



**City of Raleigh**

**Request for Proposals # 274-2003 Records**

**Title: Contract for Records Management Solution**

**Issue Date: July 13, 2023**

**Due Date: August 14, 2023, not later than 4 p.m. EST**

**\*LATE PROPOSALS WILL NOT BE ACCEPTED\***

**ADDENDUM NO. 1**

Issue Date: *August 7, 2023*

**Issuing Department: Communications**  
**Direct all inquiries concerning this RFP to:**

Sarah Baker  
Senior Policy Analyst  
Email: [sarah.baker@raleighnc.gov](mailto:sarah.baker@raleighnc.gov)

City of Raleigh  
Addendum 1 to RFP 274-2003 Records

**Issue Date: August 7, 2023**

To: All Proposers

This Addendum, containing the following additions, clarifications, and/or changes, is issued prior to receipt of proposal packages and does hereby become part of the original RFP documents and supersedes the original RFP documents in case of conflict.

Receipt of this addendum must be acknowledged by signing in the area indicated below. Please make the follow additions, clarifications, and/or changes to the RFP as listed below and **sign and return this addendum with your proposal package.**

- Section 1.6 Proposal Submission Requirements and Contact Information
- Appendix III Reference Questionnaire Form (due date only)
- Questions and Answers

*Sarah Baker*  
*Senior Policy Analyst*

**Sign below and return this addendum with your proposal.**



**Proposer Name & Company:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Signature:** \_\_\_\_\_ **Title:** \_\_\_\_\_

## **1.6 Proposal Submission Requirements and Contact Information**

*Proposals must follow the format as defined in Section 2 (PROPOSALS), and be addressed and submitted as follows:*

<b>DELIVERED BY E- MAIL:</b>
Sarah Baker and Beth Berg
TO: Sarah.baker@raleighnc.gov
CC: Beth.Berg@RaleighNC.gov
RFQ No.: 274-2003 Records Contract for Records Management Solution

Proposals must be enclosed in an envelope or package **submitted by email**, and clearly marked with the name of the submitting company, the RFP number and the RFP Title.

Proposers must submit:

- A. ~~one (1) signed original;~~
- B. one (1) electronic version of the signed proposal and;
- C. ~~and~~ (1) electronic public version of the signed proposal, with redactions or exclusions, suitable for release as a public record.

The electronic versions of the Proposal must be submitted as a viewable and printable Adobe Portable Document File (PDF) ~~on a USB Flash Drive. Both hard copy and electronic versions~~. All submission must be received by the City on or before the RFP due date and time provided in RFP Timeline (Section 1.3). Proposals received after the RFP due date and time will not be considered ~~and will be returned unopened to the return address on the submission envelope or package.~~

Any requirements in the RFP that cannot be met must be indicated on Appendix VI: Exceptions to the RFP and submitted with the proposal. **Proposers must respond to the entire Request for Proposals (RFP). Any incomplete proposal may be eliminated from competition at the discretion of the City of Raleigh.** The City reserves the right to reject any or all proposals for any reason and to waive any informality it deems in its best interest.

Proposals that arrive after the due date and time will not be accepted or considered for any reason whatsoever. If the firm elects to mail in its response, the firm must allow sufficient time to ensure the City's proper receipt of the package by the time specified in the RFP Timeline (Section 1.3). Regardless of the delivery method, it is the responsibility of the firm to ensure that their proposal arrives at the designated location specified in this Section by the due date and time specified in the RFP Timeline (Section 1.3).

**APPENDIX III**

**REFERENCE QUESTIONNAIRE FORM**

**274-2003 Records Contract for Records Management Solution**

\_\_\_\_\_  
**(Name of Business Requesting Reference)**

This form is being submitted to your company for completion as a business reference for the company listed above.

