healthcare Solutions (MCO), and designated as a Medicaid provider within Cardinal's provider network.
- Revenue Contracts – Contracts through which the County is providing services on behalf of an entity and funds are recognized, received, and appropriated by the County.
- Universities/Other Governmental Entities – Contractors providing a variety of services as a university, government agency or similar type organization.

### **Exemptions:**

Special exemptions to the requirements in this policy may be granted on a case-by-case basis by the Chief Financial Officer or designee.

### **Process:**

In order for potential health and human services contractors to be compliant with the requirements of this policy, contractors must submit current financial statements in either hard-copy or electronic format to the DFS Compliance Team prior to consideration for a contract with Mecklenburg County. To be considered current, the financial statements must be for contractors most completed fiscal year.

The DFS Compliance Team will review the financial statements to determine compliance with the requirements of this policy. When a determination is made that a potential contractor is compliant with the requirements of this policy, the DFS Compliance Team will notify the Mecklenburg County Procurement Team. Procurement Team will notify the potential



contractor that they are eligible to contract with Mecklenburg County and/or issue a contract to the contractor for their signature.

### 3. Documentation and Communication

DFS Compliance will maintain a tracking record of all financial statements submitted by contractors. DFS Compliance will be responsible for ensuring that updated financial statements are properly requested, submitted by contractors, and tracked on a regular basis. Hard copies of financial statements when applicable will be physically located in the Finance Department with DFS Compliance and will be retained and disposed of in accordance with Mecklenburg County's Record Retention Policy.