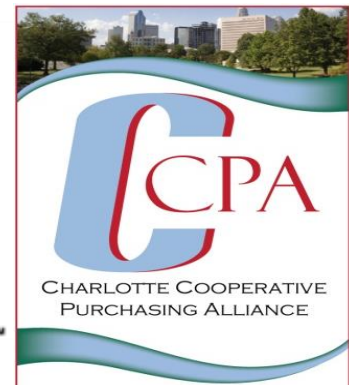

CITYWIDE DOCUMENT MANAGEMENT SERVICES



Authorized Solution Provider

RFP Response prepared for
CITY OF CHARLOTTE
NORTH CAROLINA

Request for Proposal # 269-2019-090
June 24, 2020



Kelly Green
Chief Strategy Officer
FileSolve a Division of Patterson Pope
3001 North Graham Street, Suite B
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COVER LETTER

June 24, 2020

Tracy Keyes
City Procurement
CMGC 9th Floor 600 East 4th Street
Charlotte, NC 28202

Dear Ms. Keyes,

On behalf of Patterson Pope, referenced in this document as its division FileSolve, it is with great pleasure that I provide the City of Charlotte with the following response to your Citywide Document Management Services Request for proposal. I would like to take this opportunity to thank you for evaluating the FileSolve Scanning as a Service solution. Our continued communication will ensure that we are able to enjoy a smooth and successful partnership discussion. Per your request, the following document provides a preliminary, yet solid foundation to implement a cost-effective solution for the City of Charlotte.

FileSolve is uniquely qualified to address the City of Charlotte Document Management needs. The RFP document describes a variety of departments which require document management services with a variety of business processes and systems. FileSolve focuses on gaining an understanding of our client's current situation prior to moving forward with designing a solution. Based on the defined RFP evaluation criteria, the FileSolve unique qualities include:

- a. Qualifications and Experience
 - Extensive Experience and Project References
 - Certified Professionals
 - Enterprise Content Management
 - OnBase
 - Docuware
 - Kofax
 - PSIgen
 - Microsoft
 - CompTIA: A+, Network+, and Security+
 - Project Management
 - Project Management Professional (PMP)® Certification
 - Prosci Change Management Certified
 - Security and Compliance Adherence
 - Certified Information Systems Security Professionals
- b. Project Approach and Proposed Solution
 - Proven Closed Loop Processing Methodology
 - Certified Project Management
 - Extensive Collaboration and Communication Tools
- c. Cost Effectiveness and Value
 - Pricing Similar to Pre-negotiated Federal Pricing
- d. MWSBE Inclusion Efforts
 - FileSolve Partners with a Certified MWSBE Company for labor for this project
 - Charlotte Business Inclusion Certified
 - HUB Certified
- e. CCPA Plan
 - Based on the extensive experience, ability to deploy remote teams, and utilization of advanced technology, FileSolve is positioned well to bring great value to the CCPA Plan.

- Delivery: FileSolve has the ability to deliver desired services to the participating agencies
 - Assessment: No cost assessment to assist agencies evaluate the services
 - Marketing and Education: Technology Conferences, Webinars, On-site Conferences
- f. Acceptance of the Terms of the Contract
- FileSolve accepts the Terms of the Contract with minimal exceptions

Business processes vary between organizations and agencies, and each organization has its own unique requirements and procedures for managing and retaining their documents, which is why FileSolve is committed to designing a complete, tailored, and rapidly deployable solution that is specific to your requirements.

Our response submission was formulated based on the requirements provided in the City of Charlotte solicitation document. As your requirements evolve in each department, we will conduct discovery meetings to validate those requirements and provide additional information to your project team.

Once again, thank you for your interest in the FileSolve solution. Please do not hesitate to contact me if questions arise during the review process.

Sincerely,

Kelly Green
Chief Strategy Officer
FileSolve a Division of Patterson Pope
3001 North Graham Street, Suite B
Charlotte, NC 28206
Phone: (704) 523-4400 Cell: (704)492-5909
E-mail: KGreen@FileSolve.com

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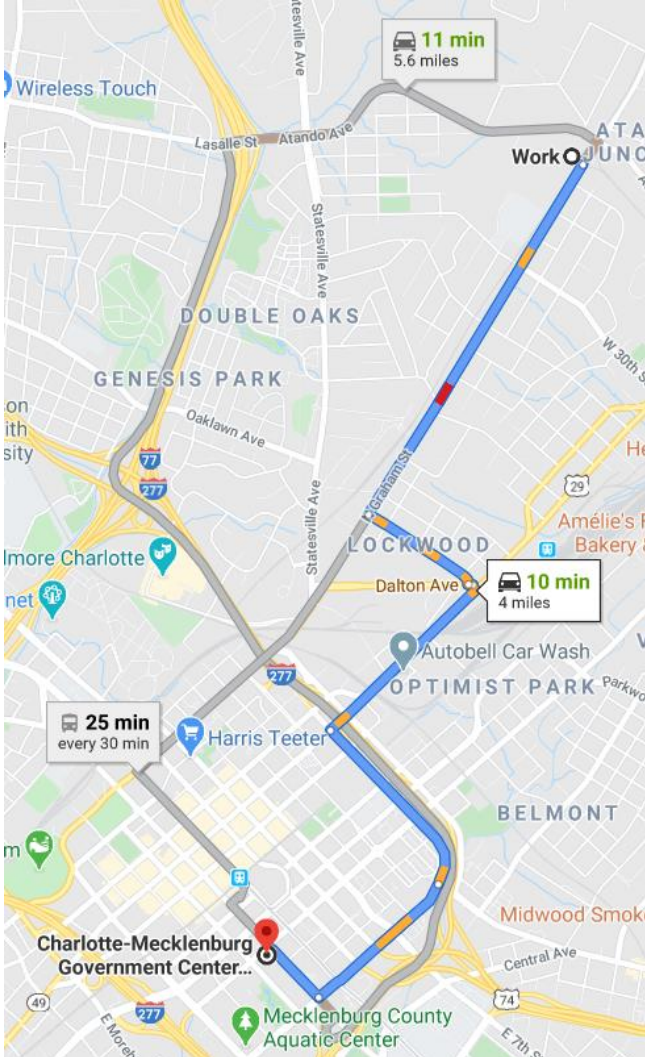
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1 PROPOSED SOLUTION

1.5 Company Background (3-5 pages)

Question	Response
What is the Company's legal name and headquarters location?	Patterson Pope, dba FileSolve Charlotte, NC
What is the physical location of the Company office or warehouse that would perform the Services?	3001 North Graham Street, Suite B Charlotte, NC 28206 (4 miles from the Government Center)
How long has your Company been in business?	50 years
How many public-sector clients does your Company currently have utilizing Services similar to those stated in this RFP?	79
List any project/services terminated by a government entity in the past two (2) years, including the reason, entity name and entity contact information.	N/A
List any litigation that your Company has been involved with during the past two (2) years for Services similar to those in this RFP.	N/A
Provide a brief overview of your Company, including an organization chart, reporting structure, equity holders or parent companies.	<p>Brief Overview</p> <p>Patterson Pope's history spans over forty years of records storage and materials management expertise, with each decade ushering in technological advances, innovative products, and finely-honed consulting skills that enable the firm to deliver the most effective records management and storage solutions to its customers. Patterson Pope helps its broad base of clients in government, legal, finance, education, healthcare, retail, manufacturing, and other sectors save money by designing and implementing workflow processes that increase business efficiency, protect critical documents and information, and comply with current legal and regulatory guidelines and statutes.</p> <p>The company experienced its most intentional and robust growth period in terms of clients, service capabilities and geographic expansion during the past 15 years under the visionary leadership of company president, Denny Hammack. As sales manager in 1994, Hammack assembled an ownership group that purchased the company, formerly known as Patterson Business Systems, from the Patterson family. Hammack and his partners have spearheaded the evolution of the</p>

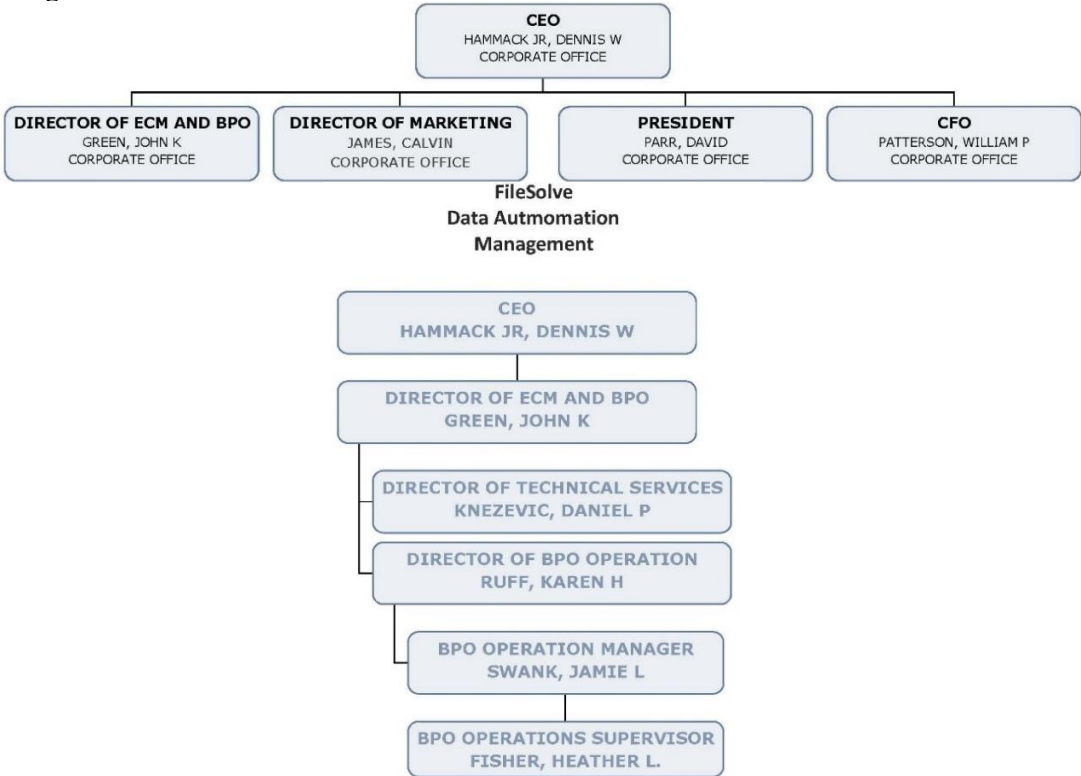
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Question	Response
 <p><i>Figure 1 - FileSolve Location (4 miles from the Government Center)</i></p>	<p>company, launching an array of expanded consulting services and products.</p> <p>With its 2004 acquisition of the J.E. Pope Company, a distributor of the industry leading Spacesaver product line, Patterson Business Systems was re-branded as Patterson Pope and expanded its reach across the Carolinas and Virginia. Four more acquisitions (United Business Systems in 2007, Central Business Group in 2011, Walter Hopkins Company in 2012 and Southern Business Systems in 2013) have effectively tripled the size of the company. With Hammack at the helm, Patterson Pope has grown from 13 full-time employees in 1994 to more than 200 today, and from a geographic territory with offices in Charlotte, Raleigh and Greensboro, N.C., to a multi-state network that serves clients across Florida, Alabama, Georgia, the Carolinas, Virginia, Tennessee, Kentucky and Ohio.</p> <p>In May of 2011, Patterson Pope branded its fastest growing division as FileSolve. FileSolve is committed to solving the problems that files create and has nine key solutions at its core: Scanning, Off-Site Records Storage, File Moves and Conversions, Active File Management, Consulting, Document Management Software, Tracking, Secure Shredding and Filing Supplies.</p> <p>Through the years, Patterson Pope has earned a solid reputation as a committed partner in its client relationships by providing expertise – from consultation to implementation -- that delivers bottom line results. With a strategic vision in place, the company plans to enhance and expand its services and products to build its physical and virtual presence to meet the growing demand of its committed client base.</p> <p>Management Philosophy</p> <p>We keep things simple. We tell the truth, keep our word, and do the right thing – because it is simpler that way. People like us, trust us, and buy from us because we are free from guile. We work hard, we have fun, then go home to our families. We keep things simple.</p>

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Question	Response												
	<p>MISSION To enrich the lives of our people, serve our customers with excellence, and enhance our communities.</p> <p>CORE VALUES</p> <ul style="list-style-type: none"> • Passionate (Show it!) • Trustworthy (Own it!) • Team Oriented (Share it!) • Adaptable (Embrace it!) • Compassionate (Feel it!) • Respectful (Honor it!) <p>MANTRA We solve the problems that (digital) STUFF creates.</p> <p>Patterson Pope Equity Structure</p> <table style="width: 100%; border: none;"> <tr> <td>Dennis W Hammack</td> <td style="text-align: right;">47.5%</td> </tr> <tr> <td>William F Patterson</td> <td style="text-align: right;">11.5%</td> </tr> <tr> <td>Robert A Davis</td> <td style="text-align: right;">11.5%</td> </tr> <tr> <td>Owen R Minter</td> <td style="text-align: right;">11.5%</td> </tr> <tr> <td>Michael G Garrett</td> <td style="text-align: right;">11.5%</td> </tr> <tr> <td>David W Parr</td> <td style="text-align: right;">4.5%</td> </tr> </table>	Dennis W Hammack	47.5%	William F Patterson	11.5%	Robert A Davis	11.5%	Owen R Minter	11.5%	Michael G Garrett	11.5%	David W Parr	4.5%
Dennis W Hammack	47.5%												
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Robert A Davis	11.5%												
Owen R Minter	11.5%												
Michael G Garrett	11.5%												
David W Parr	4.5%												

1.5.1 Organizational Chart



Section 4
Proposal Content

Question	Response
<p>Provide three (3) references for Services, which are similar in scope to those requested in this RFP. Information to be included is name, address, telephone, and email address of the reference; time period of contract; and brief description of Services provided.</p>	<p>North Carolina Education Lottery 4425 Wilkinson Blvd, Charlotte, NC 28208 George L. Walker III, Director of MIS 919-301-3511 George.Walker@lotterync.net ECM and scanning services deployment including gap analysis, implementation, training, support, and document scanning: Implemented an ECM system, provide software support and implementation of many new modules. 9/2018–Current</p> <p>Public Defender’s Office 720 East 4th Street, Suite 300, Charlotte, North Carolina 28202 Kevin P. Tully, Public Defender at Mecklenburg County Public Defenders 704-686-0900 Kevin.Tully@mecklenburgcountync.gov ECM and Scanning Services deployment including gap analysis, implementation, training, support, and document scanning. Extensive case management, document management and deployment. Service Dates: 2007- Current</p> <p>Mecklenburg County 3205 Freedom Dr, Charlotte, NC 28208 Bill Battaile, Senior IT Manager 704-621-6484 William.Battaile@MeckNC.gov ECM and Scanning Services deployment including gap analysis, implementation, training, support, and document scanning. Extensive document management and deployment in the 31 departments. Service Dates: 2007- Current</p>

Section 4 Proposal Content

1.5.2 Experience and track record on similar projects

Recent projects provide a testament to our ability to provide an industry-leading, secure, and highly visible yet easy to use document conversion and ECM solution.

