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## CITY OF SANTA ANA

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**October 3, 2017**

**ADDENDUM NO. 1  
REQUEST FOR PROPOSALS NO. 17-072  
BUSINESS PROCESS ASSESSMENT AND IMPLEMENTATION PLAN  
DATE DUE: OCTOBER 13, 2017 AT 2:00 P.M.**

Notice is hereby given that the City of Santa Ana Public Works Agency has made certain modifications, additions, and/or deletions, in the specifications to **RFP No: 17-072 – BUSINESS PROCESS ASSESSMENT AND IMPLEMENTATION PLAN**. This addendum shall become a part of the original Request for Proposal.

**RESPONSE TO QUESTIONS ASKED/CLARIFICATIONS:**

*Questions are stated exactly as they were originally written.*

1. The fee proposal instructions specify a "Standard Hourly Fee Schedule" or a "Project Fee Schedule". Is it sufficient to list our proposed consulting team, and their individual hourly rates extended by their expected effort, to arrive at a total fee for the proposed activities and deliverables? Other options include: (i) a simple list of hourly fees (no extension by effort), (ii) breakdown of fees/effort by significant deliverable, or (iii) breakdown of fees/effort by consultant and by significant deliverable.

*Fee Proposal information will be used to reconcile consultant invoices before payment. Therefore, the submitted Fee Proposal document should match the format of the potential invoice. If the invoice will identify team members and hourly rates, then the Fee Proposal should identify those hourly rates. If the project will be invoiced on percentage completion of specific tasks, then the Fee Proposal should present those tasks and a description of the activity.*

2. What proportion of project time is expected to involve the consulting team working onsite at the Agency?

*We are leaving this detail to the professional experience of the Proposer.*

SANTA ANA CITY COUNCIL

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3. How did the City want the proposers to account for other expenses, mainly expected to consist of travel and subsistence while working onsite?

*The City requires that all requests for reimbursement of expenses be accompanied by proof of payment. This proof may take the form of a receipt or a copy of a paid invoice. Mileage reimbursement rates other than standard IRS rates should be clearly identified in the submitted Proposal.*

4. The RFP states that a timeline to complete the project will be included within the Statement of Qualifications, and that this schedule will be worth 15% of the evaluation. As this is a large component of the evaluation, could you provide more detail on the what the evaluation committee will be expecting for this requirement, for example a detailed Gantt chart outlining the project activities and key milestones?

*How the schedule is presented in the proposal is left up to the discretion of the Proposer. If a detailed Gantt chart with project activities and key milestones is the best way to support the proposed timeline, then it should be included.*

- 5a. What is the difference between a “section” and “sub-division” within the Agency’s structure?
- 5b. Are there 15 sub-divisions in total across the four Divisions, or 15 sub-divisions within each of the Divisions (for a total of 60 sub-divisions)?
- 5c. Within the Public Works Agency’s four major divisions, what are the 15 subdivisions that may have potentially different ways of conducting business?

*For the purposes of this project, the Public Works Agency will be identified as having **4 Divisions** and **20 Sub-Divisions or Sections**. Please see Exhibit 1 for clarification.*

6. To what extent are in-scope services provided by staff outside of the Finance Services Section reporting line? To the extent that in-scope services are distributed across the Agency, will these staff and effort be included in project activities and deliverables, such as organizational configuration recommendations? Could we get an approximation of in-scope FTEs across the Divisions/sub-divisions/sections?

*In-scope services include all Public Works Agency functions and operations. The final recommendations from this project should identify solution for streamlining processing time and optimizing communication of data and reporting with other City agencies, as needed. Currently, the FTE count for the Public Works Agency is 195.8. It is unknown to what extent related in-*

*scope processes have been assigned to staff whose official job titles do not readily indicate participation in the business processes that will be under review in this project. It is anticipated that this project will identify best agencywide practices and procedures, as well as the proper staff to carry out the procedure workflows.*

7a. What details on the City's Enterprise Management System" could be provided to proposers?

7b. What is the city's enterprise management system or systems currently in place?

*The City uses the Lawson/Infor 10 Enterprise Management System platform to handle all accounting processes, including Accounts Payable, Accounts Receivable, Financial Statements, Project Accounting, and Budget Monitoring. All satellite systems, including Payroll (ePersonality) and the future Asset Management system, must have the capability of receiving and supplying data from/to the Lawson System either through workflow applications or manual data upload/download.*

8. What work has already been completed towards developing the specifications for a software system, for example system documentation, an information technology landscape & appraisal, or a gap analysis of current functionality against future requirements?