This form is to be returned to the City of Raleigh, **Sarah Baker**, via email to **sarah.baker@raleighnc.gov** no later than **4 p.m. EST, ~~August 7, 2023~~ August 14, 2023**, and **MUST NOT** be returned to the company requesting the reference.

For questions or concerns regarding this form, please contact the City of Raleigh, Point of Contact above.

**Company Providing Reference**

**Contact Name and Title/Position** \_\_\_\_\_

**Contact Telephone Number** \_\_\_\_\_

**Contact Email Address** \_\_\_\_\_

Questions:

1. In what capacity have you worked with this company in the past? If the company was under a contract, please acknowledge and explain briefly whether or not the contract was successful.

Comments:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2. How would you rate this company's knowledge and expertise?

3= Excellent

2= Satisfactory

1= Unsatisfactory

0= Unacceptable

Comments:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. How would you rate the company's flexibility relative to changes in the scope and timelines?

3= Excellent

2= Satisfactory

1= Unsatisfactory

0= Unacceptable

Comments:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. What is your level of satisfaction with hard-copy materials, e.g. reports, logs, etc. produced by the company?  
 3= Excellent       2= Satisfactory       1= Unsatisfactory       0= Unacceptable

Comments:

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5. How would you rate the dynamics/interaction between the company and your staff?  
 3= Excellent       2= Satisfactory       1= Unsatisfactory       0= Unacceptable

Comments:

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6. Who were the company's principle representatives involved in providing your service and how would you rate them individually? Would you comment on the skills, knowledge, behaviors or other factors on which you based the rating?

(3= Excellent; 2= Satisfactory; 1= Unsatisfactory; 0= Unacceptable)

Name: _____	Rating: _____
Name: _____	Rating: _____
Name: _____	Rating: _____
Name: _____	Rating: _____

Comments:

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7. With which aspect(s) of this company's services are you most satisfied?

Comments:

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8. With which aspect(s) of this company's services are you least satisfied?

Comments:

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9. Would you recommend this company's services to your organization again?

Comments:

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# **QUESTIONS & ANSWERS**

## **Current State**

### **What is your current process today centralized vs. decentralized?**

The current process is primarily centralized. Records requests are made to one group, and that group releases records except routine records related to planning and development.

### **Please confirm yes or no, does the City of Raleigh have an existing implementation of any type of Contract for Records Management Solution? If yes, who is the vendor and the product?**

No, the City doesn't have this.

### **Has the City of Raleigh exhausted all 'internal' or non-RFP options for a Contract for Records Management Solution Provider and is certain in the decision to solicit responses from the vendor community?**

The City has extensively used internal options for records requests management and workflow. This includes a Drupal intake form that feeds to the ServiceNow system; highly customized ServiceNow workflows and data points; and the use of SharePoint and eDiscovery.

### **Can the City of Raleigh provide examples of their custom statuses?**

The custom public records statuses currently being used are:

- New
- Work in Progress – Communications
- Work in Progress – Department
- Work in Progress – Email Search
- On Hold – Requestor
- On Hold – Other
- In Review – Communications
- In Review – City Attorney's Office
- In Review – Other
- Dormant

### **Flag Key Requestors - Law Firms and Media. Are you wanting to be able to tag requests from Law Firms and the Media to categorize/index those kinds of requests? Please help clarify what you're looking for. (Page 12)**

Our current intake form asks requestors to identify what type of an organization they are affiliated with, and we communicate with them that this helps us ensure the request is seen by all of the appropriate people so they only have to make one contact. When a user selects "Media" from the pick list, a copy of the request is sent to the PIO who is on duty (we can change this when the day-to-day PIO is out of the office). When a user selects "Law Firm" from the pick list, a copy goes to the lead records attorney and paralegal for a litigation check.

With the current system, these fields can also be edited by the records team, which generates alerts to the associated staff.

Flagging key requestors has been an important business practice for us. It keeps the records work flowing in routine ways (i.e. not slowing anything from these requestors that wouldn't be slowed for others) while keeping key parties up to date on requests.

