



RICE UNIVERSITY
Controller's Office

Request for Proposal

RFP No. 2023-05-001

Document and Information Lifecycle Management

Issue Date Monday, May 8, 2023

ISSUED BY
PROCURE TO PAY OFFICE
RICE UNIVERSITY
6100 MAIN ST., COB 2ND FLOOR
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1. INTRODUCTION

The overall objective of this RFP is to select a Provider that will provide document and information lifecycle management, related product and services in the most cost-effective manner while maintaining the highest quality and standards. Qualified Providers are invited to submit proposals, based on the information provided in this RFP with the intent to establish a national cooperative business alliance with Rice University that will maximize the resources of both organizations.

A proposer's preparation and submittal of a proposal or subsequent participation in presentations or contract negotiations creates no obligation on Rice University to award a contract or to pay any associated costs. All proposals and related materials will be retained by Rice University.

RFP documents are found in Rice University's website at <https://controller.rice.edu/solicitations>. Proposers are encouraged to check such frequently for amendments and other related information. Proposers with questions and/or comments regarding the RFP, evaluation, etc., should contact Roshonda Baugh, the assigned Buyer. All questions and/or comments for this RFP must be e-mailed to rb103@rice.edu on or before May 19, 2023. This will be the opportunity to ask questions to the Procure to Pay staff.

2. DEFINITIONS

Addendum: Written clarification or revision to this RFP issued by Rice University's Office of Procurement.

Contractor: Proposer awarded a contract resulting from this RFP.

Firm: An individual or business entity that operates on a for-profit basis and participates in selling goods or services.

May: Denotes that which is permissible, not mandatory.

Proposer: An individual or business entity submitting a proposal in response to this RFP.

Shall/Must: Denotes that which is a mandatory requirement. Failure to meet a mandatory requirement will result in the rejection of a proposal as materially non-responsive.

Should: Denotes that which is recommended, not mandatory.

State: State of Texas.

3. GENERAL OVERVIEW

3.1 Purpose and Intent

Purpose: The purpose of this Request for Proposal (RFP) is to solicit proposals for Document and Information Lifecycle Management to be rendered to Rice University located at 6100 Main Street, Houston, TX 77005.

Intent: Rice University intends to award a contract to whose proposal, conforming to this Request for proposal, is most advantageous to Rice University; price and other factors considered. For an initial period of one (1) year with the option of two (2) additional one-year periods in accordance with all terms and conditions specified herein.

Rice University reserves the right to separately procure individual requirements that are the subject of the contract during the contract term, when deemed by Rice University to be in its best interest.

Terms: Rice University Terms & Conditions (see Attachment II) will apply to all contracts or purchase agreements. These terms are in addition to the terms and conditions set forth in this Request for Proposal and should be read in conjunction with them unless the RFP specifically indicates otherwise.

3.2 Background

This Request for Proposal is being issued by Rice University on behalf of the Rice Procure to Pay Department to obtain proposals from qualified, experienced, responsible and financially sound firms to provide document storage and destruction.

Dates of Operation.

Budgetary information. However, it should be clearly understood by all proposers that there is not a guarantee of revenue.

3.3 Schedule

Below is the anticipated schedule for this project.

May 8, 2023	Issuance of Request for Proposal
May 11, 2023	Proposers email intent to participate in RFP.
May 19, 2023	Final questions submission due.
May 24, 2023	Responses to written questions.

June 5, 2023 Proposal submission due.

June 9, 2023 Award notification to the successful proposer.

Dates are subject to change. All changes will be reflected in Addendum to the RFP, which will be posted on the “Solicitation Opportunities” webpage.

3.4 Additional Information

Addenda: In the event that this RFP requires a revision, such clarification or revision will be reflected in Addendum to the RFP, which will be posted on the “Solicitation Opportunities” webpage. All addenda to this RFP will become part of the RFP and part of any Contract awarded as a result of this RFP.

Proposer Responsibility: Proposers assume sole responsibility for the complete effort required in submitting a proposal in response to this RFP. Proposers who respond to this RFP do solely at their own expense. No special consideration will be given after proposals are opened due to failure to acknowledge all RFP’s requirements.

Cost Liability: Rice University assumes no responsibility and bears no liability for costs incurred by a proposer in the preparation and submittal of a response to this RFP.

Contents of Proposal and Confidentiality: Proposals will be open privately by Rice University. By submitting a proposal in response to this RFP, proposers waive any claims of copyright protection.

Validity of Proposal: Submitted proposals shall be valid for a period of ninety (90) days to allow for sufficient time for evaluation and Contract award.

Right to Cancel: Rice University reserves the right, at its option, to cancel this RFP without obligation and for any reason, in part or in its entirety.