Client Name	Industry	Project Size	Record Type	Complexity / Sensitivity / Value	Scope Of Services
Medic 911	Government	Enterprisewide	Medical, HR, Finance, Training Certifications	Highly Complex, Sensitive, Valuable	GAP Analysis, ECM Solution, ERP Integration, Backfile Paper Conversion, Digital Document Management Conversion, Workflow Automation
Mecklenburg County Public Defender's Office	Government	2.3 Million	Legal Case Files, Case Management	File Level Scanning	GAP Analysis, ECM Solution, Case Management, Workflow Automation, Document Scanning, Scan on Demand Services, Secure Box Transport
City Of Charlotte	Government	15,100	Field Ops Dispatch Records	File Level Scanning with 8 OCR Keyword extraction	GAP Analysis, Document Scanning, Scan on Demand Services, Secure Box Transport, Box Storage, Secure Document Destruction
City Of Charlotte GIS	Government	111,578 (files)	As Built Drawings	Taxonomy - 4 Doc Type Groups 14 Document Types	GAP Analysis, As-builts drawings imported into OnBase and attributed with the Key Words, using the FileNoLegacy field from clients SQL database. The documents within the current asbuilt directory are renamed according to the defined document type.
Mecklenburg County HR	Government	2.6 Million	HR Records, Employee File Management	Taxonomy - 10 Doc Type Groups 120 Document Types	Document Scanning, Scan on Demand Services, Secure Box Transport
Mecklenburg County Child Support Enforcement (MCCSE)	Government	2.0 Million	Child Support Enforcement Case Files	Taxonomy - 7 Doc Type Groups 86 Document Types	GAP Analysis, Onsite Scanning, FileRoom Management, RFID Tracking, Mailroom Outsourcing, Box Storage, Secure Box Transport, Secure Document Destruction
Mecklenburg County DSS	Government	3.4 Million	Economic Services Case Files	Taxonomy - 22 Doc Type Groups 86 Document Types	Fileroom Management, Document Scanning, Secure Box Transport, Box Storage, Secure Document Destruction
Mecklenburg County YFS	Government	2.5 Million	Child Protective Services, Adoption, Child Death Case Files, Permanency Planning Files	Taxonomy - 23 Doc Type Groups 353 Document Types	Fileroom Management, Document Scanning, Release of Information with Secure Document Redaction, Secure Box Transport, Box Storage, Secure Document Destruction
MeckLink – Area Mental Health	Government	1.2 Million	Mental Health Case Files	Taxonomy - 7 Doc Type Groups 120 Document Types	Document Scanning, Scan on Demand Services, Secure Box Transport, Box Storage, Secure Document Destruction
Mecklenburg County Sheriff's Department – Internal Affairs	Government	638,000	Internal Affairs Investigation Files, Case Management	File Level Scanning	Document Scanning, Scan on Demand Services, Secure Box Transport
Gaston County Public Health	Government	Monthly Scan On Demand	Medical Records	Taxonomy - 5 Doc Type Groups 258 Document Types	Monthly Scan on Demand Services, Secure Box Transport
Gaston County Health and Human Services	Government	Monthly Scan On Demand	Medicaid Case Files	File Level Scanning	Monthly Scan on Demand Services, Secure Box Transport
Mecklenburg County District Attorney	Government	5.5 Million	Legal Case Files	File Level Scanning	Document Scanning, Scan on Demand Services, Secure Box Transport
Mecklenburg County Government	Government	4.5 Million	County HR Records	Taxonomy - 7 Doc type Groups	Document Scanning, Scan on Demand Services, Secure Box Transport
Forsyth County, NC	Government	Enterprisewide	Social Services, HR, Finance, Contracts	Highly Complex, Sensitive, Valuable	ECM Solution, ERP Integration, Backfile Paper Conversion, Digital Document Management Conversion, Workflow Automation
Buncombe County, NC	Government	On-site Document Capture and Indexing ~1,000,000 /month	Social Services, Adjustments	Highly Complex, Sensitive, Valuable	On-site Daily Document and Data Capture Services, ERP Integration - NC FAST, Clerical Services, Facilities Management
Fulton County, GA	Government	Departmental	Finance, HR, Pensions, Contracts	Highly Complex, Valuable	ECM Solution, Backfile Paper Conversion
Carilion	Medical (Highly Regulated)	~1,000,000 /month	Medical Records, HR, Exception Processing / Adjustments	Highly Complex, Sensitive, Valuable	Daily Document Imaging, Continuous Patient Data Synchronization, Exception Processing, Workflow Automation, ECM Solution
SCANA Energy	Utilities (Highly Regulated)	14,000,000	Gas Line Project Files	Highly Complex, Valuable	ECM Solution, OCR, Barcode, Sophisticated Taxonomy
Piedmont Natural Gas	Utilities (Highly Regulated)	12.5 Million	Gas Line Placement Files and Service Cards	Taxonomy - 72 doc type groups 457 Document Types	Document Scanning, Scan on Demand Services, Onsite scanning, Offsite Scanning Secure Box Transport
Duke Energy	Utilities (Highly Regulated)	300,000	Gas Line Project Files	File Level Scanning	Document Scanning, Scan on Demand Services, Secure Box Transport
Constellis	Commercial (Highly Regulated)	Enterprisewide	Security, Risk Management, Finance, HR, Contracts	Highly Complex, Sensitive, Valuable	ECM Solution, ERP Integration, Workflow Automation
Hepaco	Commercial (Highly Regulated)	Enterprisewide	Project Field Data, Finance, Contracts, Project Files, Adjustments	Highly Complex, Valuable	ECM Solution, ERP Integration, Workflow Automation, Unity Forms, Tablet-based eForms Data Collection - Mobile Workforce

Figure 2 - Client Projects

1.6 Company Qualifications (18-20 pages)

Question	Response
Describe how the Company will provide the Services described in this RFP. Why and how is the Company qualified to handle the City as a client?	<p>FileSolve focuses on providing complete visibility and access with its closed-loop chain of custody document scanning process. This process uses state of the art equipment and software to provide the highest quality images, accuracy, and efficiency possible.</p> <p>FileSolve is uniquely qualified to handle the City as a client because of the combination of skills:</p> <ul style="list-style-type: none"> • Local Operations Center <ul style="list-style-type: none"> ○ Highly Secure Physically and Technically ○ Most Advanced Automation Hardware and Software Available • Gap Analysis (no additional cost) <ul style="list-style-type: none"> ○ Current System Assessment ○ Future State Design ○ Planning to Close the gap between the two • OnBase Expertise <ul style="list-style-type: none"> ○ Experience and skills to assess, understand, and implement the best solution in the current OnBase implementation or OnBase Cloud. • Digital Conversion Capability • HIPAA Compliance

1.6.1 Complete Solution



Figure 3 - FileSolve Complete Solution

1.6.2 FileSolve Closed-Loop Chain-of-Custody Methodology

FileSolve regularly executes projects involving highly sensitive, confidential, and high value documents with Government and Healthcare clients using a proven Closed Loop Chain of Custody processing solution, involving complex taxonomies, and requiring the utmost privacy, security, and compliance.

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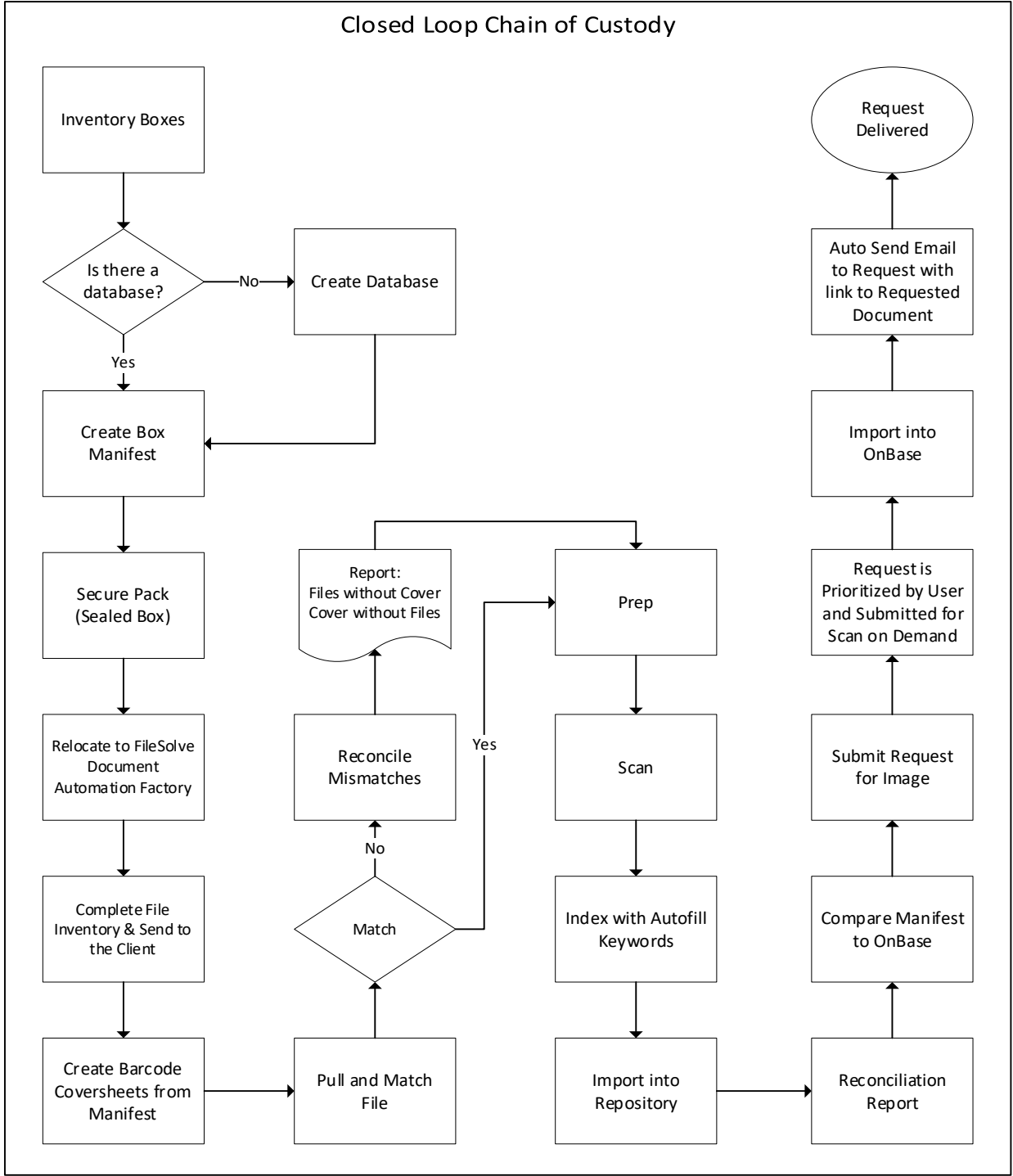


Figure 4 - FileSolve Closed Loop Chain of Custody Flowchart

The Closed Loop Chain of Custody document processing solution is specifically designed for high-valued documents that require accurate accounting, reporting, and accessibility. This processing solution ensures that the City of Charlotte’s extremely sensitive files, upon pick-up, will be in the custody of FileSolve at all times. Using the FileSolve Production Control System, the City of Charlotte will be able to “see” their files regardless of process stage.

Section 4 Proposal Content

- FileSolve staff trained in records management security and handling will box records by department and apply box specific barcodes for secure tracking throughout the production process.
- A FileSolve driver, trained in records management security and handling, will meet the client designated company representative, scan the box barcodes into FileSolve box tracking system and load the boxes onto FileSolve van.
- Our vehicles are owned by FileSolve, outfitted with security seal, RFID tracking, and GPS in order to know location of documents at all times. A signature is obtained by, and copy left with, the client contact, verifying documents that have been loaded for transfer to FileSolve facility.
- Upon arrival at FileSolve warehouse, files are re-scanned to designate the new location. For accurate and instantaneous tracking, each time the files are moved, they are re-scanned to a new location. Our real-time tracking system enables us to know the location of all documents in our facility at any time.
- From the time of receipt to image delivery, the records will remain in one isolated location. Our 'File Lab' is located adjacent to the Imaging Department and is organized by specific function for efficiency and complete HIPAA compliance.
- FileSolve staff, trained in records management security and handling, will inventory the contents of each box, and enter the file level detail to the FileSolve Production Control System. FileSolve will provide the client a spreadsheet of this data for inventory management and for the file request process.
- During production you will have complete process transparency via the FileSolve Production Control System Client Portal. The City of Charlotte will experience real-time document conversion tracking as illustrated in the below.

