



A Tradition of Stewardship
A Commitment to Service

Health & Human Services
Operations Division

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Randolph F. Snowden

Agency Director

SERVICES

The Napa County Health and Human Services Agency desires to solicit qualified proposals to provide Records Management consultation services in accordance with the terms, conditions and specifications contained herein.

CURRENT PRACTICES

The County of Napa Health and Human Services Agency (HHSA) is an integrated Agency of approximately 400 employees. It consists of the following six service divisions:

- Alcohol and Drug Services (ADS)
- Child Welfare Services (CWS)
- Comprehensive Services for Older Adults (CSOA)
- Mental Health (MH)
- Public Health (PH)
- Self Sufficiency Services (SSSD)

and the following five administrative divisions:

- Administration
- Fiscal
- Operations
- Organizational Resources and Development
- Quality Management

The Agency offers services at three main sites. It has an Agency records room in which we store Mental Health and some Alcohol and Drug and Child Welfare Services case files. Most files are stored in divisional locations.

The Agency uses four main computer applications to track client cases. They are, Anasazi for ADS and MH records, CWS/CMS for CWS cases, C-IV for SSSD cases and Persimony for some PH cases. We also use CMIPS to track cases and billings in CSOA.

The Agency coordinates with County Information Technology Services (ITS) for records retention and destruction. ITS is currently updating all records retention schedules and is developing a county-wide electronic records management and storage system.

HHSA established an Agency Records Coordinator position approximately six years ago. That position, housed in the Operations Division, was designed to coordinate with the service divisions and the County Privacy Officer to provide records advice and coordination.

SCOPE OF WORK

The successful respondent will be expected to perform Records Management consultation services according to the following scope of work:

- Develop standards, guidelines and recommendations for the establishment of an integrated agency-wide records management program.
- Make recommendations on the roles and responsibilities of the Records Coordinator, the Quality Management Division and the County Privacy Officer function in the management of records and the associated levels of risk.
- Review and recommend changes to divisional records management policies and procedures.

COMPENSATION

This contract is for consultant services; therefore, costs shall include all overhead, insurance, wages and operating costs.

PROPOSAL PROCESS

The County intends to award a contract to the respondent who submits the proposal that is the most advantageous and the best value to the County, price and other factors considered, as determined by the County at its sole discretion.

The lowest price proposal will not necessarily be selected as the best value to the County. Technical proposals, qualifications and experience, and references as well as cost proposals will be evaluated to determine the proposal that provides the best value to the County.

All proposals become the property of the County of Napa. The County reserves the right to accept proposals, award proposals and/or not award proposals on individual items listed, on group items, or on the proposal as a whole; to request clarification of information submitted; to request additional information from competitors; to waive any informality in the proposals; to waive any irregularity in the submission and review process; to reject any and all submittals; and to accept the proposal that appears from all considerations to be in the best interest of the County. The County also reserves the right to modify the scope of work subsequent to the selection process without re-issuing the RFP.

None of the materials submitted will be returned to the bidder unless they are not submitted in a timely manner.

PROPOSAL REQUIREMENTS

Proposals will consist of technical and cost proposals, respondent qualifications and experience, and references. Proposals must fully address the Request for Proposals requirements including the Scope of

Work and must include complete references and data to verify qualifications and experience. Proposals submitted without sufficient data to provide a complete evaluation will not be considered.

As part of the proposal, respondent must evaluate the terms and conditions of the County's draft PROFESSIONAL SERVICES AGREEMENT (PSA) and note any exceptions. Any exceptions taken to the RFP or the County's PSA must be listed as a separate item in the respondent's proposal. See PROFESSIONAL SERVICES AGREEMENT below.

Prices quoted shall remain firm for a period of 90 days.

The proposal must include the following components:

1. Letter stating contact information.
2. A brief executive summary.
3. Approach: Please provide detailed information on how you will provide the services discussed in the Scope of Work, any anticipated deliverables, and your role. Note that changes, additions or deletions to the requested Scope of Work may be entertained. Provide a brief statement on the impact the requested work may have on concurrent assignments with other employers.
4. Please detail your experience in working with or your knowledge of the regulations governing records from County alcohol and drug, mental health, public health, child welfare services and eligibility programs in the State of California.
5. Please provide information on the qualifications of the personnel who will be assigned to this contract.
6. Please provide your thoughts on other issues that should also be addressed during the course of your proposed work.
7. Hours/cost estimate: Provide a spreadsheet showing estimated hours and cost by task. Note: The County will not reimburse travel or other expenses.
8. Qualifications and experience (see VENDOR QUALIFICATIONS AND EXPERIENCE below).
9. References (see REFERENCES below).
10. Resume (maximum of two pages).
11. Other information: Provide any other items or information that may assist us in evaluating your proposal (e.g., awards, letters of recommendation, or sample reports).
12. One original of the complete proposal. The original proposal must be clearly marked and contain original signatures and must be easily reproducible on a standard copying machine. Failure to clearly mark the original and provide original signatures may result in a proposal being found non-responsive and given no consideration.
13. Length and format: The proposal shall be limited to a maximum of three pages for items 1-10. Please do not use fonts smaller than 10 point.
14. It is recommended that proposals be submitted on paper that is made from at least 30% recycled content.

