

## **Attachment B**

BANA RFP issued October 31, 2019



## Request for Proposal (RFP)

County of Santa Barbara  
Business Applications Needs Assessment RFP

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### **RFP NAME**

TITLE: Business Applications Needs Assessment  
RFP NUMBER: 835017  
ISSUE DATE: **Thursday, October 31, 2019**

### **BUYER**

NAME: Mark Masoner  
PHONE: (805) 568-2692  
EMAIL: mmasone@co.santa-barbara.ca.us  
DEPARTMENT: General Services Department, Purchasing Division

### **MANDATORY PRE-PROPOSAL CONFERENCE**

DATE: **Thursday, November 7, 2019**  
TIME: 9:00AM (PST)  
LOCATION: Board Hearing Room  
105 East Anapamu Street, Fourth Floor  
Santa Barbara, CA 93101  
DIRECTIONS: Park in the Granada Garage in the middle of the 1200 block of Anacapa Street. Cross the street to the County Administration Building and proceed to the Board Hearing Room on the fourth floor.

### **RFP OPENING**

DATE: **Friday, December 13, 2019**  
TIME: 2:00PM (PST)  
LOCATION/MAIL ADDRESS: Purchasing Division  
105 East Anapamu Street, Room B-5  
Santa Barbara, CA 93101  
DIRECTIONS: Park in the Granada Garage in the middle of the 1200 block of Anacapa Street. Cross the street to the County Administration Building and proceed to the basement level, Room B-5.

Sealed written replies to this RFP must be received by Purchasing no later than the date, time, and location indicated above for the RFP Opening. Submittal by fax or e-mail is not acceptable.

NOTE: This RFP does not constitute an order for the goods or services specified

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**I. INTRODUCTION**

The aim of this document is to request proposals from qualified vendors so that the County of Santa Barbara (“County”) can identify the most suitable vendor available for the project. The County, through its Purchasing Division, hereby gives notice of the opportunity to submit replies to this request for proposal (“RFP”).

The County is seeking a Consultant to perform a Business Applications Needs Assessment (BANA) and provide other services as described in the Scope of Services and Deliverables Section V. The ideal Consultant will seek to understand the County’s identity and culture, history of innovation, and current technological state while providing a vision for the future.

**II. ABOUT THE COUNTY OF SANTA BARBARA**

The County’s identity is characterized by our unique geographical combination of beaches, mountains, communities, and farmlands located on the Pacific edge of the United States. The County’s adage of “One County. One Future” represents our virtue of working together towards a shared future. This way of thinking includes our mindset about how we approach our daily work and deliver services to the public. Although we are one of 58 counties in California, we consider our County to be one of a kind.

The County’s operations are organized into 22 Departments that deliver services to the public, provide support to other County Departments, and provide countywide policy and executive oversight. While some core functions are centralized, the County is generally characterized as a decentralized organization, with individual Departments having some degree of autonomy in their business decisions, including which business applications are utilized for countywide or Department-specific needs. Given the wide range of services and functions, the County has a diverse group of business applications and users.

For over 25 years, the County has been a leader in financial reporting for California counties by consistently issuing our audited Comprehensive Annual Financial Report within 60 days of fiscal year-end. In addition, the County has consistently received the Government Finance Officers Association’s Distinguished Budget and Excellence in Financial Reporting awards. These examples are a testament to the effectiveness of the County’s financial management practices, technological innovations, culture of continuous process improvement, financial leadership, and dedicated finance and technology staff.

In 2017, the County launched a transformational initiative entitled Renew ‘22 to ensure fiscal sustainability and operational efficiency by 2022 and beyond. This effort seeks to build the County’s capacity for innovation and continuous improvement to adapt to future challenges. The BANA project reflects many of the values of Renew ‘22 and is aligned with the objectives of transforming how we do our work, constantly learning and improving, and exploring ways to work differently so that our employees are equipped to thrive in the present, adapt to tomorrow and anticipate the future.

In 2018, the County established an Information Technology (IT) Governance Program to guide the decision making process for how IT should be used in the County and approve any significant IT investments. This program is governed by the Executive Information Technology Council (EITC) to provide high-level oversight and guidance regarding the County's IT investment activity. The BANA project is led by an Executive Steering Committee of EITC members that reports and provides recommendations to the EITC. As such, this project aligns with the strategic direction of the EITC.

