County of Santa Barbara

Request for Proposal

DRAFT VERSION FOR

Board of Supervisors

Effective 8/5/2021 – 8/19/2021

Enterprise Resource Planning (ERP) Software and Implementation Services

Issue Date: Aug 20, 2021

Due Date: October 11, 2021

RFP NAME

TITLE: Enterprise Resource Planning (ERP) Software and Implementation Services

RFP NUMBER: 820014

ISSUE DATE: Aug 20, 2021

PURCHASING AGENT

NAME: Phung Loman

PHONE: (805) 568-2697

EMAIL: ploman@countyofsb.org

DEPARTMENT: General Services Department, Purchasing Division

The Purchasing Agent will be the sole point of contact for this RFP. Proposer contact with anyone else in the County is expressly forbidden and may result in disqualification of the Proposer's bid. Further, any oral communications will be considered unofficial and non-binding.

MANDATORY PRE-PROPOSAL CONFERENCE

DATE: August 27, 2021

TIME: 9:00AM (PST)

LOCATION: Virtual participation only. Respondents wishing to bid on this RFP must first register as a vendor on the County of Santa Barbara Public Purchase website (http://countyofsb.org/gs/purchasing/bids.sbc) then follow the instructions in section 1.4.2 of this RFP to register for the Pre-Proposal Conference in order to receive virtual attendance instructions.

RFP DUE DATE

DATE: October 11, 2021

TIME: Cutoff time is 2:00PM (PST)

LOCATION: Purchasing Division – online submissions only

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

Table of Contents

Section 1: General Information

1.1 RFP Introduction and Purpose

The aim of this document is to help proposers understand what the County needs and how to provide proposals so that the County can identify the most suitable software and implementation vendor(s) 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 soliciting proposals for a cloud-based Software-as-a-Service (SaaS) commercial off-the-shelf integrated Enterprise Resource Planning System (ERP System) and a professional services contractor (Implementer) to implement the ERP System, train County staff on new software and processes, and provide post-implementation ongoing maintenance and support. The County seeks an ERP System that meets the County's functional and technical requirements and an Implementer with proven experience implementing ERP solutions for local governments using innovative project delivery methods, effective risk management techniques, extensive solution knowledge, collaborative communication and engagement, and a "win early, win often" mindset.

The County will consider proposals from single vendors or from multiple vendors working as a team. If the proposer submits a proposal with multiple vendors, the proposer should clearly define the roles and responsibilities of each vendor for both implementation and post-implementation activities. If multiple vendors submit a proposal together, there should be one prime contact that will be responsible for the whole project and for coordinating the work of the other vendors. The County aims to select a winning proposal which may result in one or more contract awards to the software and implementation vendor whose proposal offers the best value to the County to accomplish the County's project goals and produce high value outcomes.

1.2 About the County

1.2.1 County Introduction

The County's identity is characterized by our unique geographical landscape 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 collaboratively together to develop win-win solutions that promote a thriving 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 have been 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.

1.2.2 County Organization

Below is the County Organizational Chart. Please refer to **Attachment 1 – County Department Information** for a listing of Departments and links to their websites for additional publicly available information about the County. The elected Board of Supervisors is the County's governing body.