VENDOR QUALIFICATIONS AND EXPERIENCE

Proposals must include definitive information regarding the experience and qualifications of the proposing firm. A statement of the company's qualifications, the qualifications and experience of the

persons who would be assigned to this project and a description of the company's history and financial capability are required.

LOCAL VENDOR PREFERENCE POLICY

Napa County has a local vendor preference that covers the acquisition of requested services. Local vendors will be awarded contracts for services where qualifications are determined by the reviewing panel to be otherwise equal, unless such preference is not allowable by law. For this matter, a local vendor is a vendor who has a billing address located within Napa County.

Where appropriate, out of county vendors are encouraged to subcontract with qualified local vendors.

REFERENCES

Provide a minimum of three references for which your firm has provided services similar to those described in this RFP. References are to include: entity and contact name, address, title, phone number, and term of contract.

The County reserves the right to contact references not provided in the submittals.

PROFESSIONAL SERVICES AGREEMENT

The successful respondent will be expected to enter into a Professional Services Agreement (PSA) with the County to provide Records Management consultation services. The County's standard PSA is attached in draft for **review** by prospective respondents. Respondents are **not** required to submit a signed copy of the County's PSA with their proposal, but are merely directed to review the PSA to ensure that all respondents understand the County's PSA requirements.

Respondents should clearly note in their proposals whether they take exception to any of the PSA requirements and should include a detailed explanation of the reason for the exception and a counter-proposal or alternative suggestion(s) for the County's review. However, after review of any respondent's exceptions, the County reserves the right to reject any and all exceptions taken to the County's PSA.

INSURANCE REQUIREMENTS

Respondents are directed to review the County's insurance requirements as detailed in the attached draft Professional Services Agreement (Paragraph 2.7) and are required to submit a written statement with their proposal indicating their willingness and ability to meet all of the County's insurance requirements.

Respondents who are unable to meet all of the County's insurance requirements may submit with their proposal an alternative plan for obtaining insurance that will adequately mitigate the risks associated with providing Records Management consultation services. Any alternative insurance coverage request is subject to review and approval by County Counsel and the County's Risk Management Officer.

Failure to meet the County's insurance requirements (as determined by County Counsel and County Risk Management) may be sufficient reason for disqualification from the selection process.

EVALUATION OF PROPOSALS

A panel of Napa County officials will review all proposals submitted and select the highest ranked proposals for consideration based on the evaluation criteria noted below. After proposals have been received and reviewed, the highest ranked respondent(s) may be invited to meet with the evaluation panel in a Napa County office at no cost to the County to discuss and clarify any questions concerning the respondent's proposal and the County's requirements.

At any time during the evaluation process, the County may request "Best and Final" offers based upon the County's improved understanding of the offers or changed scope of work. Based on the initial proposals, further clarification and/or revision of proposals, and Best and Final offers, if requested, the panel will select the proposal that provides the best value to the County. The County may negotiate final pricing and a contract form with the successful respondent.

Because this proposal is negotiable, all pricing data shall remain confidential until after an award is made, and there shall be no public opening and reading of bids. Evaluation of the proposals is expected to be completed within 30 days after their receipt.

The County reserves the right to award an agreement without further competition based on the responses received to this RFP.

EVALUATION CRITERIA

The lowest price proposal will not necessarily be selected as the best value to the County. Qualifications, experience and references as well as cost proposals will be evaluated to determine the proposal that provides the best value to the County.

The criteria to be used in the evaluation of proposals are as follows:

1. Overall responsiveness to the Request for Proposal. Proposals must be neat, complete and fully address all of the technical requirements of the RFP, costs, respondent qualifications and references.
2. The respondent's understanding of the County's requirements as evidenced by the respondent's proposal response.
3. The quality, viability and suitability of the solution offered, or of the goods or services offered, when compared with the requirements and specifications of the RFP.
4. The respondent's knowledge of local circumstances (if such knowledge would be a benefit in providing services).

5. The respondent's qualifications, experience and ability to meet the County's Records Management consultation services requirements as verified by proposal submittals and/or panel interview.
6. The respondent's technical capability, expertise or skill to provide the required goods or services, including the respondent's past experience providing similar goods or services.
7. Qualifications of the respondent's workforce as verified by the overall experience of the respondent's personnel to be assigned to the contract.
8. Evaluation of the respondent's performance capabilities, reputation, reliability and service history as determined by reference checks and/or the County's prior experience with the respondent.
9. The respondent's willingness and ability to meet the County's PSA requirements including, but not limited to, the County's insurance requirements.
10. Costs.