*The Public Works Agency is currently in the beginning phase of implementing a Digital Records Management project. Specifications for software have been identified; however, a specific platform has not yet been selected. We do not anticipate that there will be overlapping functionalities between these two projects. However, process flows for this project may be informed by the records management workflows to be developed in the Digital Records Management project.*

9. Does the "billing" (or "cash") process (page 11 of the RFP) include accounts receivable or collections? Are accounts receivable and/or collections processes in-scope for the project?

*The "billing" process referenced on page 11 of the RFP is referring to reimbursement billing for grant-funded capital projects. The Public Works Agency "accounts receivable" processes are meant to be covered in the "Cash" process. It is the City's preference that all monetary receipts (i.e., cash, checks, etc.) be handled in the City's Treasury Department (Finance & Management Services Agency). If a Public Works employee receives a payment during the course of their job duties, they are responsible for ensuring that these funds are deposited in the Treasury. While the internal Public*

*Works Agency functions involving accounts receivables are very few (save for the tenant payments at the Santa Ana Regional Transportation Center), a standardized process for addressing collections should be addressed in this project.*

10. Does the "timesheet" process (page 11 of the RFP) include project accounting, and is project accounting in-scope for project?

*Timesheets are used in Public Works specifically to identify staff time that is to be charged to a project. Project accounting is in scope for this project, insofar as there are data within that function that will be needed for the completion of other financial processes (i.e., invoice payment, contract/agreement management, budgeting, etc.)*

11. Does the "budget" process (page 11 of the RFP), include general accounting processes such as journal postings, month-end processes, and reconciliations? Are these general accounting processes in-scope for the project?

*General accounting processes are typically a function of the Finance & Management Agency. However, there are many related accounting processes that are the responsibility of the Public Works Agency's Financial Services activities. Journal postings, month-end processes, and reconciliations for these "feeder" activities are included in the scope of this project.*

- 12a. The projected award date is November 7th (cover page of RFP) and the deliverables are due by December 2017 (bottom of page 12). Assuming a delivery date of December 22nd in order to complete the project before the winter break, does the City expect proponents to outline a schedule, methodology, and resourcing that will complete all deliverables within 6.5 weeks (Nov 7-Dec 22)? Or did the City have a different expectation for timelines?

- 12b. Is there a specific date in December 2017 for all approved deliverable?

- 12c. Regarding RFP 17-072 for Business Process Assessment and Implementation Plan: In the proposal it states all tasks and deliverables are due by December 2017. Is this date accurate? If so, is the due date the first or last day of December?

- 12d. Per the schedule on page 12 of the City's RFP, it states that all approved deliverables are due in December 2017; Given that the proposal review committee won't make a decision until November 7th, 2017 is there flexibility in that date?

- 12e. Does the City have target milestone dates for this project? For example, delivery of process documentation, delivery of recommendations for implementation, go-live date for the software system?

*Ideally, this project would be completed by December 2017, in time for preparation of the FY 2018/19 Budget. We are depending on the Proposer to present a timeline that is comprehensive, yet time efficient, and can be supported by the information provided in the response.*

13. I noticed there has been an updated copy of the RFP uploaded to your bid page. Is this update only changing the time due for submittal of the proposal from 2:00 pm to 4:00 pm?

*The second proposal posting was in error. **The due date/time for the responses to this RFP is Friday, October 13, at 2:00 p.m.** The City's website will be corrected.*

14. Will we have access to the organizational chart of Santa Ana Public Works Agency identifying the key personnel whom will take part during the implementation process?

*Yes. See Exhibit 2 for the key personnel in the Public Works Agency Financial Services section. Once there is a determination of the specific processes to be included in this project, key personnel from other divisions/sections will be identified.*

15. On page 10 under "Description of Work" section, what does "ALL relevant 'As-Is' agency business process" pertain to? The four major divisions or only those departments identified during evaluation which affects the grant cycle?

*Other than the general areas identified in the RFP document, there is no pre-determined list of business processes that are to be addressed in this project. It is up to the Proposer to identify the appropriate business processes to be reviewed.*

- 16a. Will Santa Ana Public Works Agency disclose the budget for obtaining the software needed and for the expenditures caused during the implementation process recommended?

- 16b. Does the City have a budget for this project? If so, can it be shared?

