REQUEST FOR PROPOSAL

PLANNING PROGRAM
(PLN)
DOCUMENT CONVERSION

The San Joaquin Valley Air Pollution Control District (District) is seeking a qualified respondent to convert paper documents to text-searchable PDF files for import into the District's Electronic Document Management System (EDMS) which is an implementation of SIRE Technologies document management system.

Submittal:	Three (3) hard copies and one (1) electronic copy of the proposal must be received at the address below on or before:
	5:00 PM on Thursday, April 22, 2010
	PROPOSALS RECEIVED AFTER THE TIME AND DATE STATED ABOVE WILL NOT BE ACCEPTED.
Address to:	Robert Harris Programmer / Analyst San Joaquin Valley Air Pollution Control District 1990 East Gettysburg Avenue Fresno, CA 93726-0244 robert.harris@valleyair.org
Issuance Date:	March 24, 2010

TABLE OF CONTENTS

1.0 INTRODUCTION

This Request for Proposal (RFP) is for successful completion of a document conversion project for the District's Planning Program documents. The District's document management system is an implementation of SIRE Technologies version 5.2. The ideal vendor for this project has successfully completed multiple document conversion projects involving SIRE Technologies document management systems.

1.1 Background

The District has offices in Fresno, Modesto, and Bakersfield, referred to as Central, North, and South, respectively. Each office has its own set of EDMS servers. Documents and their index data are replicated nightly between regions.

The District has multiple programs (departments), each program having one or more document domains, and each domain having its own types of documents, and its own requirements for indexing, security, confidentiality, and function. Documents belonging to the same document domain (sharing the same set of possible document types, indexes, security, confidentiality, and functional requirements) are stored in the same SIRE cabinet in EDMS. Currently the District's Permit Services and Compliance programs have facility file documents stored in facility file SIRE cabinets by region.

The scope of this project includes designing SIRE cabinets that will meet the (searching, security, confidentiality, and functional) needs for storing Plan Development (PLD) and Rule Development (RLD) documents of the District's Planning Program (PLN).

The selected vendor will:

1) Analyze the design requirements.

2) Design one or more SIRE cabinets, with appropriate security, index fields and values, to contain PLN documents and meet the design requirements.

3) Create a custom user interface for accessing documents from the cabinet(s) using SIRE WebCenter, FileCenter, SIRE Viewer, SIRE Forms, SIRE Workflow, etc. that will allow general users to set finalization status for documents (preventing further revision), and to place them on litigation hold (preventing scheduled purging), while at the same time not allowing general users to reverse these settings. Members of Legal should be able to set and reverse the litigation hold setting for sets of documents that fall within specified search criteria (for example: all documents related to a specific PLN Program). Ideally, the rules for setting litigation hold for documents will be definable so that as new documents are added that meet the criteria, the litigation hold settings will be set automatically.

4) Design a day-forward process for adding new documents.

5) Conduct a back-file document conversion that will:

a) minimize impact on PLN staff members who access these documents.

b) ensure documents are not lost during conversion.

c) allow the paper documents to be readily prepared for document conversion in terms of barcode index sheets.

d) classify, index, organize and prepare for scanning all existing PLN documents in support of the back-file conversion operation.

e) convert paper documents stored in folders in PLN file cabinets, and in boxes in offsite storage, into text-searchable PDF files.

f) create index files that contain index values for the index fields of the documents to be imported into the new SIRE cabinet(s).

g) import the documents and associated index information into the new SIRE cabinet(s).

h) have processes and procedures in place to keep imaging and indexing errors below 2%.

6) Implement the document conversion project.

1.2   Anticipated Timeline

Critical dates for this project include:

- March 24, 2010   RFP Posted
- April 6, 2010   RFP Bidders Conference
- April 22, 2010   RFP Due from Bidders
- May 24, 2010   Contract Finalized with Winning Bidder
- June 17, 2010   Governing Board Meeting for Potential Approval
- June 28, 2010   Project Kickoff

Prospective bidders have approximately 30 days to respond to the District's RFP. During these 30 days, the District will field questions and supply answers as needed to provide additional information and clarification on the District's requirements. In addition, the District will convene a Bidders Conference for onsite demonstration of the District's EDMS for the purpose of answering Bidders' questions regarding this project.