In 2019, the County formed a team of over 30 stakeholders from all County Departments to carry out the BANA project. The Stakeholder Team is led by the Executive Steering Committee and supported by staff from the Auditor-Controller's Office. This diverse team of executives, chief financial officers, IT managers, and other administrative staff understands the complexity of this project. These individuals are involved to support the effort as a collaborative countywide team and as champions of the project within their Departments.

Please refer to **Attachment A** for a listing of County Departments and links to their websites for further publically available information about the County.

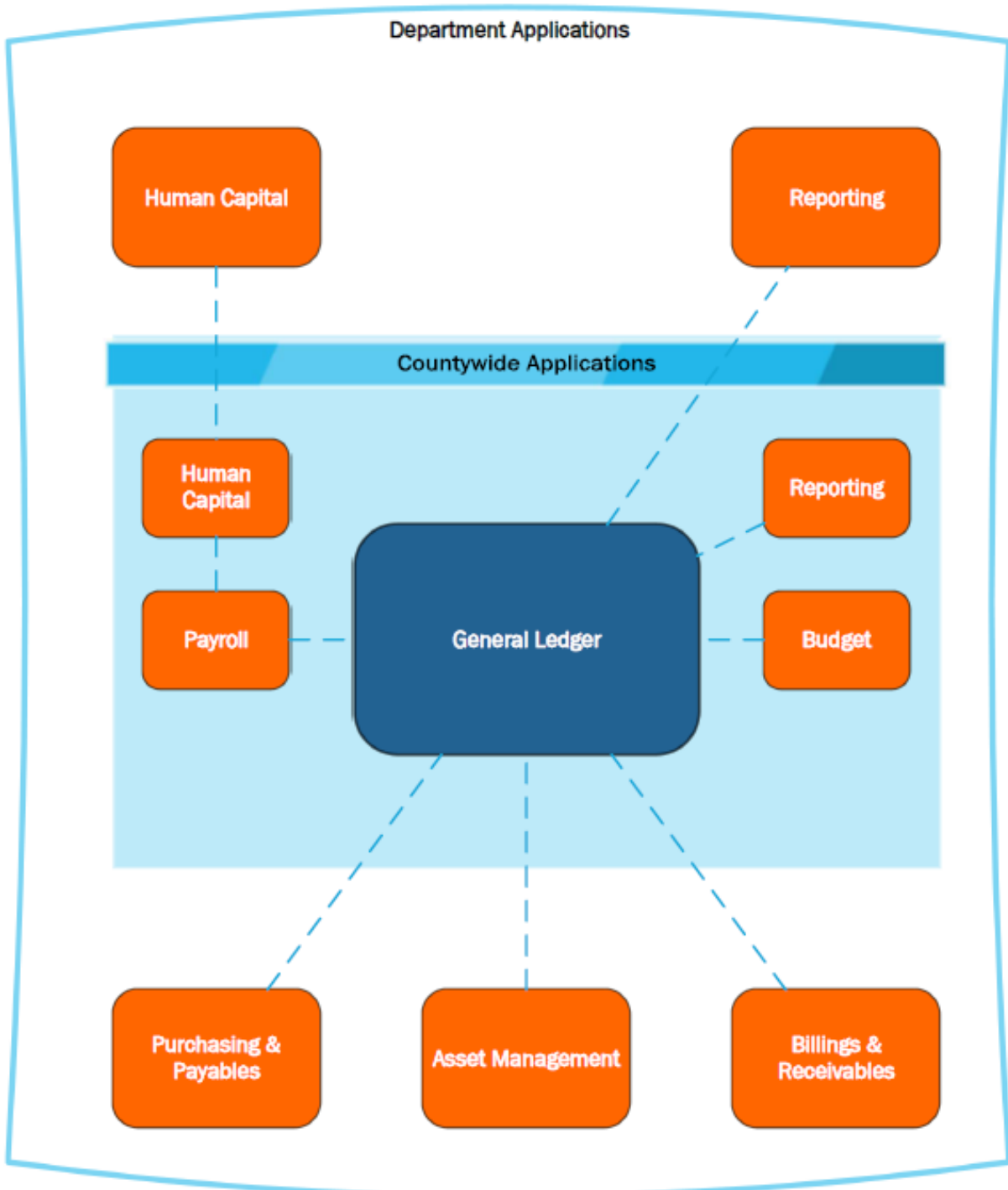
### **III. HISTORY OF THE COUNTY'S BUSINESS APPLICATIONS**