*Budget has not been identified outside of this initial phase. The "Software Implementation" deliverable (page 12) should be presented in a phased roll-out, identifying the recommended milestones and appropriate annual budget for completion.*

17. In regards to "Relevant Agency Processes" is the city open to exploring a "No Cash" policy?

*Citywide Accounts Receivables policies are instituted by the Finance & Management Agency. Public Works would not be establishing procedures that are contrary to Citywide policies.*

18. Compensation to Consultant shows to be a lump sum on the Planet Bids portal, is this payment due by the city when the project is awarded, at the completion of the project, or does Consultant determine when payment is to be made by the city?

*It is customary for the City to award consultant contracts as a not-to-exceed compensation amount. Consultants are paid in accordance with the fee schedule included in the proposal response. See the answer to Question #1 for more detail on how the consultant is paid.*

19. "RE: 1.e. Relevant Project Experience:  
Within the past five years we have completed several hundred projects for public agencies. As a result, listing each project, a description of it, contact information and other details would take up many, many pages and probably a few days of work to compile. Is there a limit of clients to list, or would a list of clients from the past five years be sufficient, without the description and contact information? We are also planning to include the list of references of similar projects. We could highlight 8 or 10 projects from the past five years. Please advise. Thank you."

*The "Statement of Qualifications" response to this RFP is to be limited to a maximum of (10) double-sided pages, excluding front and back covers, section dividers, and attachments. The font size must be 11-point Arial, at minimum. Within these parameters, it is recommended that you limit your project experience profile to the most appropriate and most relevant.*

20. What departments will participate in the process review workshops? How many staff?

*All Public Works Agency Divisions identified as participants in a given process will participate in the review of that process. As previously noted, it is unknown at this time exactly which staff has taken on aspects of various business procedures over time. This project will identify the best practices and the most appropriate staff to carry out those processes.*

21. What system is currently being used by the Financial Services section of Public Works? Is it the same as the City's Enterprise Management System?

*The Public Works Agency uses the City's Enterprise Management System (Lawson/Infor 10) as much as possible. However, most staff do not find it to be very user friendly. Hence, the use of ad hoc reports and parallel databases is the norm.*

22. What solutions feed data into the current financial system?

*Established protocols for data entry into the Lawson/Infor 10 system include direct entry by identified, approved users; and data uploads from prepared Excel spreadsheets. The spreadsheets are prepared by Public Works Agency staff, and the data uploads are performed by Finance & Management Services Agency staff.*

23. We have reviewed the City's 6/30/16 Single Audit of Federal Awards. Which funding activities are specifically overseen by the Public Works Agency (e.g. USDOT, Caltrans, etc.) as part of the scope of this project? Can an estimate of the number of grants and projects administered by the Public Works Agency be provided?

*This information is not readily available, which is one of the reasons why we are moving forward with this project.*

24. Does the Public Works Agency and/or the City's Finance Agency have a grants compliance officer or administrator role(s)? If so, will this person(s) be engaged in the project?

*Each project manager is responsible for managing his/her own grants. The staff that might fill the "project manager" role for a grant-funded project includes the following: Active Transportation Coordinator, Administrative Services Manager, Associate Park & Landscape Planner, Principal Civil Engineer (4), Public Works Projects Manager, and Senior Civil Engineer (9).*

- 25a. Can the City please elaborate on the primary drivers for this project. Is compliance with the Uniform Guidance standards the primary focus of this initiative with process efficiency as a secondary focus?

- 25b. Would the City please comment on any additional business drivers, goals, or objectives for this project in addition to those indicated in the RFP?

*The primary driver for this project is identifying and improving the core financial*

*and business practices across the agency. Being cognizant of Uniform Guidance standards, it would also be prudent to ensure that whatever new procedures are recommended are also in compliance with the Uniform Guidance regulations. And, while there is a professional reviewing our processes, we want to address as many of the Uniform Guidance regulations as relevant.*

26. We have reviewed the City's Enterprise System Catalog. The City's RFP references a "City Enterprise Management System" but it does not appear in this list. What specific functions does this system currently serve within the context of this RFP scope of services?

*This has not been identified. (Reference <http://www.ci.santa-ana.ca.us/esc/>)*

27. We understand the City may have recently selected an Enterprise Asset Management System. Can the name of this solution and its integrator (if applicable) be represented?

*The RFP process for the Enterprise Asset Management Software Selection and Implementation phase has not yet been completed (RFP No. 17-101). Contract award is tentatively scheduled for December 5, 2017.*

28. It appears many City accounting processes are very decentralized with payroll, budgeting, fixed assets within the Public Works Agency. Is the City considering the option to centralize any of these functions within its Finance and Management Services Agency as part of the process optimization review / recommendations?

