

Request for Quote (RFQ) for Records Management Support Services

Wayne County Water & Sewer Authority
3377 Daansen Road
Walworth, NY 14568
315-986-1929
jfreling@wcwsa.org

Overview

The Wayne County Water and Sewer Authority, Wayne County, New York (the Authority) is a public benefit corporation with the powers necessary to plan, finance, operate and manage water and sewer systems in Wayne County. The Authority has approximately 14,000 water and/or sewer service accounts in the Towns of Macedon, Walworth, Palmyra, Marion, Arcadia, Lyons, Butler, Huron, Sodus and Wolcott.

Currently, most of the Authority's paper records are stored within the confines of the Authority basement storage room specifically designed and included in the Authority's recent building addition expressly for the purpose of records storage. While the total amount of storage space available within the building is generally adequate and environmentally appropriate, standardization and coordination of storage protocols and practices is ineffective, inconsistent and in need of review and improvement. This includes lack of standard inventory, labeling and storage protocols in order to make finding specific documents more easily accomplished.

In addition, recently the Authority has assumed responsibility for operation of the water and sewer systems in the former Villages of Macedon and Lyons and the Town of Sodus. Records originating in those locations have not been effectively managed by those municipalities. The Authority would like to have an inventory of these inherited records performed in order to bring all files (new and current) into compliance with standards expressed in NYS Archives Records Retention and Disposition (hereinafter referred to as "MI-1"). There are multiple records still stored at Town facilities that encompass documentation, system maps, contracts, billing history and the like that the Authority has not been able to obtain, sort, distribute and file per the current MI-1 schedule. The Authority has not been able to accomplish that objective due to lack of personnel and personnel hours, and does not want to bring the inherited records into the records storage room without an adequate plan.

Work Plan

The primary goals of this engagement are to provide the Authority with a comprehensive inventory and organization of inactive and current paper records that are under its control, including both existing records and newly inherited ones. The intent is to identify document-specific retention requirements for these records and develop a comprehensive Strategic Plan, as well as proper policy and procedures which will help ensure that the Authority can maintain compliance with MI-1 requirements in an efficient, timely, and cost-effective manner for all its records from this point forward.

The expected Work Plan includes the following services:

1. Inventory, Review & Identification of Current and Inactive Paper Records maintained by the Authority

- a) Review the Authority's current paper records as well as newly acquired paper records held within the Authority's active and inactive record storage. See attached paper inventory

- b) At off site locations in the Towns of Lyons, Macedon and Sodus, working as necessary with Town and Authority staff, separate records to be retained by the Authority from those to be retained by each Town. These locations are all less than 20 miles and 30 minutes driving time from the Authority office. (Authority staff will transport identified Authority records to the Authority's office.) See *attached paper inventory*:
- c) Properly identify inventoried items per Schedule MI-1
- d) Determine required retention period for inventoried records per Schedule MI-1
- e) Where needed, re-box retained records into standard 1 ft³ records storage boxes (*Boxes will be provided by the Authority*),
- f) Prepare a Records Inventory listing that includes the following information for each storage box:
 - Unique container identification number
 - Container location (e.g. building, room and shelf)
 - General description of the contents
 - Record Series Title & Number
 - Record Series owner
 - Retention period
 - Date record is eligible for destruction
- g) Print box identification sheets and place them into plastic sleeves adhered to boxes (*Sleeves or labels will be provided by the Authority*)
- h) Sort the inventory list per the following criteria
 - Records available for disposal
 - Permanent records
 - Records to be retained following the MI-1 schedule
 - Records needing further identification by Authority personnel to determine disposition
 - Records available for destruction

2. Development of a Strategic Plan, Policies and Procedures Designed to Ensure the Security, Retention and Appropriate Disposition of all Municipal Records for which the Authority is responsible.

- a.) Provide an assessment of the Authority's overall records management environment, including:
 - Identification of areas in need of improvement
 - Prioritization of areas of focus
- b.) Create a Strategic Plan to guide the Authority in building its records management foundation for next 3-5 years
- c.) Recommend Policies and Procedures to be established by the Authority to use from this point forward

Relationship of Parties:

The Wayne County Water & Sewer Authority intends that any organization or individual selected to perform services described in this RFQ shall act as an independent contractor and shall have control of the work and the manner in which it is performed. Contractor will not to be considered an agent or employee of the Wayne County Water & Sewer Authority.

Payment:

The Authority audits and pays claims once a month, on the fourth Tuesday. The contractor shall submit a monthly claim by the second Tuesday of each month for audit and payment in that month.