Figure 1. County Organizational Chart
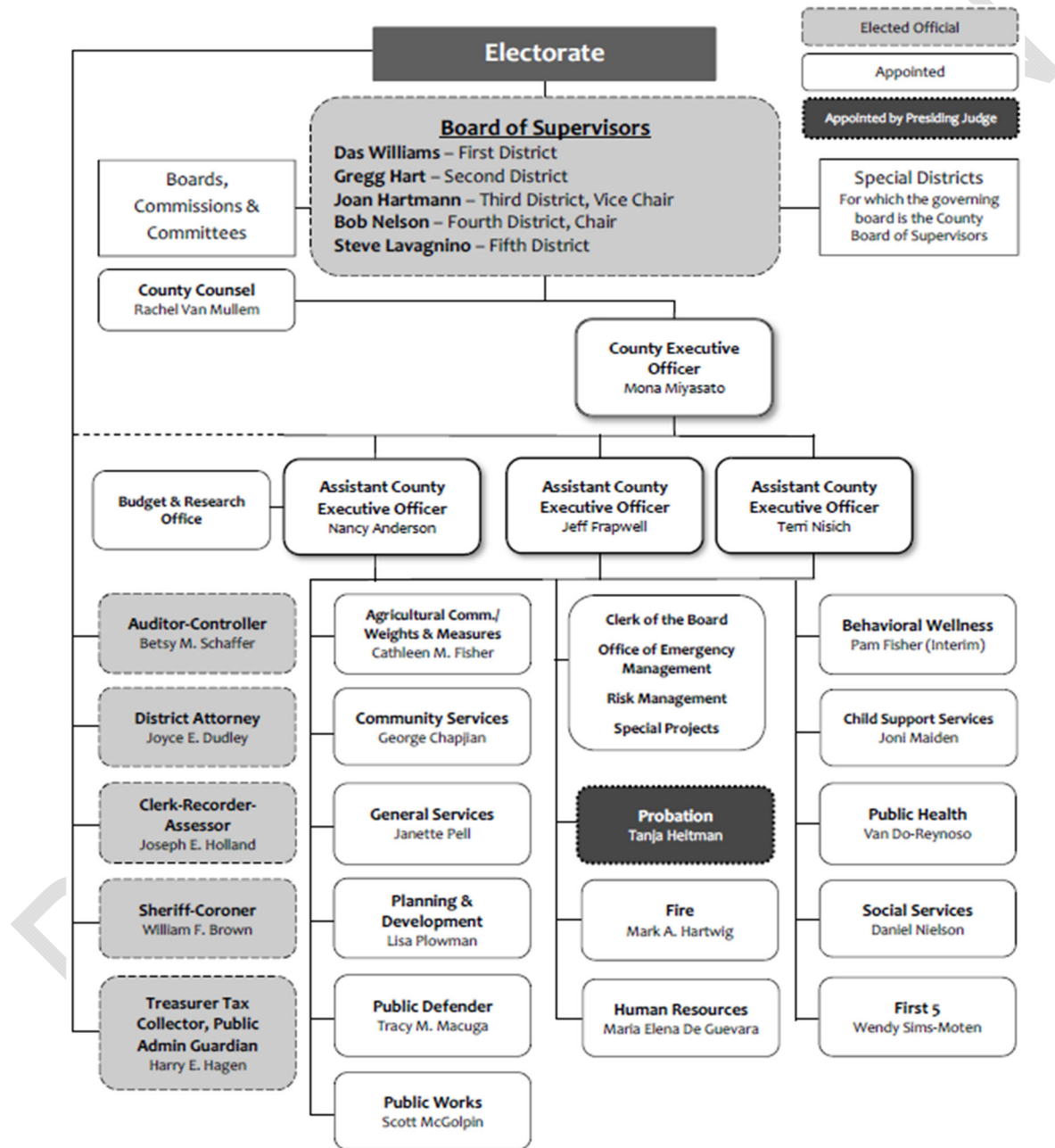
1.2.3   Key Statistics/Metrics

The table below provides key County statistics and metrics to help inform your response.

Table 1. Key Statistics/Metrics

Metric	Volume	Period
County Population	451,840	19/20
Government Entities	61 government entities exist in the geographical area of the county: 20 government entities are managed by the County (1 County and 19 Dependent Special Districts) while 41 are operated by other government bodies (8 cities and 33 independent special districts)	18/19
Adopted Budget	$1,815,987,716	20/21
FTEs	4,139	19/20
Position Classifications	• 869 non-manager positions • 9 management and leadership positions	20/21
Purchase Orders	2,171	19/20
Invoices	116,208	19/20
Journal Entries	18,503 Total	19/20
Funds	794	20/21
Bank Accounts	• 15 Countywide accounts • 14 Department Accounts	19/20
1099s	1,230	19/20
Vendors (Active)	13,247	
Payroll Checks Issued	~124,000 (4,788 per pay period x 26 pay periods)	2019
Total financial system users (internal and external)	867	Current
External users of County's financial system (schools, special districts, and other non-County users)	79	Current
AP Checks Processed	20,508	19/20
ACH Payments Sent	40,022	19/20
Invoices Processed	116,208	19/20
Bargaining Units	30	Current

Metric	Volume	Period
HR Job Applications Processed/Received	~800 Requisitions annually to fill 1100 vacancies	19/20
Benefits Plans	7 Health plans 2 Dental plans 1 Vision plan 5 FSA/HSA Tax Savings Plans 5 Life and Disability plans 1 Voluntary accident and critical illness plans 11 Retirement plans	Current

1.3 Project Background and Current State

1.3.1 Project History

The County's primary financial system is the Financial Information Network (FIN), which includes the general ledger, budget control, accounts payable, and reporting. FIN was internally developed by the Auditor-Controller's Office (ACO) in 1995 and through periodic upgrades and ongoing maintenance, the system has evolved into a web-based application for users to perform all required accounting, process payments efficiently, and generate criteria-based standardized real-time reports. The ACO developed other countywide applications that have varying degrees of integration with FIN, including the County's budget, payroll, and timesheet 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 ACO to maintain and enhance certain countywide systems, while Departments have developed or acquired systems to meet other countywide or Department-specific business needs.