After receiving the vendors' RFP responses, the District will evaluate the proposals and negotiate a contract with the successful vendor. The contract will then be submitted for approval by the District's Governing Board before finalization. Finally, upon approval, the contract will be signed, and the project will begin on the Project Kickoff target date.

2.0   PROJECT DELIVERABLES

2.1   Analysis of Design Requirements

Several design requirements must be taken into account before embarking on SIRE Cabinet Design. All the required document index fields must be determined that will allow efficient searching, support replication, retention, and other functions (such as SIRE Forms where users will be able to finalize documents, declare documents obsolete, or place them on litigation hold to prevent them from being purged during retention policy enforcement), as well as fields required by the document conversion process itself.

2.2   SIRE Cabinet Design

SIRE Cabinets must be designed and created for housing PLN documents such that the design requirements of section 2.1 are met.

2.3   Day Forward Process for Adding New Documents

Before conversion of existing documents begins, a method for adding new documents (both paper and electronic) must be in place. Currently for other District programs, staff members specify document indexing requirements on coversheets for paper documents which are then submitted for scanning into EDMS. A method and architecture for submitting electronic documents by end users without granting them cabinet rights to read-only documents needs to be defined. Users must be able to specify whether or not documents are work-in-progress documents (where future revisions are allowed) or are final documents (where revisions are not allowed). The streamlined method and architecture must be configurable so that District staff can configure it for use with other SIRE cabinets in the future, so that a uniform process can be utilized.

2.4   Document Conversion Process

A document conversion process needs to be defined that will allow the document prep team to quickly classify PLN documents and specify required indexes that will be associated with the scanned document. Typically the index information is present on coversheets scanned with the documents. The process will use barcodes where possible to reduce indexing errors. Handwritten index values may also be used. A program for generating the index sheets needs to be created that should be capable of producing multiple barcode fields per index sheet.

A program for scanning the documents with the index coversheets must be provided that will in the end generate a text-searchable PDF file for each document in a box, and put the document index information for all the documents in the box in a text file in a format that is compatible with SIRE Technologies' document import utility. The PDF files and index import file will be delivered to the District on DVDs. Required document index information will include a DOC_SOURCE_STRING that consists of the DVD

number, the District's box number, and the sequence number of the PDF to be imported. Documents are to be scanned in sequence and put back in the box in the same order as they were scanned in order to facilitate comparison of images and indexes against the paper documents to verify image quality and index accuracy.

Documents are to be scanned primarily in black and white at 240 dpi. Higher resolution, grayscale and color scanning will be used for pages that require it, so that the pages are readable and equivalent to the paper pages. For instance small fonts require higher resolution, pencil requires grayscale, and photographs and charts may be grayscale or color depending on if color is necessary. If possible, there should be a mechanism for staff to specify on the indexing sheet whether or not color is required so that the appropriate settings may be set automatically.

The procedure for ensuring image and index quality goals are achieved must be defined. The District will verify document image quality and index accuracy to ensure that the conversion error rate stays below 2%.

The process should include mechanisms for:

- Reporting process rate, overall progress, and product quality.
- Controlling access to documents.
- Allowing staff to set scanning priority by box ID.
- Retrieving copies of documents that are in the conversion process if the need is critical.

Please provide a plan for scanning documents offsite at the conversion vendor's location. The plan should include a complete list of required resources and whether the District or the vendor will be responsible for providing those resources.

For offsite scanning of boxes, boxes will be processed and returned in box number order to facilitate box tracking and help ensure none are misplaced by allowing the District to quickly identify gaps in box numbers when they are returned.

The vendor is responsible for all shipping costs.

2.5   Document Conversion

PLN documents that will be scanned as part of this conversion project are for the Plan Development (PLD) and Rule Development (RLD) sections. Most documents are good quality letter-sized single-sided with approximately 20% percent double-sided. Virtually all of the pages are standard 8.5 x 11 inch. In your proposal, please include scanning cost matrix by document size, resolution, and pixel depth (black and white, grayscale, color) on per document and volume basis. Approximately 5% of the documents are in binders or are spiral bound, and approximately 1% are bound using hot-glue binding strips. Documents in binders must be placed back in the binder. Spiral bound documents that are unbound for scanning will need their pages rebound in the most economical fashion without damaging the pages. Binding clips may be used for this purpose. Please include in your proposal the method of rebinding you propose.