## **Current State: Volume**

**Do you have an estimate of your annual volume of requests?/ What is the City's current request volume?/ What is the Police Department's current request volume?**

All requests are currently input into the same system. The current system does not produce department-specific reports.

The calendar year 2022 program report has information about volume and is included as the last page of this document.

**How many active Public Records Requests does the City of Raleigh currently have?**

On Monday, July 31, at 7 a.m. there were 113 active requests.

**What is the estimated amount of unfiltered data collected annually?**

The calendar year 2022 program report has information about volume and is included as the last page of this document.

**Scope**

**What departments are included? Is the PD included?**

All City of Raleigh Departments are included, a list is available at <https://raleighnc.gov/departments>.

**Integrations**

**What Single Sign On technology does the City of Raleigh support?**

Microsoft Azure Active Directory (Azure AD)

**What functionality are you trying to achieve through the Microsoft integration?**

We want employees to be able to move seamlessly between the selected vendor solution, email, and many records and data systems. The goal of Microsoft integration is exceptional internal customer service, making it easy for department staff who may interact with this tool infrequently to know when they need to provide records, provide responsive records, and for us to process them efficiently.

**What Microsoft product(s) do you use? (Page 13) / What systems does the City of Raleigh currently have that would require collection (Example: SharePoint, SharePoint O365, OneDrive O365, Laptops, One Drive Desktops, Network Shares, Office 365, Exchange, Documentum etc.)? / Which Microsoft products are currently used by the City of Raleigh?**

Various Microsoft products are used across the organization. These include SharePoint, OneDrive, Network Shares, etc.

**Can you list what Microsoft products are you looking to integrate? MS Office? MS SharePoint? MS Teams? Others? / Can the City of Raleigh provide more details as to the desired Microsoft Integration?**

Likely Outlook and SharePoint. Potentially others.

**How many Office 365 users does the City of Raleigh have, if applicable?**

The City of Raleigh has about 4,000 employees.

**Payments**

**Do you have an existing payment provider that you expect vendors to integrate with?**

The City of Raleigh currently asks vendors to integrate with Paymentus.

**Is the City open to other payment integrations than Paymentus?**

The City's current vendor is Paymentus.

**Future State: Users**

**How many users would the City of Raleigh need? / For accessing Records Management Software, how many users will need full rights (upload, edit cases) and how many will need read-only rights (only view the cases or participate in the workflow process)? / How many internal users will need to access content and data in this solution?**

North Carolina law requires every public employee to accept and respond to public records requests and maintain their own records. We envision fulfilling this obligation with a system that allows all City of Raleigh employees to upload records.

Each department has at least one Records Management Liaison who coordinates records for the department or division. We anticipate these about 50 individuals will help verify that the requested records have been gathered. A portion of these individuals will be making redactions.

Five to eight individuals currently have access to read or edit various aspects related to the City of Raleigh Records Program.

**How many concurrent users do you expect would need to be in the system at the same time?**

We do not have a good way to estimate this.

**How many Public Records Requests would the City of Raleigh predict having on an annual basis?**

Requests vary significantly in size. We have found that the volume of requests varies significantly depending on how they are counted based on the workflows set up and routing, number of tasks generated for each request, etc.

The calendar year 2022 program report has information about volume and is included as the last page of this document.

**Future State: Functionality**

**Would it be helpful to automatically extract .pst files inside the platform while retaining deep layered folder structure and convert emails into de-duped, readable redactable .msg files while leaving the original .pst file intact?**

North Carolina specifies that records should be released in their original format with few exceptions. A solution will need to leave the original files intact, and allow for redactions. De-duplication is important for the City of Raleigh in managing email search results.

**Can you provide any further clarification of the searchable knowledgebase of released records, is this available just to internal users or for the public?**

Initially, we would like for internal users to be able to search previously released records, and then send them to additional requestors. The City of Raleigh is building the knowledge base associated with our website and would welcome opportunities to integrate with this if/as possible.