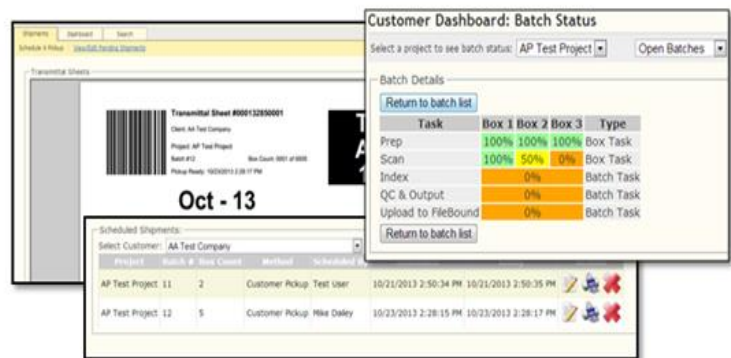


Figure 5 - Online Access Dashboard

Key benefits of the client portal include:

- **Chain of Custody Tracking:** Customer peace of mind. Track your records before they even leave your office.
- **Turn around Accountability:** Offers the means to hold us accountable on mutually agreed upon turn-around commitments.
- **Secure Access:** Each Client Portal user requires a unique email and password to access the system. The user is only allowed to see the specific company project(s) to which they have been assigned.
- **Dashboard:** Box Status, Tasks Status View - Allows the client to review the status of work, at the individual task level and see the status on completion of task such as document preparation, scanning, indexing, etc.

FileSolve can inform the City of Charlotte of who “touched” the files at every stage of the document’s life cycle. In addition, the files will be accessible by approved City of Charlotte Staff 24 hours a day, 7 days a week from the moment they are picked-up until their final disposition. Our Closed Loop Chain of Custody processing solution will provide unparalleled security for the City of Charlotte’s files.

1.6.2.1 Core Competencies

1.6.2.1.1 Bulk Scanning & Complex Taxonomy

As described above, bulk scanning with a complex taxonomy is where our expertise lies. The more complex the project, the more we rise to the occasion to meet our clients' needs. Built upon our years of experience, we have developed the following process to efficiently and effectively process documents on behalf of our clients and will use a similar process to execute the Imaging Project on behalf of the City of Charlotte.

1.6.2.1.2 Document Preparation:

- Experienced FileSolve preparation specialists first verify box contents to the index file provided.
- The prepper performs document preparation, consisting of any procedure necessary to ensure the client's records are "scanner-ready." This includes removal of all bindings, staples, rotation of pages, unfolding of bent corners, alignment of top edges of pages, taping of receipt tape to larger sheets, insertion of separator sheets, etc.
- Prepper ensures documents are scan appropriate and identifies documents that do not fit scanning protocol. Prepper documents findings (number of pages, accounts, folders, exceptions to be noted, etc.).

1.6.2.1.3 Document Scanning:

- FileSolve scan operator receives box, verifies box contents to the index/prepper findings, and images each document, utilizing the highest quality Imaging and Data Capture software/hardware available to produce the best possible digital replication of the original paper records.
- FileSolve scanners capture the documents in their original form, utilizing automated techniques which produce best quality "as is" digital representation. This includes checking the orientation, rotation, quality, and readability of every image by scrolling through each digital image via the monitor.
- Our scanner quality checks each page after it is scanned, cleaning blemishes, rotating pages, and replacing misfeeds.
- The capture process includes cropping images, removing borders, and adjusting brightness and contrast to provide the best quality image. The capture methodology is capable of scanning documents in simplex or duplex modes as well as capturing word processing documents, blueprints, spreadsheets, COLD/ERM Files, facsimiles, e-mail, graphics, and photos.
- With the use of VRS (Virtual ReScan), the need for human intervention in order to produce the highest quality electronic images is minimal. VRS is an application that automatically de-skews, de-speckles, and adjusts brightness/contrast. It will also notify the scan operator of certain specifications that are out of tolerance and will halt the scan process, allowing the scan operator to review and approve the image. If the image is not acceptable, then the operator can adjust the image real time without rescanning the page.
- An image "passes" if it is legible when displayed on the computer monitor. All pages are scanned at customer-specific DPI and should allow for physical reproduction via printer.
- After a batch has been scanned, the operator will examine each image before releasing it for indexing. If an image is not acceptable, the image will be replaced and double-checked to ensure the highest quality possible.

1.6.2.1.4 Document Indexing and Validation:

- FileSolve validators verify that the scanned pages are of the highest quality possible and key in the unique document data pertinent to that project (metadata). Each document will be assigned to previously defined index values, specific to the document.

- The output imaged files are of non-proprietary format, insuring portability, and ease of populating ECM systems, such as TIFF and PDF.

1.6.2.1.5 Availability of Records during Work in Progress

Prior to the start of the production, FileSolve will provide the City of Charlotte a file inventory including the box number and a City of Charlotte specific email address used to request a file. The City of Charlotte will provide FileSolve with a list of requestor names and email addresses by department who are authorized to request files during the scan project. A sample process follows:

Step 1: Requestor identifies an immediate need for material that is no longer onsite or is in process of being scanned.

Step 2: Authorized City of Charlotte requestor initiates an email to (example) CityofCharlotte.request@filesolve.com

- Within the Subject line of the email, enter one of the following request types:
 - “Immediate Request” = 2 -hour turnaround time for uploading file content to OnBase.
 - “Standard Item Request” = 24 - hour turn-around time for uploading file(s) content to OnBase.
- Within the body of the email include the following information for all requested files:
 - Name, phone# and email address of requestor (if different from the sender of the email)
 - Type of File (i.e. “HR”, “Contract”, “ADA”)
 - Last Name – First Name – DOB or SSN
 - The City of Charlotte Department

Step 3: Once the request is received, a confirmation email will be sent by FileSolve to the requestor’s email address with the expected turnaround time. FileSolve verifies the request, locates the material, and processes the request.

Step 4: FileSolve uploads image data to OnBase within the given Service Level Agreement (SLA) timeframe.

Step 5: Requestor retrieves image data in OnBase system.

1.6.2.2 Quality Control

We perform Quality Control during every phase of the project’s life cycle. As previously described, FileSolve completes an inventory of all boxes in our possession before we even leave the client site. We use this box inventory to compare against the check-in manifest upon arrival at FileSolve.

While prepping, the preparation specialists first verify box contents to the index file provided. The scanner operator then receives the box once the prepper is complete. The scanner operator verifies the box contents to the index/prepper findings. Should a discrepancy be discovered, the scanner will cease scanning and work with the prepper to resolve the issue before resuming scanning.

During the indexing and validation process, a spot check of images is performed to the physical file. When an unacceptable image is discovered, the batch is suspended and sent to Quality Control, a designated queue within Capture for image replacement.

Once images are released from Capture, every image is recorded in a customer-specific text file and client-compliant database. These documents are then compared to the original index file, the prepper’s document, the scanner’s document, and the validator’s document. Any discrepancies are recognized, and each discrepancy is investigated to determine the cause.

Lastly, before the upload is executed, a random spot check will be performed to meet the Customer-Specified Output are acceptable.

1.6.2.3 Cost Management

FileSolve closely manages all costs across the scope of a project. The latest and most advanced technological tools are used to lower labor costs, increase efficiency, and reduce rework by improving accuracy. FileSolve uses advanced capture techniques to minimize the amount of human interaction needed during the validation and indexing process. Areas of emphasis to monitor costs of the non-scanning stages of the project include:

- Inventory / Boxing
- Transportation
- Prep
- Index
- Quality Control
- IT

FileSolve will come to the City of Charlotte to inventory and box the files. Using trained experts, FileSolve will efficiently inventory and box your records. FileSolve will also use box relocation experts from our in-house team. By not using 3rd-party vendors for the inventory, boxing, and transportation of the files, FileSolve reduces costs.

The FileSolve Document Automation Factory will efficiently process the City of Charlotte’s documents. FileSolve uses a strict training and educating regimen prior to the boxes arriving onsite to ensure staff fully understand the complexity of the documents and its taxonomy. This will aid in the prepping, indexing, and Quality Control process.

Finally, FileSolve will build the project in such a manner that IT costs will be minimized. IT will not be involved in the day-to-day processing of documents, reducing overall project costs.

An integral part of cost management is Project Management. FileSolve will utilize a Project Management Institute (PMI) certified Project Management Professional (PMP) with 10-plus years of Project Management experience to manage costs across every phase of the project. The PM engages during the early discovery phase and drives the project until completion. The PM uses cost management tools to ensure project costs are not exceeding estimated production. The project manager will identify when costs are exceeding estimates and take the necessary action to identify and rectify the situation. The PM will also communicate any risks associated with cost management to the City of Charlotte during Weekly Status Meetings as well as steps to mitigate the potential impact.

Question	Response
<p>What steps will the Company take to ensure that any transition of Services run smoothly?</p>	<p>FileSolve adheres to a strict proven methodology which manages change through facilitated two-way communication and iterative review process which is engaging for the users. FileSolve will undertake the following steps to ensure a seamless and smooth transition from the current vendor:</p> <ol style="list-style-type: none"> 1. Hold a kickoff meeting with the City of Charlotte stakeholders. Introduce the project team and meet the key City of Charlotte stakeholders. Provide a plan and timeline for the transition. Answer any questions from the stakeholders regarding the transition plan and timeline. 2. Follow the current vendor’s daily process to understand the full scope as well as identify areas for efficiencies and improvement. 3. Spend a full day with subject matter experts from each department to review documents, document types and key words.

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	<p>4. Build a full taxonomy to share and review with the City of Charlotte. Obtain approval for the taxonomy from the City prior to moving to the next phase.</p> <p>5. Process City of Charlotte process documents. Share the processed sample documents with the City of Charlotte to obtain approval.</p> <p>6. Hold a go-live meeting to review all work completed and ensure the process is ready to go-live.</p>
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1.6.3 Work Plan

a. Phased Implementation Approach

FileSolve will use a tested and successful phased approach to implement a solution on behalf of the City of Charlotte. FileSolve implements solutions using an iterative, phased process, ensuring the client is satisfied with the solution as it is developed. Each phase is closed by a specific deliverable agreed to in writing by the client and FileSolve. The project phases along with key deliverable:

#	Phase	Deliverable
1.	Discovery	<ul style="list-style-type: none"> • Project Kickoff Meeting • Inception Report / Implementation Plan • Risk Management and Issues Management Registers • Functional and Technical Specifications to review findings • Workflow and Document Management Analysis • Infrastructure Review Form signed by client
2.	Iterative Solution Design / Samples	<ul style="list-style-type: none"> • Sample Approval sign-off • Document Request Process Testing • Design Document & Timeline Approval
3.	Implementation / Configuration	<ul style="list-style-type: none"> • Prototype Review Approval
4.	Testing	<ul style="list-style-type: none"> • Test Case Scenarios developed • Test Cases Scenarios approved during testing • Test Approval Form sign-off
5.	Training	<ul style="list-style-type: none"> • Training Sessions Held – up to 5-days of training • Training Guide Delivered to Client with approval • Training Videos provided to the client
6.	Go-Live	<ul style="list-style-type: none"> • Go-Live Checklist sign-off • Final Report successfully delivered 2 weeks before Go-Live
7.	Project Closure	<ul style="list-style-type: none"> • Project Closure Form Approval • Transition to Solution Support

FileSolve created a business model to implement this solution bringing together industry leading software, proven professional services, and reliable operational services to offer the lowest possible price, total cost, and the highest value possible solution.

The key steps of this iterative process, as illustrated below, are Quality Assurance checkpoints built into the development process, allowing FileSolve to confirm internally with the project team and externally with the client that the solution is meeting client requirements and expectations.

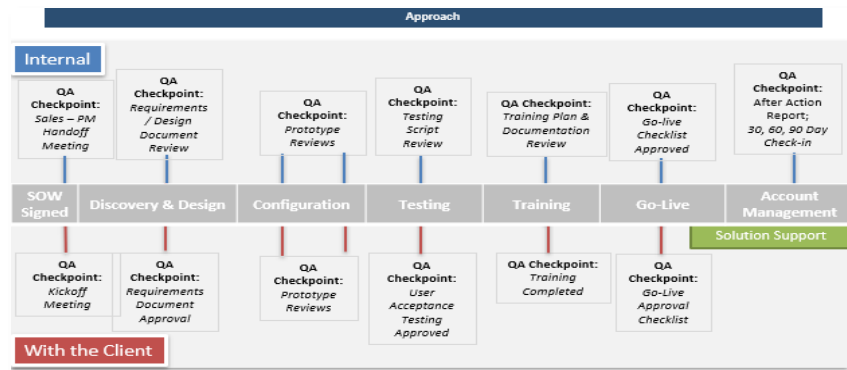
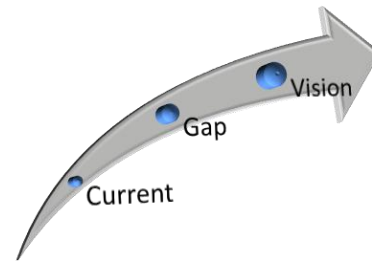


Figure 6 - Quality Assurance Checkpoints

Project Phases

Phase 1: Design & Discovery

The Design and Discovery phase commences with the Kickoff Meeting, during which project introductions, expectations and timelines will be discussed. Following the Kickoff Meeting, we will efficiently move to the Design and Discovery phase.



During the Discovery and Design phase, FileSolve analyzes the current state, identifies the gaps, and creates a roadmap that is implemented to build the solution and achieves objectives. This first phase of the solution results in the Gap Analysis, which is critical to the success of the total project. The Gap Analysis will identify the open questions and issues in the current state that must be resolved to achieve the City of Charlotte’s future vision. FileSolve uses the discovery and design portion of the Gap Analysis to assist clients in clearly communicating and documenting the current business processes and the associated challenges.

The Gap Analysis differentiates FileSolve in the way the FileSolve consultants are trained to listen carefully, document and validate findings pertaining to the current state. Only after the current state is validated does the focus turn to the vision or future state. FileSolve consultants are selected for their aptitude for visualizing the business process improvement possibilities utilizing technology. Once the current state is validated and the future state is designed, meticulous planning takes place to develop a plan to close the gap. The following pages provide samples of the FileSolve tools used in the Gap Analysis.