Timeline:

It is expected that Contractor will initiate the Work Plan described in this RFQ on/after July 1, 2019 and complete all phases of the project by December 31, 2019.

Contractor's Qualifications:

Quotes submitted in response to the RFQ should be accompanied by information describing the prospective Contractor's qualifications, including:

- Scope and longevity of Contractor's operations
- Relevant Experience
- Relevant References

Submission:

The contractor will complete the work in accordance with the Work Plan herein for the following prices (*Blended hourly rate* assumes more than one individual will work on the project):

Blended hourly rate: _____ \$ _____
(in words) *(in numerals)*

Estimated number of hours to complete Work Plan: _____

Please Note:

The Authority is soliciting quotes from qualified vendors to utilize in preparing and submitting an application for a Local Government Records Management Improvement Fund (LGRMIF) Grant in connection with its ongoing records management grants program.

The Authority reserves the right, in its sole discretion, to treat quotations submitted in response to this solicitation as equivalent to bids and to make an award to the lowest responsible bidder based on such quotes.

Quotes should be provided in accordance with the pertinent procedures set forth in General Municipal Law and the Authority's procurement rules. Accordingly, the following forms must be completed and submitted along with the requested quote:

A Non-Collusive Bidding Certificate, a Bidder's Affirmation of Understanding and Agreement/Certification of Compliance and an Offer of Disclosure of Prior Non-Responsibility Determinations. Copies of all of these forms are attached.

Questions should be directed to:

Jessica Freling
Administrative Assistant
Wayne County Water & Sewer Authority
3377 Daansen Road
Walworth, NY 14568

315-986-1929

jfreling@wcwsa.org

The Wayne County Water & Sewer Authority requests that all quotes be presented in a plain sealed envelope marked "**Sealed RFQ: Records Management Support Services.**" Quotes are to be received no later than **Thursday January 24, 2019, at 2pm EST.**

The Wayne County Water & Sewer Authority reserves the right to reject any or all quotes received in response to this RFQ.

Paper Records Inventory
Wayne County Water & Sewer Authority
1/4/2019

Location	description	# Std Record Boxes	# Std File Drawers	# Lateral File Drawers	# Other ft ³	Total ft ³
WCWSA/Active Storage	South wall Standard file drawer 1		5			6.5
WCWSA/Active Storage	South wall Standard file drawer 2		5			6.5
WCWSA/Active Storage	South wall Standard file drawer 3		4			6
WCWSA/Active Storage	South wall Standard file drawer 4		2		4	5.24
WCWSA/Active Storage	South wall Standard file drawer 5		3		2	6.74
WCWSA/Active Storage	South wall Standard file drawer 6		4			6
WCWSA/Active Storage	South wall Standard file drawer 7		4			6
WCWSA/Active Storage	North Wall Standard file drawer 8		4			6
WCWSA/Active Storage	North Wall Standard file drawer 9		4			6
WCWSA/Active Storage	North Wall Standard file drawer 10		4			6
WCWSA/Active Storage	North Wall Standard file drawer 11		4			6
WCWSA/Active Storage	North Wall Standard file drawer 12		4			6
WCWSA/Active Storage	North Wall Standard file drawer 13		4			6
WCWSA/Active Storage	North Wall Standard file drawer 14		4			6
<i>Information to include but not limited to:</i>					Total ft³	84.98

Work orders (current year), Vouchers (current year), Vouchers (previous year), Water/Sewer payment stubs, Radio read meter read sheets (current year), Radio read meter read sheets (previous year), RPZ documentation, Project files, Satellite location documents, Licensing, Contracts, Board Meeting information Safety Information, bid information, bond information

Location	description	# Std Record Boxes	# Std File Drawers	# Lateral File Drawers	# Other ft ³	Total ft ³
WCWSA/Basement	standard file boxes	210				210
WCWSA/Basement	lateral file drawers (in use)			19		38
WCWSA/Basement	Shelving unit (Bound books)				1.5	3.6
WCWSA/Basement	Loose Maps/Map Tubes				65	6.5
WCWSA/Basement	Map Storage Drawers (4x26x38)				20	46
WCWSA/Basement	Map Storage Drawers (4x38x50)				10	44
WCWSA/Basement	Curb Box Cards (drawer 5.5 x 4 x 16)				9	2
					Total	350.1