Please use these estimates as the basis for your bid.

        PLD: 515,000 pages
        RLD: 235,000 pages

        Total: 750,000 pages

Document Indexing

The selected vendor will meet with District staff to gather and finalize the document indexing requirements. Following is a preliminary list of SIRE Cabinet index fields for PLN documents.

Some fields will be captured during conversion, and others will be filled in later by users via SIRE Forms. Of the fields captured during conversion, some field data will be on index coversheets and some will be derived from database lookup.

The classification codes for how index fields are populated are:

> P – Conversion Process
> C – Index Coversheet
> D – Derived Directly
> F – SIRE Form

The scope of this document conversion project will include the population of the P, C, and D category index fields.

PLN document search index fields include:

INDEX FIELD	BACK FILE CONVERSION	DAY FORWARD SCANNING	ELECTRONIC SUBMITTALS
Box ID	(P)	(P)	(P)[1]
Scan Date	(P)	(P)	(P)
Doc Source String	(P)	(P)	(P)
System ID	(P)	(P)	(P)
PLN Section	(C)	(C)	(C)
Project Type	(C)	(C)	(C)
Project Title	(C)	(C)	(C)
Project Date	(C)	(C)	(C)
Project Year Month	(D)	(D)	(D)
Document Type	(C)	(C)	(C)
Document Title	(C)	(C)	(C)
Document Date	(C)	(C)	(C)
Confidential	(F)	(F)	(F)
Expiration Date	(F)	(F)	(F)
Litigation Hold	(F)	(F)	(F)
Finalized	(F)	(F)	(F)
Planned Purge Date	(F)	(F)	(F)
Retention Policy	(F)	(F)	(F)

[1] – Only applies for media stored in a box (CDs, DVDs, floppy disks, etc.). Documents that originate as electronic will not be in a box.

Field Descriptions

Box ID   Unique identifier for the box in which scanned documents or original media are stored. Only applies for media stored in a box (CDs, DVDs, floppy disks, etc.). Documents that originate as electronic will not be in a box.

Scan Date   The date the scanned document is added into EDMS. For electronic documents, the date the document was added into EDMS.

Doc Source String   Character string representing the source of the document. For back file conversion, this string is the concatenation of the DVD ID, the Box ID, and the scan sequence number for the document.

System ID   Unique identifier for the document added into EDMS. System ID is a concatenation of the District office region code (C, N, or S) and a unique counter for the region's EDMS server. This is assigned by the SIRE system when the document is added to the system.

PLN Section   The department of the original author or Management. Possible values include AQA, PLD, RLD, SA.

Project Type   User editable dropdown of project types that include the following values: Plan, Rule, Modeling, Exceptional Event, Forecast, Met Data, Budget, Contract, Special Project, HAL, STAR, etc.

Project Title   The name of the project. Project Title is a user-editable dropdown to facilitate adding documents to existing projects. For Rule Development, the project title could be the rule number followed by the text of the rule title. The format of the project title depends on the standards adopted by the particular PLN section.

Project Date   Date of project completion.

Project Year Month   6-digit representation derived from Project Date.
(i.e. 201003 is March 2010)

Document Type   User editable dropdown of document types that include the following values: CEQA, Draft Rule Package, Public Comments, etc.

Document Title   The title of the document, as a searchable index field in SIRE.

Document Date   Date of the document, as a searchable index field in SIRE.

Confidential   Y or N value. If Confidential = Y then the SIRE Security field is utilized to restrict access to designated PLN staff. If Confidential = N, the SIRE Security field is cleared.

Expiration Date   Date when document is no longer current.

Purge Date   Date when document can be purged.

Litigation Hold   Y/N. Documents cannot be purged if marked Y.

Finalized   Y/N. If marked Y, further revisions cannot be created. (The document may be copied to start a new revision history, but the original document and its revisions are frozen.)