4. SCOPE OF WORK

4.1. Scope of Services

Participating Public Agencies will have similar requirements as described in this section, but the language may differ.

Document Management Program

Provider and Participating Public Agencies will establish a schedule for receiving boxes/containers with Participating Public Agencies’ files, documents and media.

1. Receipt and Tracking Workflow

Provider will:

- a. Have quality assurance measures in place to ensure proper workflow process.
- b. Provide labels for each container listing all contents.
- c. Provide multiple scans of labels to maintain security of documents throughout the receipt process.
- d. Process completed prior to departure of customer premises.
- e. Ensure detailed workflow for chain-of-custody of all customer containers
- f. Ensure detailed customer report of contents received, label and unique ID(s) provided for each container
- g. Provide replacement of boxes/containers, and their labels, that are damaged at the time of receipt or during transit.
- h. Ensure barcode labels are adhered to every box/container to reduce data entry errors and validate accuracy of contents.
- i. Utilize hand-held scanners for every transaction, with corresponding date and time stamps for audit purposes and customer notifications during each step of the entire document management process.

2. Retrieval Workflow

Provider will:

- a. Provide carton banding to protect contents during transit
- b. Provide validation of vehicle to ensure all boxes/containers are accounted for prior to leaving Provider's record center with similar process for return(s) of retrieved boxes/containers to Provider's record center.
- c. Provide multiple scans of labels to maintain security of documents throughout the retrieval process with similar process for return(s) of retrieved boxes/containers to Provider's record center.
- d. Provider must own, and maintain ownership throughout the term of the Contract, and operate all document storage facilities used throughout the Document and Information Lifecycle Management processes. At no time during the Contract term may a leased facility be used for customer document storage.
- e. Document storage facilities must be maintained at a temperature between 65 and 75 degrees Fahrenheit at all times. Additionally, relative humidity of the storage facility shall always be maintained at a level between 40% and 60% .
- f. Provider facilities will maintain a fire suppression system based on requirements, adherence to local fire code and meet the National Fire Protection Agency (NFPA) specifications. The fires suppression system and/or fire alarm will be connected to a central monitoring station with notification to the local fire department in the event of an alarm.
- g. Realtime status updates will be provided to customer via email, customer facing application or customer portal, for all boxes/containers throughout the entire document management process.
- h. Provider will establish the following features and capabilities via a customer portal:
 - i. Query, search and locate:

- i. Individual records, set of records, or entire box/container
 - ii. Electronic retrievals
 - iii. Report generation
 - iv. Inventory control
 - 1. Custom data entry fields
 - 2. Custom required fields to capture critical information
 - 3. Retention Management
 - a. Add detailed retention schedules, policies and procedures
- 3. Destruction of Documents
 - a. Throughout the term of the Contract, Provider will maintain certification with the National Association of Information Destruction (NAID) and adhere to established industry standards.
 - b. Customer will establish retention schedules, policies and procedures for each Customer component.

5. PROPOSAL REQUIREMENTS

5.1. General

The proposer is advised to thoroughly read and follow all instructions contained in this RFP, in preparing and submitting its proposal.

5.2. Proposal

In order to be considered, a proposal must be e-mailed to rb103@rice.edu on or before the date and time indicated in the RFP. The e-mail subject of all proposals should be labeled with the RFP identification number and name.

5.3. Proposal Content

The following requirements must be completed and included with your response to this RFP. Type your responses in the same order as the questionnaire, listing the question first followed by your answer.

Proposers must consolidate proposals into the following Segments:

- A. Professional Qualifications
- B. Past Experience with Similar Projects
- C. Proposed Work Plan
- D. Fee Proposal
- E. Authorized Negotiator
- F. Client References

A. Professional Qualifications – 10 points

1. Sole contact during the RFP process. Include full name, title and contact information (address, e-mail and phone number).
2. Contact information of authorized executive and professional to receive and sign any resulting contract.
3. General description and history of the firm, its operations (please include any history of mergers and/or acquisitions), year founded, ownership structure, biographies of the principals and percentage ownership by current employees.

B. Past Experience with Similar Projects – 20 points

1. Briefly describe your firm's background and history of performing consulting services for Disaster Recovery Plans.
2. Please list the firm's professional staff that you perceive to be assigned to this engagement and an estimated timeframe for completion.
3. Describe the turnover of the firm over the past five years.
4. How many Disaster Recovery consulting engagements did the firm conduct in 2016 and 2017? Provide a description of the services delivered.