The County's general ledger system was internally developed by the Auditor-Controller's Office in 1995. Through maintenance and upgrades, the system has evolved into a web-based application accessed by over 900 users to perform accounting tasks, process payments, and generate reports. The Auditor-Controller's Office developed other countywide applications that have varying degrees of integration with the general ledger system, including the County's budget and payroll systems. Given the core functions performed by these internally developed systems, the County has never acquired a countywide Enterprise Resource Planning system. This has resulted in a unique reliance on the Auditor-Controller's Office to maintain and enhance certain countywide systems, while Departments have developed or acquired systems to meet other countywide or Department-specific business needs.

### **IV. THE COUNTY'S CURRENT BUSINESS APPLICATIONS LANDSCAPE**

The County's business applications include both internally developed systems and software acquired from third-party vendors. These are either countywide systems used by all Departments or Department-specific applications used to meet the specific needs of one or more Departments. While many applications are hosted on premises, in recent years the County has moved towards some solutions hosted in the cloud. Given the wide variety of business applications used by the County, not all systems are integrated. As a result, there is some degree of duplicative data storage, redundant procedures, and manual processes.

The following is a simplistic representation of the County's business applications landscape:



**General Ledger:** The general ledger is an internally developed system used by all County Departments as well as various independent government agencies located within the County. The general ledger is the central repository of accounting structure and data. All accounting transactions are captured through a web application and posted to the repository.

**Human Capital:** The County acquired its first countywide Human Resources Information System (HRIS) within the past 10 years. This core HRIS system is the official record of employee information for all Departments. Due to requirements for managing employee and contractor information that are not featured in the HRIS, at least five Departments have acquired or developed their own human capital systems, including learning management, to meet their specific needs. Common employee information in the core HRIS is manually or systematically transferred from the central system to the Department-specific systems.

**Payroll:** The County's payroll system is an internally developed system that synchronizes employee information from the core HRIS, pulls information from the internally developed timesheet application, and produces the County's bi-weekly payroll. The payroll system stores payroll calculations and posts accounting transactions to the general ledger.

**Budget:** The County's budget applications were internally developed to facilitate budget development. These tools pull data from various systems such as payroll, general ledger, and others for analysis and review. After the budget is finalized, it is loaded to the general ledger and adjusted throughout the year through a formal process facilitated by a web application.

**Reporting:** Various reports from the general ledger are available through a web application. These include tabular reports with fixed formatting that are customizable to provide different types of financial information. Various other countywide and Department-specific applications have their own unique reporting features. Data from the general ledger and various other systems may also be queried by Departments to create their own reports.

**Billings & Receivables:** Billings and receivables are managed at the Department level. As the sources of revenues vary by Department, there is no countywide system in place. While most Departments have manual processes for billings and receivables, more than a third of the County's Departments have acquired or developed a combination of more than 50 systems to manage their specific revenues, including cash collections. When revenues are collected, the transactions are entered and posted to the general ledger through a web application.

**Purchasing & Payables:** Purchases and payables are managed at the Department level. Although most expenditures are controlled through a purchase order system used by Central Purchasing, there is no countywide system in place. While most Departments have manual processes for managing purchases and tracking payables, at least four Departments have acquired or developed systems to manage their specific expenditures. When purchases are made, the transactions are approved and posted to the general ledger through a web application, which then initiates the payment of claims against the County Treasury.

**Asset Management:** Physical assets (e.g., supplies, equipment, vehicles, and infrastructure) are managed at the Department level. While most Departments have manual processes for managing their assets, several Departments have acquired or developed systems to meet their specific needs. A single system is also used to track and depreciate all capital assets.