*Within the City of Santa Ana, payroll and budgeting functions are centralized in the Finance & Management Services Agency. The first line of payroll data entry is handled by staff in each City agency. Each City agency is also responsible for identifying and managing its own fixed assets. At this time, the City's Strategic Plan identifies Public Works as the lead agency for Citywide asset management efforts.*

29. What software application(s) is used within the Public Works Agency for Payroll, Time Management, Procurement, Budgeting, Position Control, Cash Receipting, Contract Management, and Fixed Asset Management?

**Payroll:** ePersonality

**Time Management:** Custom programmed database, and ePersonality (assuming this is referring to timesheets, payroll processing, etc.)

**Procurement:** Lawson/Infor 10

**Budgeting:** Data is submitted via MS Excel spreadsheets (Public Works Agency spreadsheets have been custom programmed for our use), Budget Office/Finance & Management Services Agency ultimately uploads budget



*info into Lawson/Infor 10 for ongoing monitoring and management.*

**Position Control:** *MS Excel budget spreadsheets within Public Works Agency*

**Cash Receipting:** *Not a Public Works Agency function; Finance & Management Services Agency/Treasury may use a different software that ultimately interfaces with Lawson/Infor 10*

**Contract Management:** *Unreliable Lawson/Infor 10 reports paralleled with individual end-user MS Excel spreadsheets*

**Fixed Asset Management:** *See excerpt from Enterprise Asset Management Software Selection & Implementation Services RFP No. 17-101 (Exhibit 3)*

30. Has the City designated a project manager and executive sponsor for the project? If so, can the positions of these representatives be identified?

**Executive Sponsor:** *Fred Mousavipour, Public Works Agency Executive Director*

**Project Manager:** *(currently) Margaret Mercer, Administrative Services Manager*

31. Will any non-Public Works Agency stakeholders be involved in the project (e.g. Finance and Management Services Agency)?

*The focus of this project is on Public Works Agency and the processes within its control. As processes are identified that involve non-Public Works Agency stakeholders, those entities will be invited to participate.*

32. You have stated that each Public Works Division (Administrative/Engineering/Water/ Maintenance) has its own internal procedures for key business processes such as accounting, budgeting etc. Are there any performance metric or stakeholder feedback - summary/verbatim/survey that you are able to share, that highlights the key undesirable outcomes caused due to this issue?

*Each of the Public Works Divisions are interfacing with the City's Finance & Management Agency, Finance/Accounting section, for accounting and budgeting purposes. The processes used to accomplish this interface may differ across the Public Works Divisions. The undesirable outcome that continues to be an issue is the inability to obtain answers to common business questions (i.e., What is the fund balance of a given funding source? Has the work on a consultant services agreement been completed? Has the Notice To Proceed procedure been implemented by all project managers? What grants are administered by the Public Works Agency? etc.) It is expected that stakeholder survey(s) will be part of this project.*

33. Is there a set of success/quality criteria that has been/will be established to serve as a guide and a tool, on an ongoing basis, to ensure that the quality of the project deliverables are met by the consulting entity?

*Not at this time.*

34. Can the City clarify how many and which business processes the consultant is expected to map?

*No preliminary work has been done in this area. The Proposer should present a plan for identifying and selecting business processes for this project.*

35. Can the City clarify if the consultant will be responsible for creating policies and procedures or only providing evaluation and recommendations about policies and procedures?

*A turnkey solution is always most appealing. Proposers should be clear as to what the final work product will include.*

36. Does the City desire any presentations as part of this project to a leadership group or elected officials? If so, how many presentations should be planned for?

*Proposers should be prepared for a minimum of three (3) presentations: Project Kick-off (all Public Works and invited stakeholders); Final Project Report to Executive Director; and, potentially, a high-level, Council presentation.*

37. Does the City have a local preference for this project? If so, what weight will that preference have in the evaluation criteria?

*Yes. Please reference the Local Preference Program on the City's website ([http://www.santa-ana.org/finance/local\\_preference\\_program.asp](http://www.santa-ana.org/finance/local_preference_program.asp))*

38. The RFP states that proposers may be asked to provide evidence of financial capability by submitting their most recent audit. As a privately held Certified Public Accounting and Consulting firm, we are not required to prepare audited or un-audited financial statements. May we demonstrate our financial stability by providing our three-year financials and a letter of reference from our financial institution?

*This will be acceptable.*

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All other terms and conditions of the referenced RFP remain the same.

