

SAN JOAQUIN VALLEY AIR POLLUTION CONTROL DISTRICT

REQUEST FOR PROPOSAL

**EMISSION REDUCTION INCENTIVE PROGRAM
(ERP)
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 (www.siretechnologies.com).

Submittal: Three (3) hard copies and one (1) electronic copy of the proposal must be received at the address below on or before:

Wednesday, September 24th, 2009 – 5:30 PM

**PROPOSALS RECEIVED AFTER THE TIME AND DATE
STATED ABOVE WILL NOT BE ACCEPTED.**

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1.0 INTRODUCTION

This Request for Proposal (RFP) is for successful completion of a document conversion project for the District's Emission Reduction Incentive Program documents. The District's document management system is an implementation of SIRE Technologies version 5.1. 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 domain, and each domain having its own document types, indexes, security, confidentiality, and functional requirements. 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, functional) needs for storing documents of the District's Emission Reduction Incentive Program (ERP).

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 ERP documents, and to 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 and/or SIRE Workflow 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 ERP 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 ERP 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 ERP documents in support of the back-file conversion operation.
 - e) convert paper documents stored in folders in ERP 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) QC the process to keep errors below 2%.
- 6) Implement the document conversion project.

1.2 Anticipated Timeline

Critical dates for this project include:

- August 27, 2009 RFP Mailed Out
- September 9, 2009 RFP Bidders Conference
- September 24, 2009 RFP Due from Bidders
- October 16, 2009 Contract Finalized with Winning Bidder
- November 5, 2009 Governing Board Meeting for Potential Approval
- November 9, 2009 Project Kickoff

The first step in the schedule is to create this RFP and send it to interested vendors. The 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 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 ERP 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).

2.4 Document Conversion Process

A document conversion process needs to be defined that will allow the document prep team to quickly classify ERP 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, and be able to obtain index data from existing District databases by SQL lookup.

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 unique file name of the PDF to be imported.

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 QA document images and indexes 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.

Two plans should be provided: one for scanning documents offsite at the conversion vendor's location, and one for scanning documents at the District's Fresno office. Pricing for each option should be included, along with a complete list of required resources and whether the District or the vendor will be responsible for providing those resources. Examples of needed resources include facilities (floor space, power, tables, etc.), people, scanners, printers, toner, paper (for index coversheets), boxes, labels, box tape, etc.

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 identifying gaps in box numbers when they are returned.

The vendor is responsible for all shipping costs.

2.5 Document Conversion

ERP documents are filed in 10 standard 4-drawer filing cabinets (~80 linear feet), 18 lateral 4-drawer filing cabinets (~216 linear feet), and 42 boxes (~49 linear feet). Most documents are good quality letter-sized single-sided with a small percentage of double-sided. There are also legal-sized, 11X17, and a small number of larger blueprints. 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.

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
- L - Database Lookup
- F - SIRE Form

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

ERP document search index fields include:

- Box ID (P)
- Batch ID (P)
- Scan Date (P)
- Doc Source String (P)
- System ID (P)
- ERP Program (C)
- Project ID (C)
- Applicant Name (L)
- Applicant Address (L)
- Funding Source (L)
- Folder Section (C)
- Document Type (C)
- Document Subtype (F)
- Document Title (F)
- Document Date (F)
- Document Year (C)
- Keywords (F)
- Litigation Hold (F)
- Finalized (F)

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 including on-site / off-site conversion options.

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 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.

3.5 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.

3.6 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.

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 Bidder's Conference on Wednesday, September 9, 2009, at 10:00 am. 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 not mandatory for prospective vendors to attend this conference in order to submit a proposal and receive serious consideration. However, the District assumes no responsibility for advising non-attendees regarding every detail of this meeting. 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 Thursday, September 3, 2009, regarding your intention to attend this conference. His contact information is on the Title Page of this RFP.