For over 25 years, the County has been a leader in financial reporting for California counties by consistently issuing audited financial statements within 60 days of 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. Renew '22 seeks to build the County's capacity for innovation and continuous improvement to adapt to future challenges.

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 ERP project is led by a 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 launched the Business Applications Needs Assessment (BANA) project to identify requirements for the next generation of enterprise business applications that will provide the technological platform for the County to operate efficiently and effectively well into the future. Phase Zero of the BANA Project began that year to facilitate a stakeholder-driven process for selecting the Assessment Consultant. The County formed a Stakeholder Team of over 30 financial and IT professionals from all County departments, from which various committees formed to develop the Assessment Consultant RFP and evaluate proposals. This phase was guided by the Steering Committee formed under the EITC and was supported with project management from the ACO. This initial readiness effort produced a collaborative and transparent process carried out by a diverse and invested team focused on selecting a consultant capable of being a good partner to the County while providing superior technical expertise.

In 2020, the County partnered with the Assessment Consultant selected from Phase 0 of the BANA Project to conduct a comprehensive evaluation of the existing business processes and applications used throughout the County. The results of this assessment contributed to a plan of action to implement solutions and the development of this RFP. The BANA project reflects many of the values of Renew '22 and is aligned with the objectives of transforming how the County works, constantly learning and improving, and exploring ways to work differently so that County employees are equipped to thrive in the present, adapt to tomorrow, and anticipate the future.

To achieve project success, the County seeks an Implementer focused on delivering high value outcomes through a culture of communication, engagement, understanding and collaboration. Working together, the County and Implementer will frequently deliver value-based products to build team and stakeholder confidence while reducing risks associated with long-term ERP implementation projects. The County equally values the people aspects of ERP implementations alongside the impacts of technology to the future state of business processes and operations.

1.3.2 Why an ERP solution?
The BANA Project documented current County business processes, identified the needs and pain points of stakeholders interacting with the business application landscape, and documented existing systems and technologies. By doing so, the project team was able to determine that the County must undertake this initiative now in order to further automate business processes, better integrate business systems, provide standardized functionality needed by departments, and meet the expectations of the workforce. The following indicators signal that it is time for an ERP:

1. **No new versions available:** Upgrades to the County's 52 custom applications written in older programming languages must be completed internally and require significant investment of staff with hard to find skillset.

2. **Focus on Core Competencies:** Developing, maintaining, and enhancing custom applications is not a core competency of county government.

3. **Mature Market for Government Applications:** The market for government-specific applications has matured, resulting in a variety of vendor solutions capable of meeting the needs of county government.

4. **Emergence of Secure Cloud Computing:** Subscriptions to vendor applications hosted in the cloud are now commonplace and offer the latest features while eliminating the cost of hosting software on premises**.**

5. **Maximized Value of Existing Applications:** While the County has benefited from its investment in existing applications, custom applications reaching the end of their lifecycle will be costly to maintain and integrate.

6. **Changing Expectations of the Workforce:** Rapid advances in technology have created an expectation in the workforce of similar advancements in workplace technology.

7. **Pervasive Use of Multiple Disparate Systems:** Departments must use multiple systems to perform a task, resulting in cumbersome workflows that can lead to data errors, duplicative efforts, and process control issues.

8. **Limits to Functionality and Integrations:** Existing systems have limits to their functionality, so departments must implement their own non-standardized solutions which have varying abilities to integrate with other systems.

The County expects that by moving to an ERP System, the County will continue to build on its legacy of innovative solutions, automation of workflows, and integration of systems.

