

LAS VIRGENES MUNICIPAL WATER DISTRICT

4232 Las Virgenes Road, Calabasas, California 91302



REQUEST FOR PROPOSALS

For

RECORDS RETENTION CONSULTING SERVICES

Proposal Issue Date

July 1, 2024

Proposal Submittal Due Date

5:00 p.m. on July 31, 2024

Documents available online at:

www.lvmwd.com

LAS VIRGENES MUNICIPAL WATER DISTRICT

REQUEST FOR PROPOSALS

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I. INTRODUCTION

A. General Information

The Las Virgenes Municipal Water District (District) serves the western edge of Los Angeles County including the cities of Agoura Hills, Calabasas, Hidden Hills, and Westlake Village. The District occupies 122 square miles and services a population of approximately 70,000. The District provides potable water, recycled water, and sanitation (wastewater) services to its customers through three separate enterprise funds. The sanitation and recycled water services are provided through a Joint Powers Authority with the Triunfo Water & Sanitation District.

Las Virgenes Municipal Water District is organized under the Municipal Water District Act of 1911 (California Water Code 7100). A five-member board of directors, each elected by geographic divisions, provides governance. Directors serve overlapping four-year terms, and every two years - concurrent with installation of the newly elected board – they select board officers. The board also selects a local representative from LVMWD to serve on the Board of Directors of the Metropolitan Water District of Southern California.

The District is requesting proposals from qualified firms to provide Records Retention Consulting Services to update the District's Records Retention Policy, Records Retention Schedule, and Records Retention Manual.

To be considered, the proposal must be received by **5:00 p.m. on July 31, 2024**, addressed to:

Josie Guzman
Executive Assistant/Clerk of the Board
jguzman@lvmwd.com

Proposals received after the above date and time will not be considered. The District is not responsible for delays in email delivery, and it is the submitters responsibility to confirm receipt. If the email is not received, alternative delivery instructions can be provided.

B. Background

The District's existing Records Retention Schedule and Records Retention Manual are outdated. The current retention schedule and document disposal processes are applied to paper-based records with no formal procedures for retention and disposal of electronic records. The District recently started using Tyler Technologies ERP solutions, and departments have been migrating active financial-related documents into that system and customer billing data is retained electronically in the customer billing program. Additionally, the District is undergoing a project to convert paper-based documents into an electronic records management system. The District currently has no retention policy related to emails. The District needs an updated policy to improve efficiency, ensure transparency, manage risk, mitigation related to electronic discovery, and ensure compliance with all applicable local, state, and federal laws, considering both electronic and hard copy files.

The goal of the District, as a result of the RFP, is to revamp the District's Records Retention Policy and Schedule, including developing and implementing modern and compliant policies, tools, and processes. The revamped Records Retention Policy and Schedule shall address all types of "records" including, but not limited to, hard-copy and electronic documents across all workflows and enterprise systems. As a result, the revamped Records Retention Schedule will provide increased business value and transparency, and will be consistent with all applicable laws and regulations. The revamped Records Retention Policy and Schedule must be easy to use and follow by District staff.

C. Term of Engagement

It is anticipated that the engagement will be completed within six months.

II. SCOPE OF SERVICES

A. General

The District is seeking proposals from qualified consultants to conduct a thorough review and assessment of the District's currently records management policy and records retention schedule; recommend updates to the policy to capture all records, print and electronic; finalize the policy and assist the District in implementation; and provide annual review and maintenance for up to four years. The goal of the District's policy and schedule shall balance:

- Legal requirements and industry best practices to minimize risk to the District
- Business needs of the District
- Financial impacts of cataloging, filing, retaining, reviewing, and destroying records

Phase 1: Assessment

Tasks: The Consultant shall conduct an on-site assessment with each department to evaluate: How the current policy and schedule is being used; what variations are being used to accommodate records not identified in the policy and schedule; and the type and magnitude of records maintained by each department. District departments include: Accounting, Administrative, Human Resources, Facilities, Operations, Rancho Las Virgenes Compositing Facility, Resource Conservation, Tapia Water Reclamation Facility, and Westlake Filtration Plant.