## **V. SCOPE OF SERVICES AND DELIVERABLES**

The anticipated tasks included within the scope of services are described below. Utilizing knowledge of cost-effective approaches from previous experience on similar projects, the ideal Consultant will propose a project plan that aligns with these tasks. The resulting deliverables should provide vision to guide the County to an innovative technological future.

### **Task #1: Business Applications Needs Assessment**

The Consultant will conduct a comprehensive evaluation of the existing business applications in use throughout the County against the County's business needs, best practices, and innovative technologies available in the market. The requirements for this evaluation include:

- A. Identify and document each Department's use of existing business applications, key business processes, ideas for process improvements, and business needs.
- B. Identify and document the capabilities of the County's existing business applications and compare those capabilities against the business needs of all Departments, including the overall need for complete and accurate information, proper internal controls, and effective workflow processes. Identify any significant deficiencies in the ability of the existing business applications to meet the County's business needs.
- C. Identify areas where existing business applications are capable of meeting needs, but additional investment in staff training, product licensing, and/or internal software development is needed to utilize the applications to their full potential.
- D. Identify where there is the need for the County to replace any of its existing business applications, and assess the ability of the business applications that may not be replaced to effectively integrate with any potential new software solutions.
- E. Develop recommendations for appropriate solutions to meet the needs of the County. For each recommendation, estimate the costs and staff resources necessary to implement the proposed solution. Identify potential savings from proposed solutions. Recommend a timeline and phasing options for implementing the recommendations.

To complete this task, the Consultant will conduct a series of extensive onsite activities, including interviews, walkthroughs, demonstrations and meetings with various staff throughout the County. The Consultant will execute an effective project management, communication, and scheduling plan. The Consultant will also produce clear and concise written and verbal reports that are meaningful and understandable to both technical and non-technical users, including presentations to management and the Board of Supervisors.

### ***Task #1 Deliverables***

- 1.1 Artifacts and other tangible work products in a form that can be maintained over time
- 1.2 Draft report detailing the results from the business applications needs assessment



- 1.3 Separate presentations of the draft report to Department Directors and the EITC
- 1.4 Final report detailing the results from the business applications needs assessment
- 1.5 Presentation of the final report to the County Board of Supervisors

**Task #2: Develop Plan of Action to Implement Solutions**

Based on the recommendation(s) selected by the County, the Consultant will develop a comprehensive plan of action to implement the recommendation(s). The plan must include a prioritization of requirements for the software RFP (Task #3) and timeframes for implementing solutions. The plan must also include detail of County staff resources needed to implement solutions. For Departments where significant staff resources will be needed, identify areas where outside temporary help could be utilized to support ongoing operations.

***Task #2 Deliverables***

- 2.1 Prioritized list of software requirements for the software RFP
- 2.2 Draft report detailing the plan of action to implement solutions
- 2.3 Separate presentations of the draft report to Department Directors and the EITC
- 2.4 Final report detailing the plan of action to implement solutions
- 2.5 Presentation of the final report to the Board of Supervisors

**Task #3: Evaluation and Selection of Software and Implementation Vendors**

Based on the results from Task #1 and Task #2, the Consultant will manage most aspects of the RFP, evaluation, and selection processes of prospective vendors for the purchase, installation, and implementation of software solutions, including:

- Developing the vendor evaluation criteria and selection process
- Incorporating the prioritized list of software requirements into the software RFP
- Preparing the software demonstration specifications for prospective vendors
- Writing the RFP and submitting drafts to the County for input and approval
- Responding to questions submitted by prospective vendors
- Preparing an executive level vendor response summary for County evaluation
- Attending County Selection Committee meetings
- Scheduling and attending vendor demonstrations
- Ensuring demonstrations are made in accordance with demonstration specifications
- Scheduling and making site visits to agencies using the prospective vendors' software
- Analyzing vendor proposals and demonstrations
- Providing unbiased recommendations to the County for vendor selection

The Consultant performing Task #3 will be excluded as a potential vendor.