Taxonomy Gap Analysis

Each department will undergo a Gap Analysis to build the taxonomy that will be used to organize, search, and retrieve documents in OnBase. Information captured during this Discovery Gap Analysis session include:

- Document Type Groups
- Document Types
- Keywords
- Search parameters

The following images are examples of the deliverable FileSolve will provide to the City of Charlotte to confirm their acceptance of the information capture during the Gap Analysis.

Phase 2: Iterative Solution Design / Samples

Once the initial discovery phase is completed, FileSolve will design the solution. FileSolve will provide a sample allowing the users to view the finished product in OnBase. Following the sample review, changes are captured and implemented. At that time, the City of Charlotte will agree to the sample review by approving our Discovery and Design Document. This will lock in the solution, allowing our engineers to build the solution in a test environment without any further changes.

Phase 3 Implementation / Configuration

FileSolve will take the necessary steps to begin production. FileSolve will provide multiple prototype reviews to the City of Charlotte users and subject matter experts to ensure the product we are building meets their satisfaction, regardless of how many sessions must occur. FileSolve will capture the changes, implement the changes, and conduct another prototype review until the client is satisfied. Once that is reached, both parties will approve the Prototype Review Form (pictured). At this point, FileSolve will move to the next phase.

Phase 4: User Acceptance Testing

FileSolve and the City of Charlotte will develop use cases that will allow the users to use the system to test. The User Acceptance Testing will be conducted onsite at the City of Charlotte’s offices, allowing the users to use the system with real documents encountered every day. As the testing session progresses, FileSolve will capture the changes. Should the client agree that the system is ready, FileSolve will implement the changes and both parties will sign off on the UAT Testing Approval Form.

Phase 5: Training

FileSolve provides extensive training customized to client needs. FileSolve will be onsite to conduct training for up to five (5) days prior to go-live. This training will be in-person and hands on, allowing the users to begin using the system as efficient and effectively as possible. Training deliverable options include the following:

- User Level
 - Onsite
 - Custom Documentation – User Guide; Cheat Sheet
 - Customer Video
 - Online
- Administrator Level
 - Onsite
 - Custom Documentation – Admin User Guide
 - Customer Video
 - Online
 - Classroom

Each Training deliverable will be custom built specific to the City of Charlotte. Copies will be provided prior to training allowing for user feedback.

Phase 6: Go-Live

Upon completion of the user training, FileSolve will prepare the City of Charlotte to go-live. FileSolve will build a custom Go-Live Checklist that both parties will review and sign off prior to going live. If the client is not ready, then Go-Live will be rescheduled or postponed. FileSolve can be onsite to support the transition, if needed.

In addition, FileSolve will provide the City of Charlotte with a Final Report two weeks prior to Go-Live. The client will sign off on the Final Report and use this as a Quality Assurance checkpoint before going live with OnBase. Should the City of Charlotte not approve the Final Report, FileSolve will work with the City of Charlotte’s project team to resolve the issues and resubmit the Final Report. Go-Live will occur two weeks from the Final Report approval.

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Per the client’s request, FileSolve can also set up onsite during go-live, operating a “war room.” This will provide the users the option to ask questions in person and receive immediate feedback, best practices and tips from FileSolve’s document management experts.

Phase 7: Solution Support

FileSolve and the City of Charlotte will sign off on a Project Closure form, officially ending the project and transitioning the relationship to one of Solution Support. FileSolve has a state-of-the-art Help Desk manned 24/7 to assist clients with issues as they arise. Below is an example of the Service Level Agreement Response time. FileSolve certified support for the proposed solution includes:

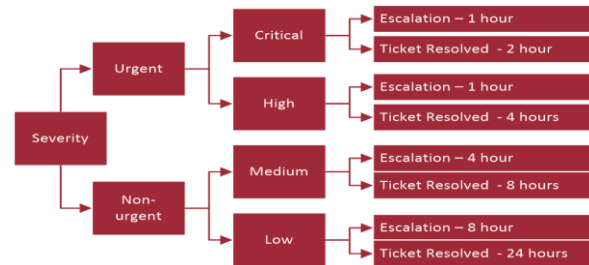


Figure 7 - Solution Support

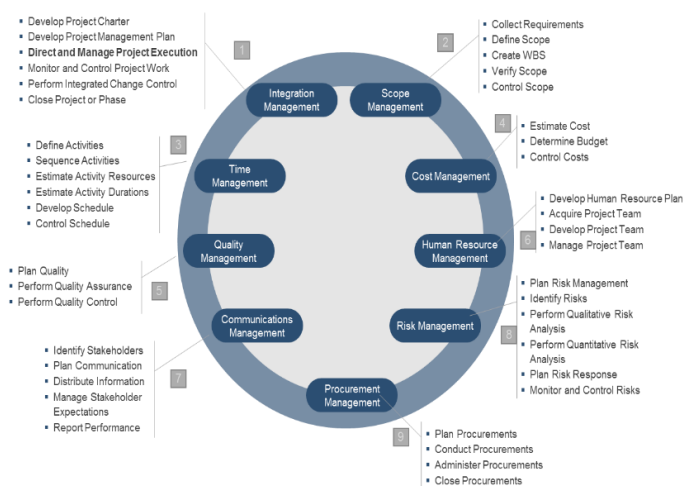
- Charlotte-based Support Center
- OnBase Certified Support Engineers located in Charlotte
- OnBase Software Maintenance
- Local Solution Support Engineers

Project Implementation Methodology and Framework

FileSolve will have a Project Management Institute (PMI)-certified Project Management Professional (PMP) manage this project. FileSolve has a Project Management Methodology Document (**pictured**) that is updated annually to guide how projects are managed by FileSolve. FileSolve follows a hybrid methodology, using principles from the traditional / waterfall project management methodology as well as using agile principles throughout the solution build and implementation. FileSolve consistently analyzes previous projects to identify lessons learned. These lessons learned are then incorporated into future projects, thereby using our experience to further refine our methodology to ensure we are delivering the best product to our client, on time, within scope, and under budget.



As described above, during each phase of the project, FileSolve will provide the City of Charlotte a deliverable document for approval that will allow for the project to complete a specific milestone and move onto the next phase of the project. This will allow the City of Charlotte to provide their approval of the work delivered by FileSolve on a regular basis. This will also provide input across the project’s timeline with enough flexibility to modify the requirements while keeping the initiative within scope.



Projects are managed online in Teamwork (**pictured**), a customized, web-based Project Management tool that allows FileSolve and the City of Charlotte to open, update and close tasks, share documents, manage timelines, and identify and capture risks. As a web-based tool, Teamwork allows for close coordination and collaboration across remote project teams.

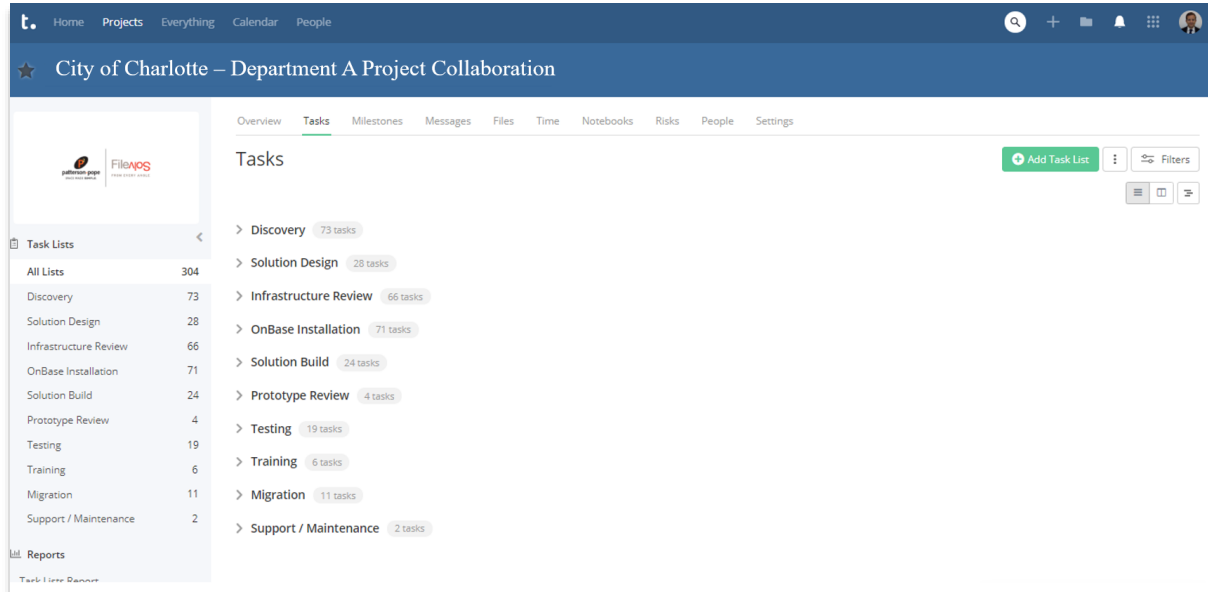


Figure 8 - Project Collaboration Client Interface

Change Management

One of the largest risks to a project is managing change. FileSolve’s project manager is a PROSCI-certified Change Manager. Having implemented the tools and techniques identified when obtaining the certification, he will use this expertise to manage the City of Charlotte’s change. The Project Manager follows the ADKAR model (pictured) to understand change at the individual level and extend this model to you.

The ADKAR Model

- A** – Awareness of the need for change
- D** – Desire to support and participate in the change
- K** -- Knowledge of how to change
- A** – Ability to implement required skills and behaviors
- R** – Reinforcement to sustain the change

Figure 9 - Change Management

The ADKAR lifecycle begins once a change has been identified. At this starting point, ADKAR provides a framework for managing the people side of change, including a foundation for activities that include communications, training, recognition, sponsorship, and resistance management. FileSolve will coordinate with the MICLES to identify and implement the tools needed to manage the respective change.

Risk Management (Project)

A key component of FileSolve’s Project Management Methodology is the analysis, identification, and mitigation of the project’s risk. The Project Manager has expert experience in identifying risks (pictured) and will use this experience to minimize risks. The risks will be captured in the Risk Management and Issue Management Register and will be reviewed weekly during the Weekly Status Meeting. The Project Manager will follow industry best practices to manage the project’s risks:

- **Kick-off Meeting:** Host an official in-person kick-off meeting for this project during which the Project Manager will present the project plan, milestones, timelines, deliverables, scope of work and reporting metrics.

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- **Communication Plan:** FileSolve will work with the City of Charlotte to develop a communications plan to ensure the right people receive the right information and data at the right time. Included in this are weekly status meetings and monthly stakeholder meetings.
- **Risk Analysis:** Facilitate a Risk Analysis meeting with the appropriate project team members to identify risks and develop a plan to mitigate all project risks. These will be captured in the Risk Register and reviewed weekly during the Weekly Status Meeting.
- **Weekly Status Updates:** Hold Weekly Status Update Meetings to review project progress and monitor risks and issues with the City of Charlotte project manager and other respective stakeholders.
- **Project Stakeholders Meeting:** Host monthly project reviews with Project Stakeholders to provide updates to the project stakeholders, including a review of current risks and their respective migration efforts.
- **Identify and continually update project metrics** to measure progress against the agreed upon timeline and milestones. These metrics will be updated and reviewed during the weekly Status Meeting and Monthly Stakeholders meeting.

Indicators of Troubled Projects	
Budget:	
a.	Project is over budget
b.	Earned value problems
c.	Unclear of the source of budgetary problems
d.	Generalized vs targeted cutbacks
Planning Indicators:	
a.	Poor planning; missing deliverables
b.	Lack of detailed project schedule
c.	Not understanding the business problem
d.	Lack of stakeholder involvement
e.	Little or no risk assessment
f.	Poor communication
g.	Lack of processes
h.	Inadequate or lacking resources
Schedule:	
a.	Arbitrary Schedules
b.	Inability to measure completeness
c.	Vague objectives
d.	Dependencies not defined
e.	Inaccurate estimates
f.	Mandated end dates
Control indicators:	
a.	Lack of processes
b.	Too many ad-hoc meetings
c.	Lack of commitment from staff
d.	High turnover rate
e.	No communications
f.	PM departs
g.	Late tasks

Figure 10 - Risk Management

1.6.4 Detailed Timeline

FileSolve has executed numerous projects in accordance with our client’s expectations. FileSolve will execute this project in an estimated six months to meet the City of Charlotte’s expectations. The below timeline provides a visual overview of the estimated timeline and tasks that must be completed to execute the project. The key milestones are highlighted by blue stars.