Information to include but not limited to:
System maps, water/sewer stubs, work orders, meter read sheets, billing reports, receipt books, vouchers, insurance records, fiscal records, deposit records accounting records, budget paperwork, water projects, sewer projects, DOH monthly reports, DOH lab samples, capital projects, Board minute information Bids, historical information, final/bill correction, payroll information, Bond information, audi information

Location	description	# Std Record Boxes	# Std File Drawers	# Lateral File Drawers	# Other ft ³	Total ft ³
WCWSA/Library	North wall/Bookshelf				1	2.4
WCWSA/Library	East wall/Bookshelf				1	2.4
WCWSA/Library	East Wall/standard file drawer		4			6
WCWSA/Library	East wall/standard file drawer		4			6
WCWSA/Library	west wall/lateral file drawer			2		4
					Total ft³	20.8

Information to include but not limited to:

Operation Manuals, product manuals, field staff mailboxes, project files, RPZ files, E-One files, SDS sheets, misc. information

Location	description	# Std Record Boxes	# Std File Drawers	# Lateral File Drawers	# Other ft ³	Total ft ³
WCWSA/Vault	contents of room	11				11
					Total ft³	11

Information to include but not limited to:

Various information - storage overflow or temporary storage

Location	description	# Std Record Boxes	# Std File Drawers	# Lateral File Drawers	# Other ft ³	Total ft ³
Macedon WWTP	Standard file drawer		9			13.5
Macedon WWTP	maps storage drawers (44"x32"x2")				5	8.1
Macedon WWTP	maps storage drawers (51" x 39" x 2")				5	11
Macedon WWTP	maps storage drawers (51" x 41" x 3/4")				10	9
Macedon WWTP	standard file boxes	2				2
					Total ft³	43.6

Information to include but not limited to:

system maps, operators manuals, work orders, truck inspections, fuel logs, RPZ forms, curb box locations, SDS books, flow tests, owners manuals, training manuals, sales catalogs

Location	description	# Std Record Boxes	# Std File Drawers	# Lateral File Drawers	# Other ft ³	Total ft ³
Sodus Facility	Standard file drawers		2			3
Sodus Facility	Loose/rolled maps				20	2
					Total ft³	5

Information to include but not limited to:

System maps, building maps, operations manuals, tool manuals, monthly reports, work orders, time sheets, SDS sheets

Location	description	# Std Record Boxes	# Std File Drawers	# Lateral File Drawers	# Other ft ³	Total ft ³
Red Creek WWTP	Standard file drawers		8			12
Red Creek WWTP	Loose/rolled Maps				46	4.6
Red Creek WWTP	Records Storage Containers	10				10
					Total ft³	26.6

Information to include but not limited to:

System maps, operators manuals, work orders, DEC and DOH records, maintenance logs, SDS sheets

Location	description	# Std Record Boxes	# Std File Drawers	# Lateral File Drawers	# Other ft³	Total ft³
Macedon Town Hall	Records Storage Containers	25				25
Macedon Town Hall	Loose/rolled Maps				20	2
					Total ft³	27

Information to include but not limited to:

System maps, water/sewer stubs, work orders, meter read sheets, billing reports, receipt books, vouchers, insurance records, fiscal records, deposit records, accounting records, budget paperwork, water projects, sewer projects, DOH monthly reports, DOH lab samples, capital projects, Board minute information Bids, historical information, final/bill correction, payroll information, Bond information, audi information

Location	description	# Std Record Boxes	# Std File Drawers	# Lateral File Drawers	# Other ft³	Total ft³
Palmyra WWTP	Standard File drawers		4			6
Palmyra WWTP	Loose/hanging maps				11	1.1
					Total ft³	7.1

Information to include but not limited to:

Pump Stations records, generator manuals

Location	description	# Std Record Boxes	# Std File Drawers	# Lateral File Drawers	# Other ft³	Total ft³
Palmyra Water Plant	Standard File drawers		8			12
Palmyra Water Plant	maps storage drawers (2" x 38" x 50")				10	22
					Total ft³	34

Information to include but not limited to:

monthly reports, accounting and billing information

Location	description	# Std Record Boxes	# Std File Drawers	# Lateral File Drawers	# Other ft³	Total ft³
Lyons Water Plant	Standard file drawers		9			13.5
Lyons Water Plant	loose/rolled maps				200	20
					Total ft³	33.5

Information to include but not limited to:

Record maps, truck inspections, DOH reports, work orders, confined space reports, UFPO's, SDS books, pump manuals