Related to this, we envision a future state where a tool points users directly to:

- Content on the City's website and/or self-service solution,

- Other agencies when they ask for records the City does not maintain such as foreclosure listings, tax records, birth certificates; and
- Previously released records that may be responsive to the specific request.

**Is City’s preference more towards Cloud based Records Management Software or On-Premises Records Management Software?**

Cloud based

**Can you describe what account functionality you are looking to provide for ‘external users’?**

Ideally, we would like for users to be able to make requests as a user or a guest. There are a large number of regular users, and we think they would appreciate being able to log in, make new requests without entering contact information, see prior requests, review responsive records, etc.

Please note that by North Carolina law, we cannot require requestors to use the portal, to provide their name or any contact information. The functionality must allow name and contact fields to be optional.

**Can you describe what ‘time tracking’ functionality you are looking for this system to provide?**

We would like to be able to track how long each request is at each stage of the process, and ultimately with each employee. We would also like to be able to use this data to show the full timeline of a single request and generate reports by month, year, department, etc.

**Please describe what is meant by “multi-level” workflow in “multi-level automated workflow.” (Page 3)**

If the first person a request is routed to in a department is not available or not responsive, we would like for the request to automatically roll up to a higher-level employee or to a peer. Ideally, we would be able to set this up differently for various departments.

**Please describe any electronic document management products, electronic records management products or any other archives of electronic storage for emails, documents or data content that you would expect to be included in a Public Records requests.**

North Carolina specifies that records should be released in their original format with few exceptions, so products are not included in records requests.

**Redactions**

**How many users will be performing redactions?**

Initially, five to 10 users will perform redaction, but over time this is expected to increase to 30-50 users.

**RFP Process & Clarifications**

**Can the City of Raleigh confirm that they are looking for a solution that can be used to respond to FOIA requests? If not, please confirm the high-level use case for the desired solution.**

The City of Raleigh is a local government organization, and we do not respond to FOIA requests. It is the policy of the City of Raleigh to comply with all requests for public records in accordance with the law. This RFP is for a solution to accept, workflow, process, and respond to public records requests.

**What does “City IT Security Compliance” entail?**

The City of Raleigh IT Department has security requirements and will evaluate the security practices of any finalist vendors. A key part of this will be a SOC 2 Report. For some projects, an ISO 27001 is also requested. IT will determine the exact needs as the project progresses.

**Can the City of Raleigh provide more specifics as to the specific “Law Enforcement Accreditation Standards” to be met?**

The Raleigh Police Department participates in the CALEA Law Enforcement Accreditation process. The selected vendor will need to meet all requirements related to RPD’s accreditation.

**With the City of Raleigh’s recent release of another related RFP - 274-RPDF24-01, is the City interested in discussing how technology solutions can be leveraged across multiple City departments?**

These RFPs are not related.

**Assuming the City of Raleigh receives a proposal(s) that score positively against the selection criteria, will the City of Raleigh absolutely make an award?**

Please see section 1.13 of the RFP.

**RFP Process: Timeline**

**Given the tight timeframe for question and answers (less than 5 business days) and the requirement for printing and shipping which subtracts a couple of days, would the agency consider an extension of 7 days to allow time for vendors to adjust our proposal responses based upon the City’s answers to vendor questions?**

There is no printing and shipping requirement. We are extending the acceptance of the Reference Questionnaire to the bid closure on Aug. 14, at 4 p.m.

**When would the City of Raleigh like to finish the contracts portion of the project?**

The City is interested in moving quickly, there are many variables and we are not ready to announce a deadline.

**Is there any expected timeframe within which you would like this system to go-live?**

The City is interested in moving quickly, there are many variables and we are not ready to announce a deadline.

**Please provide a list of what vendors and / or solutions for the Contract for Records Management Solution selection committee has reviewed or received in the past year?**

There has not been an active selection committee in the past year.