Margaret Mercer  
Administrative Services Manager  
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### CITY OF SANTA ANA PUBLIC WORKS AGENCY

<b>4 DIVISIONS:</b>	<b>1. ADMINISTRATIVE SERVICES</b>	<b>2. ENGINEERING SERVICES</b>	<b>3. WATER RESOURCES</b>	<b>4. MAINTENANCE SERVICES</b>
<b>20 SUB-DIVISIONS/ SECTIONS:</b>	1. Administration 2. Enterprise Management 3. GIS Administration 4. Financial Services 5. Central Files/Records Management 6. Santa Ana Regional Transportation Center Management	7. Design Engineering 8. Construction Engineering 9. Traffic & Transportation Engineering 10. Development Services	11. Water Administration & Engineering 12. Water Quality & Measurement 13. Water Production 14. Water Maintenance Services 15. Sewer Maintenance Services	16. Maintenance Services Administration 17. Street Trees / Urban Forest 18. Roadway Maintenance & Median Landscaping 19. Environmental Sanitation & Roadway Cleaning 20. Roadway Markings & Signs

**RFP No. 17-072**  
**Addendum No. 1**  
**Exhibit 2**

**CITY OF SANTA ANA**  
**PUBLIC WORKS AGENCY**

**BUSINESS PROCESS ASSESSMENT & IMPLEMENTATION PLAN PROJECT**

Key Personnel: Administrative Services Division  
*Financial Services Section*

Administrative Services Manager: Margaret Mercer  
Management Analyst: *Vacant*  
Management Aide: *Vacant*

Lead Accounting Assistant: Dina Melgar  
Senior Accounting Assistant: Eren Reyes  
Eunice Heredia-Espinoza  
Diana Mazarriego  
*Vacant*

Account Clerk I, P/T (Temp.): Nancy Flores

## EXCERPT FROM ENTERPRISE ASSET MANAGEMENT SOFTWARE SELECTION & IMPLEMENTATION SERVICES RFP NO. 17-101

### CURRENT ASSET MANAGEMENT ENVIRONMENT

Santa Ana's Public Works Agency (PWA) builds and maintains the infrastructure and services that serve the community. PWA currently uses a variety of non-integrated solutions for asset management and service request tracking. Asset Management applications at the City represent various software and databases that are used for specific departmental purposes. The current asset management approach is characterized by disjointed and inadequate approaches for asset policy development, asset inventory, work management, information gathering and analysis, and information systems integration. The existing approaches represent a mix of historical practices and newer modernization initiatives that have emanated from silos of varying business practices.

The following list illustrates the collection of asset management related applications serving specific purposes within the Public Works Agency of the City. Most of the applications reference information that is location based with some integrated with underlying GIS technology.

- [App-Order](#) – web based service request management - tracks requests for service among various departments (i.e. MySantaAna).
- [Arbor Access Online](#) - hosted software used by West Coast Arborists to track tree inventory, maintenance history, and work orders.
- CIP Database – The City uses a custom SQL server database application to manage CIP project information.
- [Cityworks](#) - used by Public Works Water Division for work order management at pump stations, reservoirs, and lift stations.
- [Bentley CivilStorm](#) - used for modeling the storm drain network.
- [IDModeling Sedaru](#) - used by PWA for hydraulic modeling.
- [iWater – InfraMap](#) - mobile field work management software used by PWA Water.
- [PAVER / StreetSaver](#) - pavement management software used by PWA Engineering.
- Traffic Division Database Applications – Microsoft Access Database applications used to track requests for service, installations of signs and pavement markings, etc.
- Transdyn Dynac SCADA—used by PWA Water to monitor and control production facilities, reservoirs and distribution network.

### Mobile Computing

Mobile computing provides field users with access to applications and data that are spatially enabled to assist in recording and analysis of data based on location. The following mobile applications for asset management are currently being used by the City.

- [Cityworks](#) - used for Public Works Water plant maintenance work orders, but designed for field use in utility distribution system and facility asset maintenance.
- [iWater – InfraMap](#) - used by Public Works Water for managing water distribution system maintenance activities.
- [App-Order](#) - citizen engagement phone application for graffiti tracking, utility maintenance requests, city sign inventory and maintenance requests, illegal dumping, and other service requests.

The Public Works Agency desires to integrate the results of these efforts into one solution, starting with the assets that are not currently managed and then eventually progressing to the migration of all assets into one unified system.

*RFP No. 17-101 was issued on September 19, 2017*