1.3.3   Current State Overview

The County categorized its business operations into seven key functional areas: General Ledger, Human Capital, Payroll, Budget, Billings & Receivables, Purchasing & Payables, and Asset Management. There are 16 documented countywide business processes across these seven functional areas. Additional business processes exist within the scope of this project that are not countywide and vary by department. Many of these department specific business processes have corresponding applications and are included in **Attachment 2 – Current Countywide Process Maps** which show the steps involved in the 16 countywide business processes.

The County has 99 business applications that support the 16 countywide business processes within the scope of this project, including both internally developed systems and software acquired from third-party vendors. Of those applications, 52 are custom, 35 are commercial off-the-shelf, and 6 are modified off-the-shelf. Many of the custom applications are MS Access Databases. There are 59 department specific applications, 6 cross-departmental applications, and 34 countywide applications. More details on applications expected to integrate with the new solution and those under consideration for replacement are in **Attachment 9 – Technical & Integration Requirements** and **Attachment 4 – Applications Under Consideration for Replacement**.

Attachment 3 – Current Application Interface Diagrams provides information about the current application interfaces for each functional area. In recent years, the County has moved towards some solutions hosted in the cloud, however 70 applications remain on-premises. Given the wide variety of business applications used by the County, there is some degree of duplicative data storage, redundant procedures, and manual processes.

Below is a summary of the current state for each functional area:

- **General Ledger:** The General Ledger Functional Area consists of four sub-functions: Recording Transactions, Closing, Reporting, and Chart of Accounts. Given the County's decentralized structure, departments are responsible for recording transactions in FIN and closing each accounting period consistent with ACO policies and procedures. The ACO manages the chart of accounts, approves certain transactions, calculates and posts certain countywide transactions, facilitates and finalizes the period close processes, and generates required reports using specialized applications. FIN users can also generate financial reports for any date/period using standard reporting tools in FIN. The ACO developed and maintains FIN for use by all County Departments as well as various independent government agencies located within the county. FIN is the central repository of accounting structure and data. All accounting transactions are captured through a web application and posted to the repository. As a result, the County depends on the ACO to maintain and enhance the general ledger. There are six other subsidiary applications that could be replaced by a new system. These applications help the ACO track transactions and generate reports to support FIN.

- **Human Capital:** The Human Capital Management functional area consists of six sub-functions: Human Resources Management, Workforce Management, Talent Acquisition, Learning & Development, Benefits Administration, and Compensation. There are five human capital applications used across the County to support these processes. The Human Resources (HR) Department manages the official record of employee information for all departments; however, most human resources processes are managed by each department's HR representatives who coordinates with the HR Department. In addition to the countywide applications, five departments have acquired or developed their own human capital systems, including learning management applications, to meet their specific needs. Employee information stored in Human Resources Department managed applications is manually or systematically transferred between the central countywide systems to the Department-specific applications and vice versa. The County HR Benefits Division performs certain benefits functions and supports functions outsourced to a third party. Management compensation changes are proposed by Human Resources and approved by the Board of Supervisors.

- **Payroll:** The Payroll Functional Area consists of three sub-functions: Payroll, Time Tracking, and Absence Management. These processes are managed primarily by the ACO's Payroll Division with support from the departments and HR. The County's primary payroll system is ESS+, an internally developed system that synchronizes employee information from the core human resources applications, 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. There are also six additional countywide applications that support payroll functions such as calculating benefits, tracking absences, and generating payroll-related reports. The ACO uses three additional applications to help with its payroll calculations which have the potential to be replaced. Two other departments have specific applications to help with their unique needs.

- **Budget:** The Budget Functional Area consists of three sub-functions: Budget Preparation, Budget Control, and Grants Management. The processes for the sub-functions are managed by the County Executive Office (CEO) with technical assistance from the ACO. All departments leverage four internally developed business applications to support the processes associated with budget preparation. These tools pull payroll and general ledger data from various systems and are used by the departments for salary modeling, budget development, and budget book production. After the budget is adopted by the Board of Supervisors, the ACO loads the final budget into FIN where any adjustments are tracked through a formal workflow process in FIN. While the county has internally developed Grants Management System, use of this application is inconsistent across departments.

- **Billings & Receivables:** The Billings & Receivables Functional area consists of two sub-functions: Accounts Receivable and Cash Management. The customer management, billing (including POS), and refund processes within Accounts Receivable are managed individually by the departments and vary significantly across the County. With 23 department-specific applications used to support these processes, departments may replace existing applications with the new business solution to leverage standard functionality. For Cash Management, the deposits process is initiated by the departments and managed by the Treasurer-Tax Collector (TTC) using specialized third-party software (ItemAge). Deposit data from the TTC's system is posted to the FIN General Ledger through a daily batch file upload process.