Additional meetings may be required by the consultant in order to understand and document all of the requirements. Consultant is required to review and identify the following information, at a minimum"

1. Current policy and schedule
2. Adherence, by the District, to the current policy and schedule
3. Types of records generated – print and electronic

4. Applicable federal, state, and local laws/regulations
5. Systems used to store records – current and archived
6. Current taxonomy and metadata implemented
7. Gap analysis on the existing policy and schedule compared to industry standards
8. Areas of potential record duplication

Deliverables:

1. Work Plan: Develop work plan including a timeline with estimated days/hour required to complete Phase 1. Include on-site meetings with project team and interviews with records coordinators from each department.
2. Report: Provide a comprehensive report with Phase 1 findings.
3. Key Stakeholder Meeting: Conduct one on-site presentation of the gap analysis findings to the District's project team.

Phase 2: Recommend Updates:

Tasks: Based on information gathered in Phase 1, the Consultant shall develop and present the District with the recommended updates to the existing policy and schedule. The recommendations must include all records – electronic, hardcopy, etc. The Consultant shall work with each department to review the recommendations to ensure updates are clear, complete, and meet all legal requirements.

Deliverables:

1. Written report with recommended updates.
2. Meeting(s) with District departments to review recommendations.
3. Presentation for District staff to take to the Board of Directors to seek approval of the updates.

Phase 3: Final Policy and Implementation:

Consultant will provide the final policy and schedule and assist the District in rolling out the updated information to all departments.

Deliverables:

1. Final Records Retention Policy and Schedule.

Phase 4: Annual Maintenance and Review:

For years two through five of this contract, Consultant will meet with the District annually to review the policy and schedule and identify any necessary modifications.

III. PROPOSAL REQUIREMENTS

A. General Requirements

1. Inquiries

Inquiries concerning the request for proposals **must be received in writing by 5:00 p.m. on Monday, July 29, 2024**, to jguzman@lvmwd.com or

Josie Guzman
Executive Assistant/Clerk of the Board
Las Virgenes Municipal Water District
4232 Las Virgenes Road, Calabasas, CA 91302
Fax (818) 251-2149

Answers to questions received will be posted online at <https://www.lvmwd.com/about-us/management/facilities-and-operations/technical-services-planning-engineering/request-for-proposals-rfp-professional-services> It is the proposer's responsibility to ensure that they access and review any questions and answers posted. The District is not responsible to notify individual potential bidders of the availability of questions and answers beyond this notice.

CONTACT WITH PERSONNEL OF THE DISTRICT OTHER THAN ABOVE REGARDING THIS REQUEST FOR PROPOSALS MAY BE GROUNDS FOR ELIMINATION FROM THE SELECTION PROCESS.

2. Addenda – The District may post Addenda to the RFP online at the District's website (www.lvmwd.com). It is the potential proposer's responsibility to access any addendums and ensure that stated requirements are met.

B Submission of Proposals

The following material is required to be received by 5 p.m., July 31, 2024, for a proposing firm to be considered:

1. Title Page

Title page showing the request for proposals' subject; the firm's name; the name, address and telephone number of a contact person; and the date of the proposal.

2. Table of Contents

3. Transmittal Letter

A signed letter of transmittal briefly stating the proposer's understanding of the work to be done, the commitment to perform the work within the time period, a statement why the firm believes itself to be best qualified to perform the engagement and a statement that the proposal is a firm and

irrevocable offer for 90 days.

4. Key Personnel

Describe the staffing model your firm will use to fulfill the Scope of Work. Provide resumes of all key personnel who will be assigned to the District. Any changes to the key personnel must be approved by the District prior to award.

5. References

List a minimum of three (3) references for whom comparable services were provided. Provide names and contact information as well as a summary of key results achieved.

6. Qualifications and Experience

Describe your firm's qualifications to complete this Scope of Work. Explain why your firm is the best to deliver this Scope of Work and provide examples of your firm's work.

7. Detailed proposal

The detailed proposal should follow the order in Section II – Scope of Services and should provide sufficient detail to understand how the scope will be accomplished.

8. Legal Issues and Potential Conflicts of Interest

The proposal must provide and pending investigations of the firm and any enforcement, settlement, or disciplinary actions taken within the last five years against the firm or any proposed key personnel and any known potential conflicts of interest related to this engagement.

9. Costs

Costs proposals must include a "Not to Exceed" amount for each item in Section II – Scope of Services as well as a breakdown of hourly rates by position that will be assigned to the District. Any cost not explicitly proposed will be ineligible for payment.