PROVISION OF INFORMATION TO RESPONDENTS

Any documents provided by respondents are considered confidential until a contract is signed. After that, the information is public record and will be provided to anyone who requests it. However, if the documents contain any proprietary information, the portion of the documents containing the proprietary information will be withheld. Proprietary information should be clearly marked and include an explanation of why information is proprietary. After a contract is signed, HHSA staff also may share with an unsuccessful respondent the reasons that the respondent's proposal was not selected.

APPEALS

The County's appeals process is as follows:

1. Filing of Protest. Any directly affected party who is aggrieved in connection with the solicitation or award of a contract issued through a formal sealed bid procedure may protest the procurement action taken. Such protests must be filed in writing with:

County of Napa
Purchasing Agent
1195 Third Street, Room 310
Napa, CA 94559

Protests must be filed in writing within five (5) working days from the time of the occurrence generating the protest. Protests received after this time will not be considered. Any protest shall include the following information:

- The date and action taken resulting in a protest, and
- Identification of the material issue, including a detailed explanation of the basis for the protest and the remedy sought. Specification-related protests must be fully supported by technical data test results, or other pertinent information, that the substitute offered is equal to or better than the specification requirement.

2. Resolution Process.

- a. Informal Resolution. Upon receipt of a protest, the Purchasing Agent will convene, at the earliest possible convenience, discussions between the protesting party and appropriate County staff to seek informal resolution and/or to clarify the issues.
- b. Response to Protest/Appeal. If the protest is not resolved by mutual agreement, the Purchasing Agent shall provide a written response to the protesting party within fifteen (15) working days following the informal meeting. County Counsel shall be consulted before the written response is issued.
- c. The response shall state the Purchasing Agent's decision, the facts supporting the decision, and shall inform the protesting party of its right to appeal the decision to the Board of Supervisors.

3. Appeal to the Board of Supervisors.

In the event that the informal resolution procedure is unsuccessful, the protesting party may request an appeal hearing before the Board of Supervisors by filing a written request with the Clerk of the Board no later than five (5) working days after notification of the Purchasing Agent's decision. Any appeal hearing shall be scheduled within thirty (30) working days from the date request is received by the Clerk of the Board. The Clerk of the Board shall notify the appellant by personal service of the scheduled hearing date not less than ten (10) working days from the date of hearing.

The appellant shall have the right to testify at the hearing, to be represented by counsel, to present witnesses on his/her behalf, and to present oral and written documents and evidence on the issue.

After the conclusion of the hearing, the Board of Supervisors shall make findings of fact and a decision concerning the issue(s).

4. Stay of Procurement Action during a Protest. In the event of a timely protest under this section, the County shall not proceed further with the solicitation or the award of the contract or purchase order until the protest is resolved, unless the Purchasing Agent, in consultation with

the head of the relevant County department and County Counsel, makes a written determination that the award of the contract without further delay is necessary to protect a substantial interest of the County.

PROPOSAL SUBMISSION, DUE DATE AND LATE PROPOSALS

By submitting a proposal, the respondent represents and warrants that:

1. The information provided is genuine and not a sham, collusive, or made in the interest or in behalf of any party not therein named, and that the respondent has not directly or indirectly induced or solicited any other respondent to put in a sham proposal, or any other respondent to refrain from presenting information and that the prospective provider has not in any manner sought by collusion to secure an advantage.
2. The respondent has not paid or agreed to pay any fee or commission, or any other thing of value contingent upon the award of an exclusive operating area, to any employee, official, or existing contracting consultant of the County of Napa.

Proposals shall be submitted in a sealed envelope identified by proposal number and title.

The deadline for submission of proposals in response to this RFP is **5:00 P.M. on December 14, 2012**. **Late proposals will not be accepted or considered.** To be considered, proposals must be sent to:

Mitch Wippert
Deputy Director - Operations
Napa County Health and Human Services Agency
2344 Old Sonoma Road, Building O
Napa, CA 94559

The County reserves the right to request additional information not included in this RFP from any or all respondents after (insert due date)

Any modification, amendment, addition or alteration to any submission must be presented, in writing, executed by an authorized person or persons, and submitted prior to the final date for submissions. No amendments, additions or alterations will be accepted after the time and date specified as the submission deadline unless requested by the county.

VENDOR INQUIRIES

For information concerning RFP procedures and regulations interested parties may contact:

Mitch Wipperf
Deputy Director - Operations
Napa County Health and Human Services Agency
2344 Old Sonoma Road, Building O
Napa, CA 94559
(707) 259-8653
FAX (707) 299-4480
e-mail: mitch.wipperf@countyofnapa.org

Except for the above named, potential respondents should not contact Napa County officials or staff regarding any aspect of this RFP. If such contact is made, the County reserves the right to reject the proposal.

No prior, current or post award verbal conversations or agreements with any officer, agent, or employee of the County or any other person or entity shall affect or modify any terms or obligations of this RFP or any agreement resulting from this process.