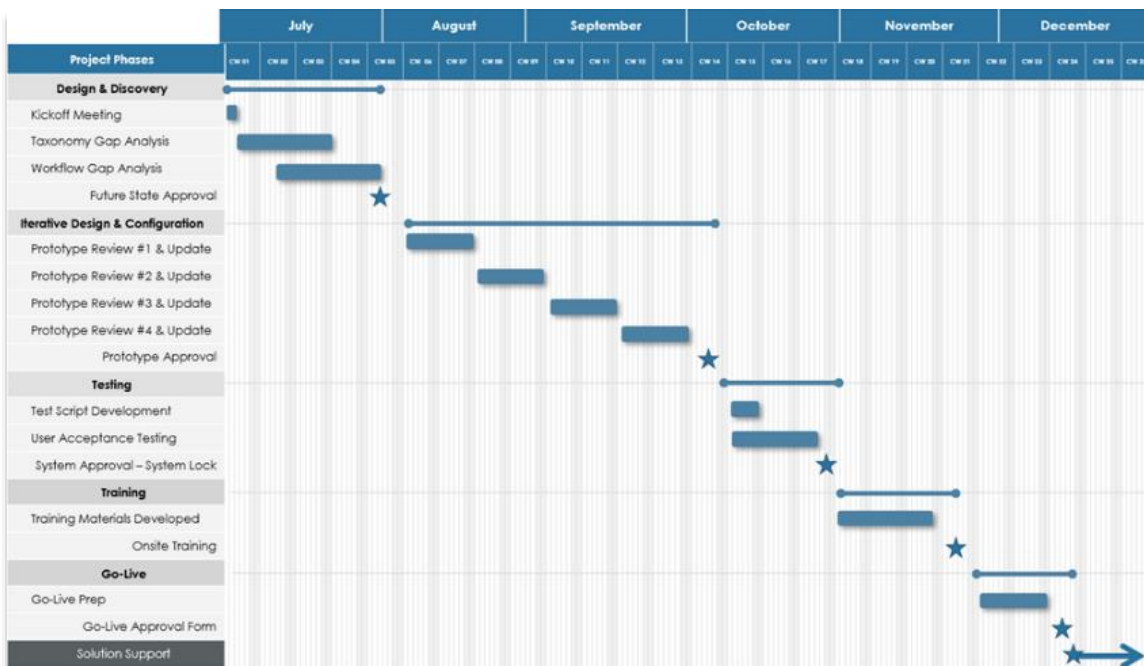


Figure 11 - Timeline

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Question	Response
<p>Describe the communication scheme that the Company will use to keep Departments informed about the Services.</p>	<p>The FileSolve approach includes developing a relationship with clients as the document management expert through ongoing education. This ongoing education includes:</p> <ul style="list-style-type: none"> • General Education (No Cost) <ul style="list-style-type: none"> ○ Technology Conferences <ul style="list-style-type: none"> ▪ On-site/Zoom Customer Specific ▪ Annual ECM Conference at the National Whitewater Center (www.ECMConference.com) ○ Current System Assessments <ul style="list-style-type: none"> ▪ Analyzing the current system ▪ Identify Challenges and desired Benefits ▪ Design a solution to overcome the challenges and deliver the benefits • Specific (Fee Based) <ul style="list-style-type: none"> ○ Administrative ○ Train-the-Trainer User ○ Online Subscription (On Demand) ○ Online Instructor Lead ○ Custom Training Tools: <ul style="list-style-type: none"> ▪ User Guide ▪ Quick Reference ▪ Training Videos <p>FileSolve will use technology conferences to create general awareness of the available solutions and services. The current system assessment/gap analysis is used to gain an understanding of the existing process and design a solution for each individual department.</p>

Question	Response
Scanning Services	
<p>Which software or solution is the Company proposing for its electronic document management system?</p>	<p>FileSolve is proposing the choice for two industry leading document management systems:</p> <ul style="list-style-type: none"> • OnBase by Hyland • Docuware <p>OnBase is the solution which provides power solutions to complex businesses related to content and document scanning.</p>
<p>Provide a list of all software and electronic document management system applications that the systems are compatible with.</p>	<p>While the FileSolve primary solutions are OnBase and Docuware, the FileSolve solution is compatible with any document management system capable of importing industry standard file formats including TIFF and PDF. A list of compatible systems (but not limited to) is below:</p>

3M (SoftMed)
Acquire
Advanced Horizons (Questys)
AIM
Alchemy (Captaris)
Alfresco
Allen Systems Group (Mobius)

AllScripts
AODocs
Aprima
BluePoint (Fast Docs & Receipt Manager)
CareCast
CCMS & OCW
Cerner (DI/AX & Siemens EDM)

Cerner (Provision Document Imaging)
CGI (Sovera)
Comsquared (UNISearch)
CSC (Phoenix)
Digitech (PaperVision)
DocFinity
docSTAR

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Document Locator	iMange	Optum (CareMedic/Ingenix)
DocuTrak	IMM (True Image)	Oracle (IPM/Stellent/Optika)
Docuware	InteGreat (IC-Chart)	Physical CD Conversion
DocuWare	Iterum (I-Care)	PICIS (ED Pulsecheck)
EasyFile	John Henry (Synergy)	POSSE
eClinical Works	LaserArc/IMNET, MPP)	PtCt
ElectroFiche	Laserfiche	Reed Data (2020 Doc/eDoc)
EMC (Documentum & ApplicationXtender)	LaserFiche	Ricoh (eCabinet)
eMD (DocMan)	LeonardoMD (Renaissance)	RJS
Emedsys	Lexmark (ImageNow/Perceptive Software)	Sage
ERMx	LibertyNet	Sequoia
Evertteam	McKesson (Horizon Patient Folder)	SER
eWebHealth (eWebHIM)	MED3000 (IC-Chart/IC-Imaging)	Siemens (Leonardo, EDM/Soarian, Syngo)
FIS (Report Server)	Medical Informatics (IMA)	Singularity
Fiserv (Digital Document System)	Meditech (Scan & Archive/Magic)	SourceHOV (Fastrieve)
Gateway (GEMMS)	M-Files	Spectrum
GE Centricity)	Micro Focus	SSI Group (ClickON Document Management)
Global360	MicroMD	System)
GRID (Synergize Explorer)	Microsoft (Amalga SMR & SharePoint)	Streamline Health (Access ANYware)
HII Time	Mosaiq	Streamline Health (FolderView)
Hyland	NaviCare WatchChild	Sybase (ICE)
IBM	NetDocuments	Synapse
IBM (FileNet Content Services)	NewGen	TeamIA (IA Folder/IA/ETScan)
IBM (FileNet Image Services & Report Manager)	NextGEN	TriMed (Emedsys)
IBM (FileNet Sovera)	Nuxeo	True Image
IM Scan	Open Solution (Digital Document Systems)	Vitera (Sage)
ImageRight	Open Text (Vignette IDM & Alchemy)	WebScan
Imagine (Truefice)	OpenText	ZyLab (ZyImage)

Question	Response
Is the software or solution a web-hosted repository on a dedicated server or is cloud-based?	Both proposed solutions OnBase and Docuware, can be implemented on premise or cloud based.
Is the software or solution backed up on a remote server or computer with a network connection to prevent any potential loss of City's electronic Records?	Yes.
Indicate the electronic Document Management System availability outside of scheduled maintenance.	Historically, both systems provide above 99% availability. System availability is dependent on the underlying infrastructure on which OnBase components run. Hyland is available for recommendations on designing a highly available solution. Hyland will notify customers of unscheduled maintenance that is expected to impact or potentially impact system availability or functionality. The notification will typically be sent at least 24 hours in advance, but not less than 2 hours prior to the specified start time. Both scheduled and unscheduled maintenance will be restricted to the hours of 10:00 p.m. to 8:00 a.m., based on the time zone of the impacted data center.
Indicate the electronic Document Management System's requirements for scheduled maintenance. What is the amount of time necessary to complete maintenance? When does the scheduled maintenance occur?	Hyland has no regularly scheduled downtime. When patching is required, Hyland provides two types of maintenance windows: scheduled maintenance and unscheduled maintenance. Hyland will notify customers of scheduled maintenance that is expected to impact or potentially impact system availability or functionality. The notification will typically be sent at least one week in advance, but not less than 24 hours prior to the specified start time. Hyland will notify customers of unscheduled maintenance that is expected to impact or potentially impact system availability or functionality. The notification will typically be sent at least 24 hours in advance, but not less than 2 hours prior to the specified start time.

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	<p>Both scheduled and unscheduled maintenance will be restricted to the hours of 10:00 p.m. to 8:00 a.m., based on the time zone of the impacted data center.</p> <p>Limitations on the aggregate number of hours of maintenance are determined based on the customer's selected class of service.</p>
Describe the Company's Quality Control Plan. Please provide a copy of the plan with the Proposal. The Quality Control Plan copy will not count towards the page count.	Quality Control is integral throughout the FileSolve process. Please see subsection 1.6.2.2 Cover Letter Quality Control (page 14) within the FileSolve Closed-Loop Chain-of-Custody Methodology section.

Storage Services	FileSolve is not responding to Storage Services.
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Question	Response
Compliance	
Define any/all security measures that are in place to the Company's proposed solutions. It should be for both physical security and network security, in that the City's information and other documents are made available only to the Company and parties that the City approves.	See FileSolve Security and Compliance on page 26.
Provide a copy of HIPAA certification or other supporting documentation regarding your Company's HIPAA compliance, policies and/or procedures.	<p>With HIPAA enforcement at an all-time high, covered entities (CEs) and business associates (BAs) must be clear on what is required for HIPAA 2020. The Health Insurance Portability and Accountability Act (HIPAA) requires organizations working in healthcare to adhere to standards to ensure protected health information (PHI) is secure. HIPAA 2020 mandates that organizations working with PHI implement technical, physical, and administrative safeguards to protect the sensitive information that they work with. Additionally, it is required to complete annual self-audits and to vet vendors. FileSolve works extensively in healthcare organizations and therefore has an obligation to implement "reasonably appropriate" protections to secure patient's PHI. Implementing adequate safeguards limits the risk of experiencing a healthcare data breach. To do so, FileSolve focuses on the following areas:</p> <ul style="list-style-type: none"> • Technical: cybersecurity measures that are put in place to protect PHI on electronic devices such as encryption or firewalls. All devices containing PHI should have protections to ensure that the integrity of PHI is maintained. • Physical: refers to the security of an organization's physical site with measures such as installing video cameras, alarms, and keypad locks that allow organizations to issue unique access codes for each employee. • Administrative: written policies and procedures that must be customized to apply to an organization's business processes. All employees must be trained on an organization's policies and procedures.

1.6.5 FileSolve Security and Compliance

1.6.5.1 Risk Management (Information)

We understand the importance of managing risk and ensuring the City of Charlotte's files have the highest level of security possible. From hiring of personnel to performing each service; from facility and network security to data integrity and recovery procedures; from the start through the final project completion steps, risk management is addressed in every step of our process.

1.6.5.2 Our Team Includes

- Dedicated Chief Security Officer
- Dedicated Compliance and Privacy Officer - collaborates with other departments (such as legal counsel, human resources, accounting, IT, imaging services, and off-site records storage) to ensure compliance with specific privacy requirements, develops corporate privacy policies and procedures and implements a corporate-wide training programs including cyber security awareness.
- Two (2) CISSPs (Certified Information Systems Security Professionals)
- Project Management Institute (PMI)-certified Project Management Professional (PMP)
- Full-time Records Management Staff
- Pre-employment background checks, FBI Background Checks, and ongoing random drug screening on all staff



1.6.5.3 Our Processes Includes

- SSAE 16/SOC 1 and SOC 2 audits annually
- Information Security Policy Manual
- Quality Management and Incident Reporting Programs
- Disaster Recovery and Business Continuity Plans
- Policy documentation to ensure industry-specific compliance
- Remote data center back-up
- Records location tracking within facility at all times
- Client portal (including dashboard) for 24/7 access to live project progress tracking

1.6.5.4 Physical Security

FileSolve's Charlotte, NC headquarters facility is located in a 100,000 sq. ft. stand-alone, single tenant, fenced and gated office building and adjoining warehouse, situated on ten acres of gated land. The class "A" modern facility is equipped with a Sonitrol 24-hour monitored security system, including motion detectors, cameras, and audio surveillance throughout the facility. A gate code is required for access to the property, and all exterior and interior doors are secured with magnetic locks, so entry is allowed only via an individually assigned key fob. Visitor access is authorized, documented, and supervised.



1.6.5.5 Personnel Security

FileSolve hires qualified, trustworthy employees who embody our core values of positive and respectful attitude, seeks constant improvement, strong work ethic, and are team players. As we progress through our employee selection process, each new hire must complete an onboarding process. The onboarding process, as described below, must be fully complete prior to beginning work on any project, regardless of size, client, or scope.

As part of the onboarding process, every employee must pass a 10-Panel Drug Screen and a seven (7) year criminal background check. The hiring will not proceed should the candidate fail either the drug screen or criminal background check.

The onboarding process also requires mandatory training. This required training includes:

- HIPPA Compliance Training
- Information Security Awareness Training
- Confidentiality (42 CFR) Training
- Mandatory monthly training using the FileSolve Learning Center

Using our FileSolve Learning Center, we assign every employee mandatory training module monthly, covering a range of security and compliance topics. In addition, every employee must retake and complete updated HIPPA & Information Security Awareness training on an annual basis.

Finally, as part of our standard operating procedure, we perform a [Conflict of Interest Verification](#) (page 28) during which we compare our employees and their families with the records manifest provided by the client to ensure there is no conflict of interest. In addition to identifying, separating, and processing securely any case management files where a conflict of interest may exist with one of our employees, FileSolve and its parent company Patterson Pope Inc. requires all employees to sign a Conflict of Interest Statement. This policy is included in our handbook, which all employees sign upon employment.

1.6.5.6 Technical Security

At FileSolve, we use state-of-the-art technology to protect our client, most sensitive information, and data. We follow industry best practice and continually assess and upgrade our security capabilities. Below are just some of the technological components implemented.

Digital Data from a client is imported into the system in various avenues, whether via hard copy or digital. The digital data is backed up nightly in the primary datacenter of NorthState in Winston-Salem, NC. Data can be purged off the servers and system at end of project or a specified timeline.

Data is backed up via Veeam and encrypted at rest and during transit to two local Synology NAS units and across our DMVPN encrypted tunnel from the Winston-Salem datacenter to our secondary data center in Charlotte. At no time does any of the copied data become the property of Patterson Pope – only the utilization function of the data to accomplish the business task at hand, so the data always remains the property of the client.

Our system is protected at the datacenter with ONLY the personnel on file that can get to the physical equipment. Those allowed access are required to provide picture ID and notification of management that that personnel will be onsite for an activity. If allowed to visit the datacenter, the allowed personnel are accompanied by the NorthState personnel to the correct cabinet(s), and NorthState unlocks the cabinets as required. 24x7 Video Surveillance is also provided as part of this service.