V. EVALUATION PROCEDURES

A. Review of Proposals

Proposals submitted will be evaluated by key District personnel. The District reserves the right to retain all proposals submitted and use any idea in a proposal regardless of whether

that proposal is selected.

B. Evaluation Criteria

Proposals will be evaluated using three sets of criteria. Firms meeting the mandatory criteria will have their proposal evaluated for both technical qualifications and price. The following represent the principal selection criteria which will be considered during the evaluation process.

1. Mandatory Elements

- a) The firm is licensed to practice in California.
- b) The firm has no conflict of interest with regard to any other work performed by the firm for the District.
- c) The firm adheres to the instructions in this Request for Proposals on preparing and submitting the proposal.

2. Technical Qualifications

- a) The firm's past experience and performance on comparable engagements.
- b) The quality of the firm's professional personnel to be assigned to the engagement and the quality of the firm's management support personnel to be available for technical consultation.
- c) Quality of the plan and approach to complete the Scope of Services.
- d) Demonstrated results of projects with similar Scopes of Service.

3. Costs:

Cost of completing the required Scope of Services. The District will select the firm with the highest overall ranking after considering both technical qualifications and price. For this RFP, Technical Qualifications will have a higher weight than Price.

C. Oral Presentation

During the evaluation process, the District may, at its sole discretion, request any one, all, or no firms to make oral presentations. Such presentations will provide firms with an opportunity to answer any questions the District may have on a firm's proposal. Not all firms may be asked to make such oral presentations.

D. Final Selection

The District will recommend a contract to the Board based upon the recommendation of District staff reviewing the proposals.

VI. CONDITIONS GOVERNING THE REQUEST FOR PROPOSALS

A. Right to Reject Proposals

Submission of a proposal indicates acceptance by the firm of the conditions contained in this Request for Proposals unless clearly and specifically noted in the proposal submitted and confirmed in the contract between the District and the firm selected.

The District reserves the right without prejudice to reject any or all proposals.

B. Receiving Time / Late Proposals

It is the responsibility of proposer to see that their proposal is submitted with sufficient time to be received by the District prior to the proposal closing time. Late proposals will be returned unopened to the sender. Postmarks are not accepted; all responses must be received by the District by the deadline.

C. Acceptance of Conditions Governing this RFP

Submission of a proposal constitutes acceptance of the Evaluation Factors contained in this RFP.

D. Incurring Cost

Any cost incurred by the proposer in preparation, transmittal, presentation of any proposal or material submitted in response to this RFP shall be borne solely by the proposer. Any cost incurred by the proposer for set up and demonstration or for interviews shall be borne solely by the proposer.

E. Proposer's Rights to Withdraw Proposal

Proposers will be allowed to withdraw their proposals at any time prior to the deadline for receipt of proposals. Any request must be submitted in writing.

F. Sub-consultants

Use of sub-consultants must be clearly explained in the proposal and identified by name. Prime consultants shall be wholly responsible for the entire performance whether or not sub-consultants are used. Substitution of sub-consultants must be approved in writing by the District.

G. Best and Final Offer

The District reserves the right to request Best and Final Offers from any or all proposers. This will be the only opportunity to amend or modify proposals based on feedback from the District. Information from competing proposals will not be disclosed to other proposers prior to submission of a Best and Final Offer.

H. Disclosure of Proposal Contents

All proposals are subject to the provisions of the California Public Records Act, California Government Code section 6250 et seq., and any information submitted with a response is a public record subject to disclosure, unless a specific exemption applies.

I. Manner of Payment

Progress payments will be made on the basis of hours of work completed during the course of the engagement and out-of-pocket expenses incurred in accordance with the firm's cost proposal. Interim billings shall cover a period of not less than a calendar month.

J. Insurance

Proposer shall maintain such insurance as will protect it from claims under Workers' Compensation laws, and such liability insurance as will protect against claims for damages for bodily injury, including death, and damages to property in accordance with the terms of the Agreement. Coverage of which is to be no less than \$1,000,000/\$2,000,000 per occurrence/aggregate, with the District named as an additional insured.

The proposing firm must be willing and able to obtain an errors and omissions insurance policy for coverage of no less than \$1,000,000 per occurrence for the willful or negligent acts of the firm and its officers, employees and agents. Proposer shall maintain evidence of coverage in an updated form during the term of the Agreement.