C. Proposed Base Plan – 30 points

Detailed and comprehensive description of how the firm intends to provide the services requested in this RFP. This discussion shall include, but not be limited to:

1. How the project(s) will be managed and scheduled.
2. How and when data will be delivered to Rice University.
3. Communication and coordination.
4. The working relationship between the consultant and Rice University's staff.
5. And the company's general philosophy in regards to providing the requested services.

Proposers will be evaluated on the clarity, thoroughness, and content of their responses to the above items.

D. Fee Proposal – 30 points

Fee schedules shall be submitted in a separate, sealed, envelope as part of the proposal. Fee quotations are to include the names, title, hourly rates, overhead factors, and any other relevant details. The proposal should highlight key staff and positions that would likely be involved with projects. Consultants shall be capable of justifying the details of the fee proposal relative to personnel costs, overhead, how the overhead rate is derived, material and time.

F. Client References – 10 points

Please provide three (3) references from engagements that the firm have conducted in the last two (2) years. By providing references, the proposer authorizes Rice University to contact the reference to inquire about the proposer's services.

E. Authorized Negotiator

Include the name, phone number, and e-mail address of persons(s) in your organization authorized to negotiate the agreement with the City

6. SPECIAL TERMS AND CONDITIONS

6.1. Contract

This Request for Proposal is neither a contract nor meant to serve as a contract.

It is anticipated that one or more of the proposals submitted in response to this Request for Proposal may be selected as the basis for negotiation of a contract with the proposer. Such a contract is presently contemplated to contain, at a minimum, the terms and conditions set forth in Attachment II, but will also incorporate the terms of the proposal submitted, as finally negotiated and approved by Rice University. Rice University reserves the right to negotiate additions, deletions, or modifications to the sample agreement and/or the terms of proposals submitted.

Certain provisions in the sample agreement are not subject to negotiation. Thus, it is critically important that proposers state their willingness to negotiate and execute the Professional Services Agreement or similar in their written proposal. A proposer that waits until contract negotiation to object to Rice University's standard terms and conditions will be precluded from further consideration. The contract for this project will be with Rice University. Proposers agree that Rice University will have the right to review and require modification of any terms or definitions used in the final contract. Failure to agree upon acceptable contract definitions or terms may result in cancellation of the intended award.

6.2. Contract Term and Extension Option

The term of this contract shall be for 7/1/2023 to 6/30/2024 with the option to renew for 2 additional years.

The contract shall not bind, nor purport to bind, Rice University for any contractual commitment in excess of the original contract period. Rice University shall have the right, at its sole option, to extend the contract or any portion thereof. In the event that Rice University exercises such right, all terms, conditions, and specifications of the original contract, as amended, shall remain the same and apply during the extension period. If an extension option is exercised, the contractor

shall agree that the prices shall be negotiated with Rice University. However, Rice University reserves the right to rebid if a mutual agreement cannot be reached.

6.3. Contract Transition

In the event that a new contract has not been awarded prior to the contract expiration date, as may be extended herein, it shall be incumbent upon the contractor to continue the contract under the same terms and conditions until a new contract can be completely operational. At no time shall this transition period extend more than ninety (90) days beyond the expiration of the contract.

6.4. Contract Amendment

Any changes or modifications to the terms of the contract shall be valid only when they have been reduced to writing and approved by both the contractor and Rice University.

6.5. Contractor Responsibilities

The contractor is responsible for the professional quality, technical accuracy and timely completion and submission of all deliverables, services or commodities required to be provided under the contract. The contractor shall, without additional compensation, correct or revise any errors, omissions, or other deficiencies in its deliverables and other services. The review, approval, acceptance or payment for any service shall not be construed as a waiver of any rights that Rice University may have arising out of the contractor's performance of the contract.

6.6. Subcontracting or Assignment

The contract may not be subcontracted or assigned by the contractor in whole or in part without prior written consent of Rice University.

6.7. Contract Termination and Remedies for Failure to Comply with Material Contract Requirements

In the event that the contractor shall fail to comply with any of the conditions covered by the contract, Rice University shall notify the contractor of such failure or default and demand that the same be remedied within a specific period of time. In the event of the failure of the contractor to remedy the same within said period, Rice University shall take steps to terminate the contract. In this event, Rice University will authorize the service to be performed by any available means, the difference between the actual cost paid and the proposal of the defaulting contractor to be deducted from any monies due. It shall also be incumbent upon the contractor to continue operations until relieved by a newly selected contractor.

6.8. Change of Circumstance

Where the needs of Rice University significantly change, or the contract is otherwise deemed no longer to be in the Rice University's best interest, Rice University may terminate the contract upon 30 days written notice to the contractor.

6.9. Rice University's Option to Reduce Scope of Work

Rice University has the option, in its sole discretion, to reduce the scope of work for any task or subtask called for under the contract. In such event, Rice University shall provide advance written notice to the contractor.