***Task #3 Deliverables***

- 3.1 Demonstration specifications for prospective vendors
- 3.2 Written RFP for software and implementation vendors
- 3.3 Responses to questions submitted by prospective vendors

- 3.4 Executive level vendor response evaluation summary
- 3.5 Vendor demonstration and agency site visit schedules
- 3.6 Analysis of vendor proposals and recommendations

**Task #4: Contract Negotiations**

Once the software and implementation vendors have been recommended for selection, the Consultant will assist County staff in successfully negotiating the contract(s). The Consultant will assist County staff with making a presentation to the County Board of Supervisors for the selection and award of the chosen vendor(s).

**Task #4 Deliverables**

- 4.1 Review contract(s) and assist County staff with negotiation of the contract(s)
- 4.2 Presentation to the County Board of Supervisors for the award of vendor(s)

**Implementation Project Management Services:**

The County may seek a project management consultant to manage all aspects of the implementation project, including the validation of all deliverables of the selected software and implementation vendor(s). These services are not within the scope of this RFP. If the project manager selected for these services is different than the Consultant, the Consultant will facilitate the transfer of project knowledge to the selected project manager.

**VI. MANDATORY RESPONSE REQUIREMENTS**

Proposals must include the following information, documents, and materials and must be submitted in the following format, including heading descriptions:

1. **Cover Letter:** On your company letterhead, which includes your company's legal name, address, telephone number, and website, explain why you are submitting a proposal and include the information for your primary point of contact. Responders may use this letter to provide any other overall background information related to their proposal. The cover letter should not exceed one (1) page in length.
2. **Company Overview:** Provide general information about your company, including:
  - Description of your company and its legal structure
  - Number of years in business and any recent mergers or acquisitions
  - Office locations and geographical markets served
  - Names and titles of key leadership and summaries of their experience
  - Organizational chart and number of employees on company payroll
  - Years your company has performed, and count of, similar projects
3. **Work Philosophy:** Provide a synopsis (1,000 words or less) of the work philosophy followed by your company when engaged in business applications needs assessment projects. Explain how that work philosophy may align with the values of the County.

4. **Financial Information:** Submit your company's most recent audited or reviewed financial statements as an attachment to your proposal. Describe what these financial statements demonstrate about the viability and stability of your company. If audited or reviewed financial statements are not available, provide an explanation as to why and submit internal balance sheets and income statements for the last three (3) years.
5. **Qualifications:** Provide a detailed description of your company's qualifications and experience providing business applications needs assessments similar in scope to this project. Describe any awards or recognitions your company has received related to your prior work. Specifically identify any areas of expertise where your company will rely on services provided by a subcontractor.
6. **Project Team:** Provide information about the proposed project team, including:
  - A visual representation of the proposed project team and its structure
  - Identify the project manager, quality reviewer, and other project staff
  - Confirm the availability of all team members during the project timeline
  - Indicate the percentage of work performed onsite versus offsite
  - Confirm the team's availability during Pacific Standard Time business hours
  - Specify if any team members will be stationed outside of the United States
  - Explain your company's succession plan for project team turnover

Please attach resumes for all project team members. Resumes should include the qualifications, experience, length of employment, and contact information.

7. **Subcontractors:** Disclose whether any subcontractors will be used for the project. Describe why the use of any proposed subcontractors may benefit the project. For any proposed subcontractors, provide the same information required for the Project Team as described above. Describe your plan for managing the subcontractors.
8. **Work History:** Provide a list of all projects completed by your company in the past five (5) years as well as any currently underway that are similar in nature and scope to this project. Select one (1) successful project to elaborate on what made the project a success and how the outcome satisfied your client's goals and objectives for the project. Select one (1) challenging project to elaborate on any barriers to success you encountered and how your company addressed the difficulties. Ideally, the work examples will include similar projects performed for other California counties, other government agencies in the United States, and other large and complex organizations.
9. **References:** On the reply form provided as **Attachment B** provide the name and contact information for three (3) relevant references that previously or are currently contracted with your company. Include brief descriptions of the services provided and dates that the services were, or are being, performed. References should be for projects that commenced within the last five (5) years.