Location	description	# Std Record Boxes	# Std File Drawers	# Lateral File Drawers	# Other ft³	Total ft³
Lyons WWTP	Records Storage Containers	11				11
Lyons WWTP	Standard file drawers		6			9
					Total ft³	20

Information to include but not limited to:

Record maps, truck inspections, work orders, confined space reports, UFPO's, SDS books, pump manuals

Location	description	# Std Record Boxes	# Std File Drawers	# Lateral File Drawers	# Other ft³	Total ft³
Lyons Town Hall	Records Storage Containers	22				22
					Total ft³	22

Information to include but not limited to:

Billing information, plans, projects, financials, manuals

Estimated over all total:	685.68
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WAYNE COUNTY WATER AND SEWER AUTHORITY

NON-COLLUSIVE BIDDING CERTIFICATE

Pursuant to Section 103-d of the General Municipal Law, and Section 139-d of the State Finance Law, I affirm as true and under the penalties of perjury the following statement:

a. By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid, each party thereto certifies as to its own organization, under penalty or perjury, that to the best of their knowledge and belief:

(1) The prices in this bid have been arrived at independently without collusion, consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other bidder or with any competitor.

(2) Unless otherwise required by law, the prices which have been quoted in this bid have not been knowingly disclosed by the bidder and will not knowingly be disclosed by the bidder prior to opening, directly or indirectly, to any other bidder or to any competitor; and

(3) No attempt has been made or will be made, by the bidder to induce any other person, partnership or corporation to submit or not to submit a bid for the purpose of restricting competition.

Bidder: _____

By: _____

Title _____

Certificate of Compliance

Under

State Finance Law Sections 139-j and 139-k

The undersigned, _____, being the President of _____, the winning bidder ("Company") in connection with the procurement of _____ ("Procurement") issued by the Wayne County Water & Sewer Authority ("Authority") hereby certifies that:

- (i) The Company is aware of, understands and agrees to comply with the recently enacted prohibitions on procurement lobbying as defined and set forth in the Lobbying Act, as amended by Chapter 1 of the Laws of 1995;
- (ii) Neither the Company, nor any of its officers, directors, employees, or agents, has attempted to influence the Procurement in a manner that would result in a violation of the Public Officers Law and/or the Authority's Code of Ethics;
- (iii) There have been no findings of non-responsibility against the Company due to violations of the provisions of State Finance Law Section 139-j(3) or otherwise within the previous four years by any governmental entity;
- (iv) All information provided to the Authority by or on behalf of the Company in connection with the Procurement pursuant to State Finance Law Section 139-j and/or Section 139-k or otherwise is complete, true and accurate;
- (v) Neither the Company, nor any of its officers, directors, employees, or agents, has made any inappropriate or illegal contacts with the Authority in connection with the Procurement; and
- (vi) The Company understands and agrees that the Authority reserves the right to cancel any contract resulting from the Procurement in the event this certification is found to be intentionally false or intentionally incomplete.

IN WITNESS WHEREOF, I have hereunto subscribed my name this _____ day of _____, _____ on behalf of the Company.

President

Offerer Disclosure of Prior Non-Responsibility Determinations

Name of Individual or Entity Seeking to Enter into the Procurement Contract:

Address: _____

Name and Title of Person Submitting this Form: _____

Contract Procurement Number: _____

Date: _____

1. Has any Governmental Entity made a finding of non-responsibility regarding the individual or entity seeking to enter into the Procurement Contract in the previous four (4) years? (Please circle):

No Yes

If yes, please answer the next questions:

2. Was the basis for the finding of non-responsibility due to a violation of State Finance Law §139-j? (Please circle):

No Yes

3. Was the basis for the finding of non-responsibility due to the intentional provision of false or incomplete information to a Governmental Entity? (Please circle):

No Yes

4. If you answered yes to any of the above questions, please provide details regarding the finding of non-responsibility below.

Governmental Entity: _____

Date of Finding of Non-responsibility: _____

Basis of Finding of Non-Responsibility: _____

(Add additional pages as necessary)

5. Has any Governmental Entity or other governmental agency terminated or withheld a Procurement Contract with the above-named individual or entity due to the intentional provision of false or incomplete information? (Please circle):

No	Yes
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6. If yes, please provide details below.

Governmental Entity: _____

Date of Termination or Withholding of Contract: _____

Basis of Termination or Withholding: _____

(Add additional pages as necessary)

Offerer certifies that all information provided to the Governmental Entity with respect to State Finance Law §139-k is complete, true and accurate.

By: _____ Date: _____
Signature

Name: _____ Title: _____