

CITY OF GALLATIN, TENNESSEE

REQUEST for PROPOSAL and STATEMENT of QUALIFICATIONS

INFORMATION TECHNOLOGY

INTERNAL CONTROL and POLICY for

ELECTRONIC DISCOVERY and RECORDS RETENTION

JUNE 2013

Scope of Work:

The City of Gallatin, Tennessee, a city located in Middle Tennessee with a population of just over 30,000, is seeking proposals and statements of qualifications for the development of a Policy document for internal operations of the Information Technology Division of the Finance Department.

The purpose of the document is to develop, define and implement an internal management policy for records retention and preservation; to satisfy both public records requirements and electronic discovery needs in the event of litigation. The focus shall be on the Information Technology discipline and its essential role in retention, preservation and discovery.

A records retention policy per se is NOT the intent of this work. That said, the document must be sensitive to, respectful, and inclusive of corollary requirements and influences. The City of Gallatin has adopted records retention guidelines (as policy) from Municipal Technical Advisory Service (MTAS), a service of the University of Tennessee. Those guidelines shall be considered and referenced as a supporting foundation for this policy document.

The document shall, at a minimum, encompass the following:

- Procedural steps to be taken upon receipt of notification of a “hold order.”
- Procedural steps to be taken upon employee suspension or separation.
- Procedure(s) and file/folder/server configurations for on-going compliance with mandated and adopted/referenced records retention requirements; local, state and federal.
- Best Methods and Practice for email archiving rules at desktop level as a GPO system rule.

An approach to be considered, given the current state of records management for the City, is “in-place management” – enforcing rules on the content located on the host server(s). Elements to consider are:

- categorizing content,
- cataloging content,
- MTAS retention guidelines,
- metadata preservation

- chain of custody
- hold methodology and,
- disposition procedures.

Upon completion of the document, a review or cursory audit of any such existing practices, policies, services and equipment shall be performed, checked against the policy provided and deficiencies itemized. Recommendations to rectify said deficiencies shall be provided.

Deliverables:

The finished document shall incorporate minimal requisite City staff input – the intent to improve the ability of the policy/procedure to withstand both an external audit and, potentially, a court challenge. Policy/procedure shall incorporate best known methods and practices; and shall not be tied to specific technologies which may be subject to change or obsolescence.

Although intended for use by technology personnel, the document shall be written, to the greatest extent possible, in clear, plain language, using technical terms and jargon only as necessary.

Document shall be delivered in read-only electronic format for review and as a finished product. The policy will be incorporated as part of an existing IT SOP, either by reference or direct adoption by City Council.

Submittals:

Proposals shall be received no later than **Tuesday, July 2, 2013, 2:00 PM**. Proposals shall be submitted in a sealed envelope, *clearly* marked INTERNAL CONTROL & POLICY, contain 2 paper copies and 1 digital copy on **CD media**. Submittals shall **NOT** be sent via electronic mail or facsimile.

All proposals and responses shall be valid for 90 days from date of submittal.

Submit all responses, clearly marked, as follows:

INTERNAL CONTROL & POLICY

J. R. Smith
Purchasing Agent
Finance Department – Room 105
City of Gallatin

132 W. Main Street
Gallatin TN 37066

Review and Basis for Award:

This Request for Proposal and Statement of Qualifications (RFP/RFQ) is part of a procurement process that helps us serve the City of Gallatin's best interests. It provides a formal yet unrestrictive opportunity for the City to consider the services of all responding vendors. The process being used in this case should not be confused with the process of competitive sealed bidding. The latter process is usually used where the goods and services being procured can be precisely described and price is generally the determining factor. With a Request for Proposal and Statement of Qualifications, price is not required to be the determining factor. The City of Gallatin will award the work pursuant to the Municipal Purchasing Act of 1983. Reviews will consider the following factors:

- Completeness of response
- Clarity of response
- Qualifications provided
- Exceptions to Scope
- Prior experience with vendor/respondent
- Costs

The City of Gallatin reserves the right to reject any and all proposals, any part of any proposal, and to waive any informality or Scribner's error found therein.

Any award is subject to pending funding in, and approval of, the 2013/2014 FY City budget.

Questions regarding this RFP/RFQ:

Direct ***all questions*** regarding this RFP/RFQ – *in writing* - to either of the following:

Joseph Crass joseph.crass@gallatin-tn.gov
Rachel Nichols rachel.nichols@gallatin-tn.gov

Information Technology Division / Finance Department
City of Gallatin
132 W. Main Street
Gallatin TN 37066

ALL QUESTIONS MUST BE SUBMITTED IN WRITING. Email is preferable, US post is acceptable. ALL QUESTIONS WILL BE ANSWERED IN WRITING (via email only) AND SHARED WITH ALL KNOWN POTENTIAL RESPONDENTS. NO VERBAL QUESTIONS WILL BE ENTERTAINED. NO QUESTIONS POSED AFTER ONE (1) WEEK PRIOR TO DEADLINE WILL BE ENTERTAINED. NO EXCEPTIONS.

To ensure receipt of responses to questions or other pertinent information, *please register your intent to respond to this RFP/RFQ with:*

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- End of RFP/RFQ -