10. **Proposed Project Plan:** Submit your proposed plan and timeline for the project. Provide a visual diagram (e.g., a Gantt chart) that includes the key dates, detailed deliverables, and milestones for completing each Task of the project. Describe the roles of the individuals in your proposed team structure, communication plan, escalation management, quality plan, and any other information relevant to your approach to completing the project on time and within budget. Also specify, where applicable, the level of assistance required by County staff for your project plan.
  
11. **Fee Schedule:** In a separate sealed envelope, provide your proposed fee on the reply form provided as **Attachment C**. The Fee Schedule must include a detailed breakdown for each Task that identifies labor costs, administrative costs, and travel costs. For labor costs, specify the estimated number of hours. For travel costs, reimbursable expenses must be consistent with the County's Employee Expense Reimbursement Policy (**Attachment F**). For any tasks within the scope of the project which may have a wide range of cost depending on the recommendations selected by the County, provide a range of costs and hours (minimum and maximum) with criteria for determining where the actual work performed falls within the range.

**Submittal Package:** One (1) original and one (1) copy of the reply must be delivered to the contact listed on the Cover Page of this RFP. An electronic version must also be provided on a Flash Drive (or similar current use electronic storage media) included in the Responder's submittal package. The Fee Schedule must be included in the submittal package only in a separate sealed envelope with the outside of the enveloped marked **Fee Schedule**. The Fee Schedule should not be included in the electronic submission. The outside of the Responder's submittal package must be marked **County of Santa Barbara Business Applications Needs Assessment** and include the RFP number and due date.

## **VII. OTHER REQUIREMENTS**

1. **Mandatory Pre-Proposal Conference:** A mandatory pre-proposal conference is scheduled on the date and at the location specified on the Cover Page of this RFP. The conference will give interested and eligible vendors the opportunity to ask questions regarding the project and RFP process. Physical or remote attendance by vendors planning to submit proposals is required. Vendors must register for the conference by electronic mail sent directly to the Buyer listed on the Cover Page of this RFP using the following email subject: **BANA RFP – Pre-Proposal Conference – <Vendor Name>**. Remote attendance instructions will be provided by email to all registered vendors.
  
2. **Vendor Questions:** The County will accept written questions for clarifications on this RFP only by electronic mail sent to the Buyer listed on the Cover Page using the following email subject: **BANA RFP – Vendor Questions – <Vendor Name>**. Questions must be submitted by no later than 5:00PM (PST) on Thursday, November 14, 2019. The County will publish answers to the questions on Thursday, November 21, 2019.

3. **Additional Requirements:** Please refer to **Attachment D** for additional Responder requirements for this RFP. This includes terms and conditions in the event of any future contract, which are included in the County's standard Template for Agreement for Services of Independent Contractor (**Attachment E**).

#### **VIII. EVALUATION AND SELECTION**

1. **Initial Screening:** Proposals will be screened for responsiveness and responsibility in meeting the requirements of this RFP.
2. **Proposal Evaluation:** The Evaluation Committee will evaluate and rank proposals to select the top three (3) to five (5) finalists for presentations.
3. **Finalists Presentations:** Selected finalists will be required to present their proposals to the Evaluation Committee on site at a County facility.
4. **Selection of Finalist:** The Evaluation Committee will select the company with the highest ranked proposal and presentation as the recommended finalist.

#### **IX. RFP TIMELINE**

<b>Date</b>	<b>Description</b>
Thursday, October 31, 2019	RFP published and distributed by County
Thursday, November 7, 2019	Mandatory Pre-Proposal Conference
Thursday, November 14, 2019	Deadline for Vendors to submit RFP Questions
Thursday, November 21, 2019	Answers to RFP Questions published by County
Friday, December 13, 2019	Proposal response deadline and RFP opening
By Monday, January 13, 2020	Selected finalists notified by County
Thursday, January 23, 2020	Presentations by finalists made to Evaluation Committee
By Friday January 31, 2020	Finalist recommended for award notified by County

#### **X. ACKNOWLEDGMENTS**

This RFP was developed by a team of over 25 employees representing nearly all of the County's Departments. This countywide collaborative effort was facilitated by staff from the Auditor-Controller's Office using a methodology provided by Kelly Allan Associates, Ltd. based on the teachings of Dr. W. Edwards Deming.