Our Charlotte system is fully gated and barbwire. It has 24x7 Video Surveillance provided as part of this service. It has digitally key fob protection to the building itself, and is restricted with additional key fob access to the area of any physical handling of the hard copies or digital assets – this fob access is maintained internally, and supported with the Sonitrol security system

Additional security aspects for controlling access to data includes, but is not inclusive –

- Digitally the data is secured by Cisco ASA firewalls
- Cisco Umbrella (OpenDNS) for all devices
- Dell data enterprise encryption for all laptops and workstations
- Webroot for all Antivirus
- Barracuda appliance for Spam filtering and email encryption

- Cisco DUO MFA for using VPN via Cisco AnyConnect client
- Nessus scanning and alerting

1.6.5.7 Project Management

A key component of the PM's security plan is the development and implementation of a comprehensive risk management plan which will include the analysis, identification, and mitigation of the project's risk. The Project Manager will follow industry best practices to manage the project's risks:

- Host an official in-person kick-off meeting for this project during which the Project Manager will present the project plan, milestones, timelines, deliverables, scope of work and reporting metrics
- Development of Functional Specification Documents to identify the projects business and technical requirements
- Facilitate a Risk Analysis meeting with you to identify risks and develop a plan to mitigate all project risks
- Hold Weekly Status Update Meetings to review project progress and monitor risks with your stakeholders and Project Manager
- Identify and continually update project metrics to measure progress against the agreed upon timeline and milestones.

1.6.5.8 Conflict of Interest Policy

Employees have an obligation to conduct business within guidelines that prohibit actual or potential conflicts of interest. This policy establishes only the framework within which Patterson Pope wishes the business to operate. The purpose of these guidelines is to provide general direction so that employees can seek further clarification on issues related to the subject of acceptable standards of operation. Your supervisor or the Human Resources Director can be contacted for more information or questions about conflicts of interest.

Transactions with outside firms must be conducted within a framework established and controlled by the executive level of Patterson Pope. Business dealings with outside firms should not result in unusual gains for those firms. Unusual gain refers to bribes, product bonuses over a \$25.00 value, special fringe benefits, unusual price breaks, and other windfalls designed to ultimately benefit the employer, the employee, or both. Promotional plans that could be interpreted as involving unusual gain require prior specific executive level approval.

An actual or potential conflict of interest occurs when an employee is able to influence a decision that may result in a personal gain for that employee or for a relative as a result of Patterson Pope's business dealings. For the purposes of this policy, a relative is any person who is related by blood or marriage, or whose relationship with the employee is like that of persons who are related by blood or marriage.

No "presumption of guilt" is created by the mere existence of a relationship with outside firms. However, if employees have any influence on transactions involving purchases, contracts, or leases, they must immediately disclose to one of the parties listed above the existence of any actual or potential conflict of interest so that safeguards can be established to protect everyone involved.

Personal gain may result not only in cases where an employee or relative has a significant ownership in a firm with which Patterson Pope does business, but also when an employee or relative receives any kickback, bribe, substantial gift (valued at \$25.00 or more), or special consideration as a result of any transaction or business dealings involving Patterson Pope.

1.6.6 Additional Services

Question	Response
Additional Services	
Describe alternative approaches or additional Services offered or recommended by the Company, which could benefit the City.	<p>FileSolve focuses on making digital content simple. As a certified reseller of Hyland OnBase software and Docuware, FileSolve has developed document management and business process automation expertise over the many years of experience working with clients adhering to the highest standards of quality and service. Through this extensive experience, we have found that the highest-level customer satisfaction is achieved through continuous education at all levels of the organization. We have developed the best practice offering the following education opportunities to our clients at no cost:</p> <ul style="list-style-type: none"> • ECMConference.com • Webinars • Onsite Conferences <p>In addition, our implementation process focuses on education throughout each step of the process.</p>

1.6.6.1 Services Matrix



Figure 12 - Additional Services

2. REQUIRED FORMS (UPDATED)

REQUIRED FORM 1 – REQUEST FOR PROPOSALS ACKNOWLEDGEMENT
RFP # 269-2019-090
Citywide Document Management Services

The Company hereby certifies receipt of the Request for Proposals for the City of Charlotte, North Carolina RFP #269-2019-090, Citywide Document Management Services. This form should be completed upon receipt of the City’s Request for Proposals and emailed in time for the City to receive it by or before **May 29, 2020**. Failure to submit this form by the designated date shall not preclude the Company from submitting a proposal. Please fax or email the completed Request for Proposals Acknowledgement Form to the attention of:

Tracey Keyes
Department of General Services – City Procurement
Email: tkeyes@charlottenc.gov

Date: 06-17-2020

Company Name: FileSolve, a Division of Patterson Pope

Contact Name: Kelly Green

Contact E-mail Address: KGreen@filesolve.com

Please check the appropriate space below and provide the requested information:

My Company plans to attend the Pre-Proposal Conference and submit a Proposal.

My Company will not attend the Pre-Proposal Conference but plans to submit a Proposal.

My Company does not plan on submitting a Proposal.

Reason: _____

My Company provides the following Services as described in Section 3 (check all that applies):

All Services

Scanning Services

Storage Services

Shredding Services

Section 6
Required Forms

REQUIRED FORM 2 – ADDENDA RECEIPT CONFIRMATION
RFP # 269-2019-090

Citywide Document Management Services

Please acknowledge receipt of all addenda by including this form with your Proposal. All addenda will be posted to the NC IPS website at www.ips.state.nc.us and the City’s Contract Opportunities Site at <http://charlottenc.gov/DoingBusiness/Pages/ContractOpportunities.aspx>.

ADDENDUM #:

 1

**DATE ADDENDUM
DOWNLOADED FROM NC IPS:**

 06/12/2020

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

 Kelly Green
(Please Print Name)

 June 24, 2020
Date

Authorized Signature

 Chief Strategy Officer
Title

 FileSolve, a Division of Patterson Pope
Company Name

Section 6
Required Forms

REQUIRED FORM 3 – PROPOSAL SUBMISSION FORM
RFP # 269-2019-090

Citywide Document Management Services

This Proposal is submitted by:

Company Name: FileSolve a Division of Patterson Pope

Representative (printed): Kelly Green

Address: 3001 N Graham Street

City/State/Zip: Charlotte, NC 28206

Email address: kgreen@filesolve.com

Telephone: 704-492-5909
(Area Code) Telephone Number

The representative signing above hereby certifies and agrees that the following information is correct:

1. In preparing its Proposal, the Company has considered all proposals submitted from qualified, potential subcontractors and suppliers, and has not engaged in or condoned prohibited discrimination.
2. For purposes of this Section, discrimination means discrimination in the solicitation, selection, or treatment of any subcontractor, vendor, or supplier on the basis of race, ethnicity, gender, age or disability or any otherwise unlawful form of discrimination. Without limiting the foregoing, discrimination also includes retaliating against any person or other entity for reporting any incident of discrimination.
3. Without limiting any other provision of the solicitation for proposals on this project, it is understood and agreed that, if this certification is false, such false certification will constitute grounds for the City to reject the Proposal submitted by the Company on this Project and to terminate any contract awarded based on such Proposal.
4. As a condition of contracting with the City, the Company agrees to maintain documentation sufficient to demonstrate that it has not discriminated in its solicitation or selection of subcontractors. The Company further agrees to promptly provide to the City all information and documentation that may be requested by the City from time to time regarding the solicitation and selection of subcontractors. Failure to maintain or failure to provide such information constitutes grounds for the City to reject the bid submitted by the Company or terminate any contract awarded on such proposal.
5. As part of its Proposal, the Company shall provide to the City a list of all instances within the past ten years where a complaint was filed or pending against the Company in a legal or administrative proceeding alleging that the Company discriminated against its subcontractors, vendors or suppliers, and a description of the status or resolution of that complaint, including any remedial action taken.

Section 6 Required Forms

6. The information contained in this Proposal or any part thereof, including its Exhibits, Schedules, and other documents and instruments delivered or to be delivered to the City, 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 the City as to any material facts.
7. None of Company's or its subcontractors' owners, employees, directors, or contractors will be in violation of the City's Conflict of Interest Policy for City, Secondary and Other Employment Relationships (HR 13) if a Contract is awarded to the Company.
8. It is understood by the Company that the City reserves the right to reject any and all Proposals, to make awards on all items or on any items according to the best interest of the City, to waive formalities, technicalities, to recover and resolicit this RFP.
9. This Proposal is valid for one hundred and eighty (180) calendar days from the Proposal due date.

I, the undersigned, hereby acknowledge that my company was given the opportunity to provide exceptions to the Sample Contract. Each Proposal shall be deemed to agree to comply with all terms, conditions, specifications, and requirements of this RFP including the Sample Contract. An "exception" is defined as the Company's inability or unwillingness to meet a term, condition, specification, or requirement in the manner specified in the RFP including the Sample Contract language. All exceptions taken must be identified and explained in writing in your Proposal and must specifically reference the relevant section(s) of this RFP. If the Company provides an alternate solution when taking an exception to a requirement, the benefits of this alternative solution and impact, if any, on any part of the remainder of the Company's solution, must be described in detail. If exceptions are not identified in your Proposal, they may not be considered during Contract negotiation and could result in Proposal being rejected from further consideration. If legal counsel needs to review the Sample Contract prior to signature, reviews must be completed before your Proposal is submitted. Any Company-proposed additional terms or conditions must also be included in the Proposal, and the City reserves the right to refuse consideration of any terms not so included. Any proposed changes to the Sample Terms after tentative contract award may constitute a material change to the Company's Proposal and be grounds for revoking the award. Notwithstanding the foregoing, the City reserves the right to modify the Sample Terms prior to or during contract negotiations if it is in the City's best interest to do so. The City intends to enter into a City-drafted Contract with the successful Company that contains the terms and conditions set forth in Sample Contract. The number and extent of any exceptions and proposed additions to the Sample Terms will be one of the City's evaluation criteria.

As such, I have elected to do the following:

Include exceptions to the Sample Contract in the following section of my Proposal: 3 on page 50

Not include any exceptions to the Sample Contract.

I, the undersigned, hereby acknowledge that my company was given the opportunity to indicate any Trade Secret materials or Personally Identifiable Information ("PII") as detailed in Section 1.6.2. I understand that the City is legally obligated to provide my Proposal documents, excluding any appropriately marked Trade Secret information and PII, upon request by any member of the public. As such, my company has elected as follows:

The following section(s) of the of the Proposal are marked as Trade Secret or PII: _____

No portion of the Proposal is marked as Trade Secret or PII.

Representative (signed): _____

Section 6 Required Forms

REQUIRED FORM 4 – PRICING WORKSHEET RFP # 269-2019-090

Citywide Document Management Services

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 City will be responsible.**

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

1. Administrative Fees:

The Company **shall** submit a minimum of one (1) percent of overall CCPA Program spend by the City and Participating Public Agencies during the term of the Contract to the City as an Administrative Fee. The Administrative Fee shall be paid no later than thirty (30) days after both parties mutually agree to the quarterly report outlining the CCPA spend. The Company shall indicate their Administrative Fee below:

1 %

2. Scanning Services

Companies who will be provided Scanning Services shall Submit their pricing below.

Services	Unit of Measure	Cost	Additional information	Additional Service Provider Comments
Regular Scanning of 8½”x11” Records	Per Image	\$0.055	Include all Scanning, indexing, Quality Control, and Re-Filing of Records in City boxes	
Regular Scanning of 8½”x14” Records	Per Image	\$0.055	Include all Scanning, indexing, Quality Control, and Re-Filing of Records in City boxes	
Regular Scanning of 11”x17” Records	Per Image	\$0.055	Include all Scanning, indexing, Quality Control, and Re-Filing of Records in City boxes	
Bulk Scanning of 8½”x11” Records.	Per Image	\$0.055	<u>10,000 to 500,000</u> images	
* Include all Scanning, indexing, Quality Control, and Re-Filing of Records in City boxes.	Per Image	\$0.055	<u>500,001 to 1,000,000</u> images	
**Indicate Pricing by single project volume tier.	Per Image	\$0.045	<u>1,000,001 to 3,000,000</u> images	
	Per Image	\$0.043	<u>3,000,001</u> + images	

Section 6 Required Forms

Services	Unit of Measure	Cost	Additional information	Additional Service Provider Comments
Bulk Scanning of 8½"x14" Records.	Per Image	\$0.045	<u>10,000</u> to <u>500,000</u> images	
* Include all Scanning, indexing, Quality Control, and Re-Filing of Records in City boxes.	Per Image	\$0.043	<u>500,001</u> to <u>1,000,000</u> images	
**Indicate Pricing by single project volume tier.	Per Image	\$0.041	<u>1,000,001</u> to <u>3,000,000</u> images	
	Per Image	\$0.041	<u>3,000,001</u> + images	
Bulk Scanning of 11"x17" Records.	Per Image	\$0.045	<u>10,000</u> to <u>500,000</u> images	
* Include all Scanning, indexing, Quality Control, and Re-Filing of Records in City boxes.	Per Image	\$0.043	<u>500,001</u> to <u>1,000,000</u> images	
**Indicate Pricing by single project volume tier.	Per Image	\$0.041	<u>1,000,001</u> to <u>3,000,000</u> images	
	Per Image	\$0.041	<u>3,000,001</u> + images	
Setup/Preparation of Records	Per Hour	\$21.000	Identify number of pages and the number of boxes prepared per hour	
* Include all removal of fasteners, separation of folded forms, and/or paste-up of small documents				
Transportation fee	Per Trip	\$25.000	Pickup from City or deliver to City (round-trip)	
Storage in Records Management Portal *Indicate Pricing by total storage volume tier.	Per Image / Per Month	\$0.000530	1 to 500,000 [storage unit (Gigabyte)] Minimum 500,000 images	Includes 4 user licenses (Docuware Cloud)
	Per Image / Per Month	\$0.003016	501,000 to Unlimited [storage unit (Gigabyte)] Minimum 1,000,000 images	Includes 4 user licenses (Docuware Cloud)
Copy Records to CD - R	Per CD	\$25.000	Specify maximum storage size per CD	
Copy Records to CD - RW	Per CD	\$25.000	Specify maximum storage size per CD	
Copy Records to flash drive	Per Flash Drive	\$150.000	Specify maximum storage size per CD	
Copy Records to portable hard drive	Per Hard Drive / Per Hr.	\$187.500	Indicate whether you allow customer to supply device, or standard price for device (by size).	