6.10. Compliance with Law

During the term of the contract the contractor agrees to comply with all applicable University policies, federal, state and local statutes, rules, regulations, codes, ordinances, orders and other requirements in connection with the performance or furnishing of the Service/Materials. Without limiting the foregoing, the contractor specifically agrees to comply with all applicable Laws regarding non-discrimination, equal employment opportunity and affirmative action.

6.11. Insurance and Indemnification

See Attachment I.

7. PROPOSAL EVALUATION

7.1. Proposal Evaluation Committee

Proposals may be evaluated by a committee composed of members of Rice University's Department responsible for managing the service, Rice University's Office of Procurement and other Rice University employees.

7.2. Pre-Evaluation Review

All proposals will be reviewed to determine if they contain all the required submittals specified in this RFP. Those not submitting all required information in the prescribed format will be rejected.

7.3. Evaluation Criteria

Proposals that pass the pre-evaluation review will undergo an evaluation process conducted by the Proposal Evaluation Committee. Rice University will consider the following elements in the decision process ranked in no specific order, and will render a decision based on the perceived

best value for the engagement. Fees will be one of the determining factors in this decision but will not be the primary determinative. Proposals will be evaluated based on criteria including:

- Understanding of the services requested.
- Qualifications, approach and plans to perform the services required including but not limited to: Experience, References.
- Documented experience in successfully performing contracts of a similar size and scope.
- Individual qualifications of the assigned staff.
- Proposed deliverables
- The price quoted and all other related costs to be incurred by Rice University.
- Additional Services

During the evaluation process, proposers may be requested to provide additional information and/or clarify contents of their proposal. Other than information requested by Rice University, no proposer will be allowed to alter the proposal or add new information after the submission date.

7.4. Errors and Omissions

Rice University reserves the right to waive any technical or formal defects found in the RFP submission.

7.5. Rejection of Proposal

Rice University reserves the right, in its sole discretion, to reject any or all proposals, or to accept a proposal completely or in part, if deemed to be in the best interest of Rice University to do so.

7.6. Negotiation and Best and Final Offer (BAFO)

Following the opening of proposals, Rice University, may negotiate one or more of the following contractual issues: the technical services offered, the terms and conditions and/or the fee of a proposed contract award with any proposer, and/or solicit a best and final offer (BAFO) from one or more of the proposers.

Initially, Rice University will conduct a review of all the proposals and select proposers to contact to negotiate and/or conduct a BAFO based on its evaluation and determination of the proposals that best satisfy the evaluation criteria and RFP requirements, and that are most advantageous to Rice University, price and other factors considered. Rice University may not contact all proposers to negotiate and/or to submit a BAFO.

In response to Rice University's request to negotiate, proposers must continue to satisfy all mandatory RFP requirements but may improve upon their original technical proposal in any revised technical proposal. However, any revised technical proposal that does not continue to

satisfy all mandatory requirements will be rejected as non-responsive and the original technical proposal will be used for any further evaluation purposes in accordance with the following procedure.

In response to Rice University's request for a BAFO, proposers may submit a revised fee proposal that is equal to or lower in price than their original submission, but must continue to satisfy all mandatory requirements. Any revised Fee Proposal that is higher in price than the original will be rejected as non-responsive and the original proposer will be used for any further evaluation purposes.

After receipt of the results of the negotiation and/or the BAFO, Rice University will complete its evaluation and issue an award to the responsible proposer(s) whose proposal, conforming to this RFP, is most advantageous to Rice University, price and other factors considered.

7.2. Oral Presentation and/or Clarification of Proposal

Proposers will be required to give an oral presentation to Rice University concerning its proposal. Rice University may also require proposers to submit written responses to questions regarding the proposal. The purpose of such communication with proposers, either through an oral presentation or a letter of clarification, is to provide an opportunity for proposers to clarify its proposal. However, original proposals submitted cannot be supplemented, changed, or corrected in any way.

8. CONTRACT AWARD

8.1. Multiple Awards

Rice University reserves the right to award contract as a result of this RFP to more than one proposer.

8.2. Award Notice

The apparent successful proposer(s) will be notified via e-mail of its status and a contract will be then negotiated, which will include terms and conditions substantially as set forth in Rice University contract.

All proposers will be notified in Procurements "Solicitation Opportunities" webpage that the apparent winning proposal has been selected. Rice University anticipates that the Award Notice will be released on or about January 30, 2018 ("Anticipated Award Notice Date").

9. FEE PROPOSAL

Please quote your flat fee for the following services. Please detail the scope of services to be provided under the proposed engagement and provide quotes for any additional services. See Attachment III.