- **Purchasing & Payables:** The Purchasing & Payables Functional Area consists of five sub-functions: Purchasing, Accounts Payable, Contract Management, Vendor Management, and Travel Expenses. The county does not use encumbrance accounting, and there is no single countywide system that supports the entire procure-to-pay process. The county leverages eight different applications with limited or no integration with each other. Purchase requests are initiated by departments using a paper request and are then executed within SpendMap by centralized Purchasing. Many departments have acquired or developed applications to help track and manage their specific purchase requests. Once a purchase has been made the transactions are approved and posted to the general ledger via FIN, which then initiates the payment of claims against the County Treasury. Contract Management currently occurs in both FIN and SpendMap. Vendor Management is handled in a separate Vendor database as well as FIN resulting in more than one vendor master database. The County utilizes an electronic form in FIN to process travel expense claims but does not have a Travel Expense application to manage, track, and report travel expenses.

- **Asset Management:** The Asset Management functional area includes two sub-functions: Asset Accounting and Asset Maintenance. Within these sub-functions there is a different countywide process for capital assets and vehicle assets. The ACO uses a specialized third-party application (RAMI) to track and depreciate all capital assets except for fleet vehicles which are managed through a separate specialized third-party application (Fleet Focus). Departments purchase, receive, own, maintain, and replace assets under their control. Physical assets (e.g., supplies, equipment, vehicles, and infrastructure) are managed at the Department level. Departments also have their own systems for tracking IT inventory. While most departments have manual processes for managing their assets, seven Departments have a specific application to meet their unique needs such as tracking County property and maintenance. These specialized applications may remain in use to satisfy unique needs.

1.3.4   Desktop Standards

This section identifies the County's current desktop and browser software versions. The ERP System should be compatible with the existing desktop and browser platforms. Proposers not meeting these requirements should provide proposed alternatives.

Table 2. Desktop Standards

Desktop Technology	Current Standards
Desktop Operating Systems	Microsoft Windows 10 Enterprise
	Microsoft Windows 10 Pro / Workstations
	Microsoft Windows 7 Enterprise / Professional
	Microsoft Windows 8.1 Enterprise
Desktop Internet Browsers	Microsoft Edge versions 81.0 – current
	Mozilla Firefox versions 39.0 – 88.0
	Google Chrome versions 56.0 – 90.0

1.4 RFP Timeline & Event Details

1.4.1   Dates and Milestones

The expected procurement schedule is listed below. The County reserves the right to change this schedule. If a change does occur, the County will notify proposers through email and via addendum in this RFP and posted on the online Public Purchase site.

Table 3. Dates and Milestones

Time & Date	Activity
Aug 20, 2021	County releases RFP on Public Purchase website
August 26, 2021 2:00PM (PST)	Deadline for interested Proposer to register and confirm attendance at Pre-Proposal Conference
August 27, 2021 9:00AM (PST)	County hosts virtual mandatory Pre-Proposal Conference and receives interested Proposer Verbal Questions
September 1, 2021	County answers Pre-Proposal Conference Verbal Questions via RFP addendum on Public Purchase website
September 3, 2021 5:00PM (PST)	Deadline for interested Proposer to submit Written RFP Questions to County through Public Purchase website
September 8, 2021	County answers Written RFP Questions via RFP addendum on Public Purchase website
September 10, 2021 5:00PM (PST)	Deadline for interested Proposers to submit Intent to Bid to County through Public Purchase website
October 11, 2021 2:00PM (PST)	Deadline for interested Proposers who attended Pre-Proposal Conference and submitted an Intent to Respond to formally respond with a responsive proposal to the County through Public Purchase website
October 29, 2021	Selected finalists notified by County
November - December 2021	Vendor demonstrations made to Evaluation Committee
December - January 2022	County completes final evaluations
January 6, 2022	Intent to Award
March 1, 2022 (estimated)	Signed/Approved Contract

Proposals must be submitted on October 11, 2021 by 2:00PM (PST). In the interest of fairness to all participants, no extensions or exceptions will be permitted. Please note that once the RFP is released on August 20, 2021, a "Cone of Silence" is applied. This means that any lobbying or marketing activities to County Officials by a particular respondent or its representatives must cease from the moment the solicitation is released until the time the Board Letter recommending approval of the final contract by the County Board of Supervisors is posted.