3.0   PROPOSAL DESCRIPTION

Each proposal submitted must include, at a minimum, the following sections:

1. Executive Summary Page
2. Project Proposal
3. Pricing Detail
4. References
5. Prohibited Interest Statement
6. Time and Materials Coverage
7. Escalation Procedures
8. Termination or Funding Out Options

The District's evaluation process will primarily focus on responses as presented in these sections. A title page reflecting your proposal title, your firm's name, address, telephone number, fax number, the name of your firm's contact person and their email address, and date of proposal is also requested.

3.1   Executive Summary Page

The first section of the response should be an executive summary which includes:

- A brief statement describing your understanding of the project.
- A list of 2-3 conversion projects that your firm has done in the past 18 months that are similar to this one and involved a SIRE document management system.
- Project pricing for off-site conversion.

3.2   Project Proposal

At a minimum, this section should include:

- The proposed project plans for providing project deliverables requested in this RFP.

- Detailed project schedule with expected delivery dates for each deliverable.

3.3   Pricing Detail

This section identifies the all-inclusive fee to be charged for this project, with specific materials, labor, and other expenses contained within the all-inclusive fee. This section should provide pricing breakdowns for each of the project deliverables.

3.4   Time and Materials Coverage

Bidder's proposal must include options for tasks performed that are outside the scope of the proposed contract. These options should include an hourly charge for services performed, either on-site or remotely, and minimum charges if any.

3.5   References

Bidders are requested to provide three references that can provide information about the vendor's experience working on similar projects. Include in this section a list of names, titles, organization, addresses, and telephone numbers of references, and also include the dates of association and descriptions of work product delivered. The District is most interested in projects involving a SIRE document management system similar to the District's.

3.6   Prohibited Interest

Each proposal must contain a statement disclosing to the District in writing any financial interest in bidder's business or in this transaction held by any District Board member or any District officer or employee. The District reserves the right to refuse any proposal if the District determines a conflict of interest exists.

3.7   Basic Requirement - Excluded Parties List System (EPLS)

The Excluded Parties List System (EPLS) is a central registry containing information regarding entities debarred, suspended, proposed for debarment, excluded, or otherwise declared ineligible from receiving Federal contracts. Access to the EPLS is available at http://www.epls.gov. An Offeror or any individuals identified in the solicitation that appear in EPLS are **not** eligible for award of a contract.

For all procurements utilizing federal funds, buyers must verify prior to award that the intended awardee does not appear on the federal debarment list. The Excluded Parties List System (EPLS) website includes information regarding entities debarred, suspended, proposed for debarment, excluded or disqualified under the nonprocurement common rule, or otherwise declared ineligible from receiving Federal contracts, certain subcontracts, and certain Federal assistance and benefits. If the intended awardee appears on the list, they are ineligible to receive the award.

4.0   PROPOSAL EVALUATION

The District will consider the following factors in selecting a vendor for this project:

- Completeness and clarity of the proposal.
- Your firm's overall applicable experience.
- Responses from references.
- Your all-inclusive pricing for this project as detailed in the Pricing Detail section of your proposal.

The District shall be the sole judge of all proposals, particularly which one best qualifies for acceptance. The District reserves the right to accept other than the lowest-priced proposal and to negotiate with bidders if it appears to be in the best interest of the District to do so. The District reserves the right to reject any and all proposals.

5.0   BIDDERS CONFERENCE

In order to clarify any questions about this RFP, as well as allow prospective vendors the opportunity to physically see District facilities, the District will convene a **mandatory** Bidder's Conference at 10:00 AM on Tuesday, April 6, 2010. This conference will be conducted in the District's Fresno office located at 1990 E Gettysburg Avenue, Fresno, California 93726-0244. Directions to the office can be found on the District's website at www.valleyair.org. The meeting is anticipated to last approximately two hours.

It is mandatory for prospective vendors to attend this conference in order to submit a proposal. Due to the topics to be discussed at this meeting, the District strongly recommends project personnel at the managerial level be in attendance.

The tentative agenda for this conference is as follows:

- Introduction of District staff involved with this project.
- Brief review of the RFP.
- Overview of SIRE implementation at the District.
- Brief question and answer period.

Please advise Robert Harris no later than Monday, April 5, 2010, regarding your intention to attend this conference.

> Robert Harris
> (559) 230-6052
> robert.harris@valleyair.org