Section 6 Required Forms

3. Storage Services.

Companies who will be providing Storage Services, shall submit their pricing below:

Services	Unit of Measure	Cost	Additional information	Additional Service Provider Comments
Box Storage	Per Cubic Foot	No-bid		
Vault Storage	Per Cubic Foot &	No-bid		
	Per Tape/CD	No-bid		
Record Delivery and/or Pickup	Per Trip	No-bid	Companies shall split the fee for single trips to pick-up and/or deliver to multiple Departments at the same facility between each Department equally	
Next day delivery by Noon	Per Trip	No-bid	Call by 3pm for delivery next day by Noon	
Next day delivery by 5pm	Per Trip	No-bid	Call by 3pm for delivery next day by 5pm	
Half day delivery	Per Trip	No-bid	Call by 10am for delivery same day by 5pm	
Delivery/Pickup during afterhours/weekend/Holiday hours.	Per Trip	No-bid		
Onsite access to City Box(es) in Storage	Per Box	No-bid		
Retrieval/Re-File from Service Provider Storage location	Per Box	No-bid		
Box (1.2 cubic foot)	Per Box	No-bid		
Indexing	Per Box	No-bid		
Permanently withdrawal of Box/container from Service Provider's facility	Per Box	No-bid		
Destruction charge for City Records stored by Service Provider	Per Box	No-bid		
Retrieval/Fax/Scan/Email/Refile a copy of a stored Record by Service Provider	Per File / Per Box	No-bid		
Retrieval/Fax/Scan/Email/Refile a Record to a third party by Service Provider	Per File / Per Box	No-bid		

Section 6 Required Forms

4. Shredding Services

Companies who will be providing Shredding Services, shall submit their pricing below:

Services	Unit of Measure	Cost	Additional information	Additional Company Comments
Paper, per bin at City facility	Per Bin	No-bid	Specify bin capacity	
Paper, per bin at Service Provider facility	Per Bin	No-bid	Specify bin capacity	
Paper Shredding at City facility *Not in bins	Per Pound	No-bid	0-499 Lbs.	
	Per Pound	No-bid	500-999 Lbs.	
	Per Pound	No-bid	1000+ Lbs.	
Paper Shredding at Service Provider facility *Not in bins	Per Pound	No-bid	0-499 Lbs.	
	Per Pound	No-bid	500-999 Lbs.	
	Per Pound	No-bid	1000+ Lbs.	
Uniforms	Per Bin / Per Weight	No-bid	Specify bin capacity and/or weight	
One-time purge/special request	Per Bin/ Per Weight	No-bid	Additional needs for special events or other special requests	

Section 6 Required Forms

5. Additional Services

Companies should utilize the list below to include any related or ancillary services they provide that would be beneficial to the City and Participating Public Agencies when considering Scanning, Storage, and Shredding Services.

Services	Unit of Measure	Cost	Additional information	Additional Service Provider Comments
Miscellaneous Professional Services				
Professional Services IT	Per Hour	\$ 161.90	Performed by Certified System Engineer	OnBase, Docuware, PSIGen, Kofax
Professional Services Consulting	Per Hour	\$ 225.00	Performed by Certified System Engineer	Rapid Application Development
Professional Services Database	Per Hour	\$ 187.50	Performed by Certified System Engineer	Microsoft SQL Server Certified
Professional Services Project Management	Per Hour	\$ 150.00	Performed by Certified Project Manager	PMP
Miscellaneous Operational Services				
Operational Services: Onsite Purging Services	Per Box	\$ 49.00	Secure packing and manifesting	
Operational Services: CCPA Transportation	Weight / Distance	TBD		
Operational Services: Indexing Documents	Per Keystroke	\$ 0.010	Manual Data Entry after the included 2 fields	
Operational Services: Database Merging Indexing	Per Keystroke	\$ 0.04	Matching Client Database with Images after the included 2 fields	
Operational Services: Large Format Scanning 18"x24"	Per Image	\$ 1.25	Large Format Scanning 18"x24"	
Operational Services: Large Format Scanning 24"x36"	Per Image	\$ 2.00	Large Format Scanning 24"x36"	
Operational Services: Large Format Scanning 36"x48"	Per Image	\$ 2.25	Large Format Scanning 36"x48"	
Operational Services: Color Scanning (up to 12"x18")	Per Image	\$ 0.02	Color Scanning (up to 12"x18")	
Operational Services: OCR	Per Image	\$ 0.02	OCR	

Section 6 Required Forms

Services	Unit of Measure	Cost	Additional information	Additional Service Provider Comments
Operational Services: Film to Digital Conversion	Per Image	\$ 1.04	Convert Film to Digital (up to 600 DPI bitonal or greyscale)	
Operational Services: FTP Upload	Per Upload	\$ 35.00	Upload of Records to the desired system	
Records Management Portal				
Storage & Retrieval	Per User Per Year - Minimum 25	\$ 1,400.00	Storage, Full Text Search, View, Multi-platform, Version Control, Rec. Mgmt., Reporting, Non-programmatic integration, MS Office Integration	OnBase Cloud, Volume discounts every 25 users
Storage & Retrieval with Automation	Per User Per Year - Minimum 25	\$ 1,900.00	+ Workflow Automation, Programmatic Integration, Automated Email Capture, Forms, Collaboration, Notifications	OnBase Cloud, Volume discounts every 25 users
Storage & Retrieval, Automation, Case Management	Per User Per Year - Minimum 25	\$ 2,400.00	+ Case Management, Rapid Application Deployment	OnBase Cloud, Volume discounts every 25 users
Occasional Storage & Retrieval User	Per User Per Year - Minimum 25	\$ 140.00	50 days per year	
Occasional Storage & Retrieval with Automation User	Per User Per Year - Minimum 25	\$ 190.00	50 days per year	
Occasional Storage & Retrieval, Automation, Case Management User	Per User Per Year - Minimum 25	\$ 240.00	50 days per year	
Designed Solution Services				
Document Management System Conversion				
Operational Services: ECM Data Conversion	Fixed Fee up to 100 GB	\$18,750.00	Conversion of legacy document management system documents and data to a format suitable for	Shipping or Operational Services: FTP Upload may apply

Section 6 Required Forms

Services	Unit of Measure	Cost	Additional information	Additional Service Provider Comments
			import into the desired platform.	
Operational Services: ECM Data Conversion	Fixed fee 100 GB Additional per GB	\$ 105.48	Conversion per GB above the designated fixed fee amount	Shipping or Operational Services: FTP Upload may apply
Operational Services: ECM Data Conversion	Fixed Fee up to 500 GB	\$60,937.50	Conversion of legacy document management system documents and data to a format suitable for import into the desired platform.	Shipping or Operational Services: FTP Upload may apply
Operational Services: ECM Data Conversion	Fixed fee 500 GB Additional per GB	\$ 77.19	Conversion per GB above the designated fixed fee amount	Shipping or Operational Services: FTP Upload may apply
Operational Services: ECM Data Conversion	Fixed Fee up to 1,000 GB	\$99,531.25	Conversion of legacy document management system documents and data to a format suitable for import into the desired platform.	Shipping or Operational Services: FTP Upload may apply
Operational Services: ECM Data Conversion	Fixed fee 1,000 GB Additional per GB	\$ 69.06	Conversion per GB above the designated fixed fee amount	Shipping or Operational Services: FTP Upload may apply
Professional Services: Data Conversion Project Management	Per hour	\$ 150.00	Project Management for Conversion Project	
Digital Mailroom as a Service				
Operational Services: Digital Mailroom as a Service	Per Image	\$ 0.30	Mail Pickup, Capture, Classification, Indexing, Delivery (Min. 12,000 /month)	Setup Charge will Apply
Professional Services: Digital Mailroom as a Service Setup	Per Endpoint	\$ 50.00	Document Types, Mail Queue, Index Fields	Price may vary contingent on Detailed Discovery.

Section 6 Required Forms

Services	Unit of Measure	Cost	Additional information	Additional Service Provider Comments
Invoice Processing as a Service				
Operational Services: Invoice Processing	Per Invoice with minimum	\$ 1.29	Invoice Capture, Classification, Indexing, Presentation (Min. 10,000 /month)	Setup Charge will Apply
Professional Services: Invoice Processing Setup	Fixed Fee	\$12,500.00	Turnkey conversion service for legacy document and annotation data	Contingent on Detailed Discovery
Scanning Center Facility Management Service (On-site)				
Operational Services: Document Prep	Per Resource Per Month	\$ 4,218.00	Removal of fasteners, separation of folded forms, and/or paste-up of small documents	Setup Charge will Apply
Operational Services: Scanner Operator	Per Resource Per Month	\$ 5,606.00	Scanning, indexing, Quality Control, and Re-Filing of Records in City boxes.	Setup Charge will Apply
Operational Services: Data Entry Operator	Per Resource Per Month	\$ 6,326.60	Manual Data Entry after the included 2 fields	Setup Charge will Apply
Professional Services: Scanning Center Setup	Per Hour	\$ 187.50	Certified Engineer	

6. Pricing Incentives and Rebates:

Please identify any incentive and rebates offered based on volume, dollar amounts, credits, or other criteria below:

Rebate Description	Amount or Percentage



REQUIRED FORM 5 – M/W/SBE UTILIZATION
RFP # 269-2019-090

Citywide Document Management Services

The City maintains a strong commitment to the inclusion of MWSBEs in the City’s contracting and procurement process when there are viable subcontracting opportunities.

Companies must submit this form with their proposal outlining any supplies and/or services to be provided by each City-certified Small Business Enterprise (SBE), and/or City-registered Minority-owned Business Enterprise (MBE) and Woman-owned Business Enterprise (WBE) for the Contract. If the Company is a City-registered MWSBE, note that on this form.

Failure to submit this form shall deem a Proposal non-responsive. The City intends to award to multiple Companies with at least two Companies being certified MWSBEs.

Company Name:	FileSolve through association with Elite Resources
----------------------	--

Please indicate if **your company** is any of the following:

MBE WBE SBE None of the above

If your company has been certified with any of the agencies affiliated with the designations above, indicate which agency, the effective and expiration date of that certification below:

Agency Certifying: NC Department of Administration, Office for Historically Underutilized Business
Effective Date: February 6, 2019 Expiration Date: February 6, 2023

Total MBE Utilization	50%
Total WBE Utilization	50%
Total SBE Utilization	%
Total MWSBE Utilization	50%

Representative (signed): _____

June 24, 2020
Date

Kelly Green
Representative Name

Section 6 Required Forms

HUB Certification



North Carolina
Department of Administration
Office for Historically Underutilized Businesses

Machelle Sanders
Secretary
Tammie Hall
Director

February 6, 2019

Janet Meyer
Elite Resources (Minority Owned)
Po Box 410302
11200 Nations Ford Road
Charlotte, NC 28241

Dear Janet Meyer:

The Office for Historically Underutilized Businesses (HUB Office) is pleased to inform you that your company is now certified as a Historically Underutilized Business. Your firm is listed in the Statewide Uniform Certification (SWUC) Program database. This certification will remain in effect for four (4) years from the date of this letter.

You must notify the HUB Office in writing within 30 days of any changes affecting your compliance with SWUC Program eligibility requirements, including changes in ownership, day-to-day management and operational control. Failure to notify the HUB Office of these changes or reapply for certification in a timely manner may cause your HUB Certification to be revoked. In addition, please be advised your status may be changed if there is a 3rd party challenge granted against your firm. The link to the HUB Office 3rd party challenge form can be located at <http://www.doa.nc.gov/hub/documents/ThirdpartyEligibilityChallengeev080811.pdf>. All information submitted to the Office for Historically Underutilized Business is subject to audit and review.

The HUB Office collaborates with local Minority/Women/Small Business (M/W/SBE) Offices who offer assistance to certified HUB firms with identifying contract opportunities with state and local government. Many of these offices also offer assistance with business development. Please visit our website at <http://www.doa.nc.gov/hub/programs.aspx?pid=swuc> to locate the local office near you. Another great resource is the Small Business and Technology Development Center at www.sbtcdc.org for free personalized business assistance and counseling.

It is important to note that although your status as a certified HUB firm greatly improves your access to state and local government contracts, this certification does not guarantee contract awards. Your ability to research opportunities and bid competitively will be important to your success in this program. We are committed to assisting you through the process with the completion of the Preliminary Business Development and Supportive Services Assessment Survey, located on the HUB Office website under the Certification Tab. The information will provide an overview of your company which will assist us in appropriately aligning contract opportunities that you are ready, willing and able to pursue.

Thank you for your interest and participation in the SWUC Program as a Historically Underutilized Business firm with the State of North Carolina.

Sincerely,
Tammie Hall
Tammie Hall
Director

State of North Carolina | Office for Historically Underutilized Businesses
116 West Jones Street, Suite 4109 | 1336 Mail Service Center | Raleigh, NC 27699 1336
(919) 807 2330 T

Charlotte Business Inclusion Certification



600 E. Fourth Street, 10th Floor
Charlotte NC 28202
(704) 336-3380 • Fax (704) 432-1414
Email: charlottebusinessinclusion@charlottenc.gov

MWBE Relevant Market Area Certificate

Please complete, sign, date, and mail this certificate to the address above.