**Have City seen demonstrations of any Records Management Software? If yes, what is the name of the solution and vendor which provided the demonstration?**

Various staff across the City of Raleigh have likely participated in product demonstrations. A few of the vendors whose products we looked at and/or contacted in the past three years developing the recently approved budget request include (but are not limited to): GovQA, Just FOIA, NextRequest, ServiceNow, ArcCase, and Rock Solid.

**Section 1.2 Background references an "attached memo" but I don't see the memo anywhere. Can we please have a copy of the memo? (Page 2)**

This was an error, please disregard it.

**Funding**

**Can you share a 5 Year Total Cost Estimate?**

The City's budget is produced for one fiscal year at a time. There is not a five-year cost estimate.

**Has the City of Raleigh officially allocated and / or assigned funding to the Contract for Records Management Solution related project?**

The City's FY24 budget includes funding for this tool/solution.

**Do you have a budget already available for this project? If yes, what is the maximum budget you are planning to spend on this project?**

The Communications Department budget was expanded by \$15,000 in response to the request for a records management workflow and redaction tool.

**With Cost being a part of the Selection Criteria, will the City of Raleigh share the budget estimate for this procurement e.g., Approved Steering Committee Notes, Published Agendas identifying budget, etc.?**

There is not a Steering Committee. The City's budget is available on our website.

**Submission Requirements**

**Can the City of Raleigh provide additional details on the Proposal Submission Requirements:**

- a. **Does the City require a paper copy in addition to the electronically signed copy requested in Item B?**
- b. **Does the City require both an emailed proposal and one provided on a USB Flash Drive?**

Proposals must be submitted by email. The email should be clearly marked with the name of the submitting company, the RFP number and the RFP title. Proposers must submit:

- A. One (1) electronic version of the signed proposal and;
- B. One (1) electronic public version of the signed proposal, with redactions or exclusions, suitable for release as a public record.

The electronic versions of the proposal must be submitted as a viewable and printable Adobe Portable Document File (PDF). All submissions must be received by the City on or before the RFP due date and time provided in RFP Timeline (Section 1.3). Proposals received after the RFP due date and time will not be considered.

**Appendix III Reference Questionnaire Form (Pages 17-18) outlines an August 7th due date. I see the instructions on Page 16 (Reference Questionnaire Instructions). To be clear, is the "ask" here that we as the responsive vendor, need to obtain a minimum of 3 references, send the references the form directly, and have them fill it out and send to Sarah Baker by August 7th?**

Yes on the process. We are extending the acceptance of the reference questionnaire to the bid closure on August 14, at 4 p.m.

**Regarding the requirement for Appendix III – Reference Questionnaire. We have several government evaluations provided by clients that we can include in our proposal. Our clients have taken the time to provide such evaluations and therefore we don't want to go back to them to request that they complete questionnaires related to our performance. Will you consider allowing us to include Evaluations we have on hand that have been provided by our clients? These evaluations are signed off by them and they provide**

**more detail than the Appendix III Reference Questionnaire that has been provided in the RFP.**

We want to compare all vendors equally, and using the same process and form is part of this process.

**Document Production**

**Do we need to perform scanning services? if yes, What is the size and quantity of the files that need to be scanned? / Do we need to scan B&W or Color? If color, then what % of documents are color? / What is the expected output format? / Is it TIFF or PDF? Is it a single page or multi-page?**

No scanning services are being requested.

**What are the indexing criteria? (How many fields do we need to index for each file?)**

No indexing service is being requested.

**Can we pick up all the documents in a single trip?**

No pickup/delivery services are being requested.

**What is the level of preparation required? (Removal of fasteners, staples, post-it's, etc.) / What level of reassembly is required? (Do we need to apply fasteners, post-it's and rearrange the documents in the same order after scanning?)**

No scanning services are being requested.

## Public Records