I, Kim McDonald / Jan Meyer, own at least fifty-one percent (51%) of
(Your Full Name)

Elite Resources, have full knowledge of the
(Name of Business Enterprise)

operations of this business enterprise and hereby attest to each of the following:

1. The business enterprise listed above is certified with the State of North Carolina Historically Underutilized Business (NC HUB) Office as a:

- Minority Business Enterprise
- Women Business Enterprise

2. The business enterprise listed above has as a significant business presence in the Charlotte Combined Statistical Area (CSA), specifically in any of the following localities:

- | | |
|--|--|
| <input checked="" type="checkbox"/> Anson County, NC | <input checked="" type="checkbox"/> Lincoln County, NC |
| <input checked="" type="checkbox"/> Cabarrus County, NC | <input checked="" type="checkbox"/> Mecklenburg County, NC |
| <input checked="" type="checkbox"/> Chester County, SC | <input checked="" type="checkbox"/> Rowan County, NC |
| <input checked="" type="checkbox"/> Cleveland County, NC | <input checked="" type="checkbox"/> Stanly County, NC |
| <input checked="" type="checkbox"/> Gaston County, NC | <input checked="" type="checkbox"/> Union County, NC |
| <input checked="" type="checkbox"/> Iredell County, NC | <input checked="" type="checkbox"/> York County, SC |
| <input checked="" type="checkbox"/> Lancaster County, SC | |

On behalf of the applicant business enterprise and with acknowledgment of the remedies set forth in Section 2.19 of Part E of the CBI Program, the undersigned certifies that the information provided in this certification is accurate in all respects, and that this CBI Program Relevant Market Certificate contains no false or misleading statements or omissions regarding any matter relevant to the CBI Program.

Kim McDonald
Signature of Owner

Secretary/Owner
Title

4/26/17
Date

Email Address: Kim@eliteresources.net Phone Number: 704-504-2299

Section 6
Required Forms

**REQUIRED FORM 6 – CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND
OTHER RESPONSIBILITY MATTERS
RFP # 269-2019-090**

Citywide Document Management Services

The bidder, contractor, or subcontractor, as appropriate, certifies to the best of its knowledge and belief that neither it nor any of its officers, directors, or managers who will be working under the Contract, or persons or entities holding a greater than (ten percent) 10% equity interest in it (collectively “Principals”):

1. Are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal or state department or agency in the United States.
2. Have within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state anti-trust or procurement statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
3. Are presently indicted for or otherwise criminally or civilly charged by a government entity, (federal, state, or local) with commission of any of the offenses enumerated in paragraph 2 of this certification; and
4. Have within a three-year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default.

I understand that a false statement on this certification may be grounds for rejection of this proposal or termination of the award or in some instances, criminal prosecution.

I hereby certify as stated above:

Kelly Green
(Print Name)

Signature

Chief Strategy Officer
Title

June 24, 2020
Date

I am unable to certify to one or more the above statements. Attached is my explanation. [Check box if applicable]

(Print Name)

Signature

Title

Date

Section 6
Required Forms

REQUIRED FORM 7 – BYRD ANTI-LOBBYING CERTIFICATION
RFP # 269-2019-090

Citywide Document Management Services

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of and Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than federal appropriated funds have been paid or will be paid to any person for making lobbying contacts to an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form—LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions [as amended by "Government wide Guidance for New Restrictions on Lobbying," 61 Fed. Reg. 1413 (1/19/96)].
3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including all subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction by 31 U.S.C. § 1352 (as amended by the Lobbying Disclosure Act of 1995). Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

FileSolve, a Division of Patterson Pope (the "Company") certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the Company understands and agrees that the provisions of 31 U.S.C. A 3801, et seq., apply to this certification and disclosure, if any.

Kelly Green
(Print Name)

FileSolve
Company Name

Authorized Signature

3001 N Graham Street
Address

June 24, 2020
Date

Charlotte, NC 28206
City/State/Zip

REQUIRED FORM 8 – CCPA PLAN
RFP # 269-2019-090

Citywide Document Management Services

Pursuant to N.C. G.S. 160A-461 and 143-129(e)(3), the City of Charlotte, Finance Department - City Procurement has established the Charlotte Cooperative Purchasing Alliance (CCPA). The purpose of the CCPA is to allow other public agencies regionally and nationwide to use contracts competitively solicited and awarded by the City of Charlotte (herein “City”). Combining the volumes of government agencies achieves cost effective pricing and reduces the administrative and overhead costs of suppliers and public agencies alike. By providing a comprehensive and competitively solicited Contract through a single bid process, county, city, special district, local government, school district, private K-12 school, technical or vocational school, higher education institution (including community colleges, colleges and universities, both public and private), state, other government agency or nonprofit organization can utilize the subsequent contract(s) without the need for further solicitation. Companies should consider the potential volumes when responding to this RFP. Participation by other entities is strictly voluntary and no volumes are guaranteed. Participating Public Agencies are required to register to purchase products or services through the CCPA.

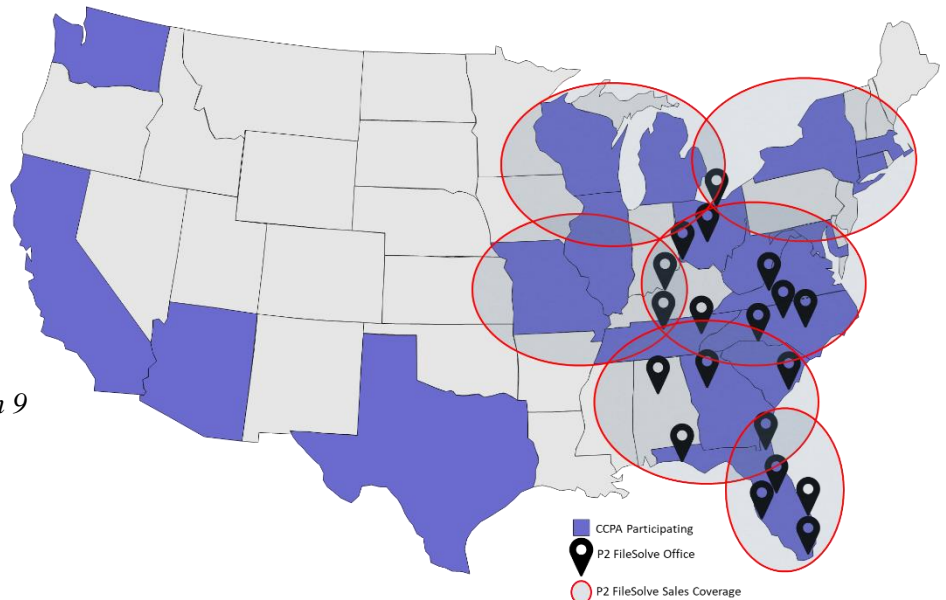
More information about the CCPA can be found on the CCPA website at: www.charlottealliance.org.

The objective of this RFP is to utilize participation among the City, as well as various other Participating Public Agencies, to provide low cost reliable Products and Services. The Company must agree to receive orders from the City and all Participating Public Agencies and to provide all Services ordered to a specified City and Participating Public Agency address.

Companies **shall** include in detail how they will serve all Participating Public Agencies as it relates to the CCPA. Currently the CCPA has approximately 415 registered Participating Public Agencies in Arizona, California, Connecticut, District of Columbia, Florida, Georgia, Illinois, Maryland, Massachusetts, Michigan, Missouri, New York, North Carolina, Ohio, South Carolina, Tennessee, Texas, Virginia, Washington, West Virginia, and Wisconsin.

Please address the following:

1. Describe your company’s ability to provide Products/Services to any Participating Public Agencies in the contiguous 48 states; and the ability to deliver Products/Services in Alaska and Hawaii.
 - a. *FileSolve performs services in the operation centers as well as on-site at client’s locations.*
2. Address if your company has a national sales force, dealer network or distributor with the ability to serve Participating Public Agencies in all 50 U.S. states.
 - a. *FileSolve has 35 salespeople, 19 offices, in 9 states.*



Section 6 Required Forms

3. How you will you monitor, and report all spend by City/Participating Public Agencies to the City for auditing purposes?
 - a. *The FileSolve financial system (FinancialForce from SalesForce) allows for departmental billing within client accounts. Many clients choose to receive regular reporting by client/agency/department.*

The City will post all awarded contracts on the CCPA website, along with the respective vendor information. Please address the following accordingly:

1. Will your company allow the City to utilize their organization’s logo on the CCPA website?
 - a. *Yes*
2. Will your company be willing to advertise the CCPA logo and website on your organization’s website?
 - a. *Yes*
3. How do you plan to market the Contract(s) to other Participating Public Agencies?
 - a. *FileSolve promotes the awareness and understanding of document management service through an annual ECM Conference (ecmconference.com), regularly scheduled webinars, the FileSolve website, social media, the ECM email newsletter. The contract will be added to this promotion process. Complete Marketing Plan:*

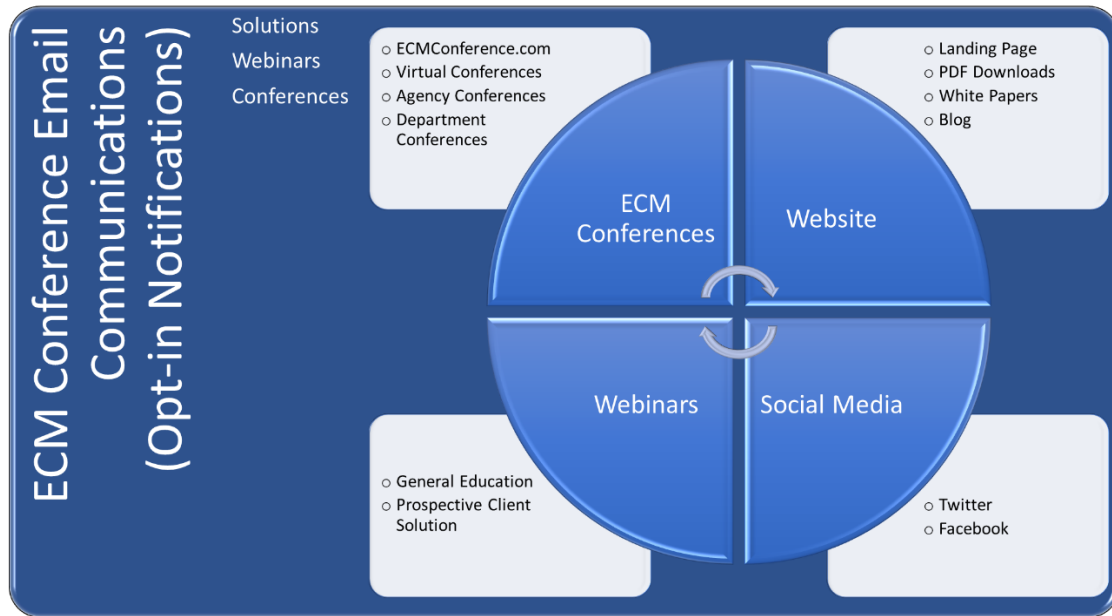


Figure 13 - CCPA Marketing Plan

Section 6
Required Forms

REQUIRED FORM 9 – ENVIRONMENTAL PURCHASING RESPONSES
RFP # 269-2019-090

Citywide Document Management Services

Companies shall complete and submit the form below regarding the products or supplies required to perform the Services.

Question	Response
<p><u>Recycled Content.</u> Products must contain a certain percentage of recycled content. Please include the amount of recycled content, both pre- and post-consumer, included in your product.</p>	<p>At Patterson Pope, “going green” is not a project; it is our corporate lifestyle. We help people take up less space in their environment. Less space equals lower costs and fewer greenhouse gas emissions. What is the connection? We have products that are manufactured (example) and extracted (example) within 500 miles of our 10-state territory. We have products that are Greenguard certified and that are comprised of 80- to 90% recycled content. We reuse, repurpose, and repaint – all in the name of green. And we are not just talking sustainability.</p> <p>FileSolve provides a service in which there are no physical products. FileSolve works with clients to determine the final disposition of the paper we process for them.</p>
<p><u>Recyclability.</u> Please include the types of materials included in your product, and if they are considered recyclable in typical municipal recycling streams.</p>	<p>See Above</p>
<p><u>Life Cycle Management.</u> Please state how many times your product may be reused. (Since reusable products generally require more upfront costs than disposable products, they are often subjected to a cost/benefit analysis in order to determine the life cycle cost).</p>	<p>See Above</p>
<p><u>End of Life Management.</u> Will the manufacturer or designee accept the product back at the end-of-life? (who pays for the transportation of the product may be situation-specific).</p>	<p>See Above</p>

3. EXCEPTIONS

6. SERVICE LEVEL AGREEMENT.

The “Storage in Records Management Portal” pricing is configured for an industry standard 99% availability in Docuware.

The infographic features a navigation bar with the following items: Security, Scalability, **Availability**, Usability, Compliance, Benefits, Total cost of ownership, and Future viability. The main title is "Availability for continuity at all times". Below the title are four columns, each with a header and a list of bullet points:

- Accessibility**
 - Uptime over 99% (industry standard)
 - Single sign-on: user logs in with a single ID and password
- Performance adjustment**
 - System reacts quickly and dynamically to fluctuating loads:
 - Extends the existing servers and/or
 - Adds entire servers
 - Load distributed across all servers ensuring a consistently high performance level
- Auditing**
 - Each DocuWare organization can keep constant track of all its internal processes
 - Each document access and administrative operation can be audited
- Monitoring and system support**
 - Automatic monitoring
 - Immediate automatic reporting of noticeable incidents
 - Constant performance controls
 - Regular complete functional tests
 - Real-time security analysis of telemetry data
 - Immediate action by system support: 24/7 availability

The DocuWare logo is located at the bottom left of the infographic.

The “Records Management Portal” configured in “Additional Services” offers the following service classes with OnBase:

SERVICE CLASSES

SERVICE CLASSES	SILVER	GOLD	PLATINUM	DOUBLE PLATINUM
MONTHLY UPTIME: Percentage	99%	99.50%	99.80%	99.90%
BUSINESS CONTINUITY: Recovery Point Objective	8 hours	4 hours	2 hours	1 hour
BUSINESS CONTINUITY: Recovery Time Objective	168 consecutive hours	48 consecutive hours	24 consecutive hours	4 consecutive hours
SYSTEM MAINTENANCE: Monthly Hours Limit	16 hours	16 hours	6 hours	6 hours