1.4.2 Mandatory Pre-proposal Conference Information

Proposers wishing to bid on this RFP must first register on the County of Santa Barbara Public Purchase website at: http://countyofsb.org/gs/purchasing/bids.sbc. Successful registration will allow proposers to register for the pre-proposal conference and receive email updates to the bid process and the ability to upload their final proposal package to the site.

Proposers are recommended to register as a Supplier as soon as possible – it can take 24 to 48 hours for your account to become active. To register as a Supplier, follow the steps below:

Step 1: Registering as a Supplier with Public Purchase™
Your first step should be to register as a supplier through Public Purchase™. If you are already registered with Public Purchase™, please skip this step and proceed directly to step two below. Once registered you will receive an activation email from notices@publicpurchase.com advising that your account is activated (Note: be sure to add this email address to your contacts to avoid bid notifications being sent to your junk folder rather than your inbox). It can take 24 to 48 hours for your account to become active.

Step 2: Registering as a Supplier with the County
Once you have received your activation email from Public Purchase™, log into Santa Barbara County Public Purchase homepage and accept the terms and conditions of use. You will need to register with Santa Barbara County and select the National Institute of Government Procurement (NIGP) Commodity Codes that relate to your business in order to receive email notifications of future bid opportunities.

It is important that you complete step two of the registration process (register with Santa Barbara County) or you will not receive notifications of upcoming bid opportunities. It is your responsibility to keep your vendor information updated in Public Purchase™, particularly your contacts and email addresses.

Is there a charge for this service?
This service is provided free of charge.

When and where is this service offered?
This service is available online

A mandatory pre-proposal conference is scheduled on August 27, 2021 at 9:00AM (PST). The conference will give interested and eligible vendors the opportunity to ask questions regarding the project and RFP process. At least one person from each eligible software vendor and implementation vendor must participate to meet this requirement. The County will respond to these questions via an addendum to the RFP. **Remote attendance by proposers planning to submit proposals is required**. Proposers intending to participate in the pre-proposal conference should register and confirm attendance by Aug 26, 2021 at 2:00PM (PST) by following these instructions on the Public Purchase website:

1. Click on the title of the bid
2. On the right of the bid page click on [View/Ask Questions] to open a new page that lists all previous questions and answers
3. Click "Ask a Question," and enter: "We, (Enter Company name), will attend the mandatory pre-proposal conference" in the field provided and click "Save" to submit your statement. Required information to be included in your statement is below:
    a. Statement to Attend Mandatory Pre-Proposal Conference
    b. Name of Company
    c. Name and contact information for pre-proposal conference

Remote attendance instructions will be provided to all registered vendors via email prior to the pre-proposal conference. Answers to questions submitted prior to the conference and answers to all questions asked at the pre-proposal meeting will be officially answered by addendum after the meeting.

1.4.3   Intent to Bid Instructions

Software vendors and implementation vendors that have an interest in this RFP and plan to submit a proposal, either solely or in partnership with another vendor, are required to include the "Intent to Bid" statement provided below on the Public Purchase website in the question section to confirm their interest. Proposers intending to submit an "Intent to Bid" should follow these instructions on the Public Purchase website:

1. Click on the title of the bid
2. On the right of the bid page click on [View/Ask Questions] to open a new page that lists all previous questions and answers
3. Click "Ask a Question," and enter: "We, (Enter Company name), intend to submit a proposal" in the field provided and click "Save" to submit your statement. Required information to be included in your statement is below:
    a. Statement of Intent to Bid as stated above
    b. Name of Company
    c. Name and contact information for this proposal

The Intent to Bid must be submitted on September 10, 2021 by 5:00PM (PST). The submission of the Intent to Bid is not binding.

1.4.4   Vendor Questions

The County will accept written questions for clarifications on this RFP within the Public Purchase website. Questions must be submitted by no later than September 3, 2021 at 5:00PM (PST). The County will publish answers to the questions in an addendum to the RFP on September 8, 2021.

Proposals may be changed or withdrawn prior to the deadline for proposals. All such changes and withdrawals must be submitted in writing and received by the County prior to the deadline for proposals. After the deadline for proposals, no change in prices or other provisions prejudicial to the interest of the County or fair competition shall be permitted.

1.4.5   Rejection

The County reserves the right to reject any or all Replies. Minor irregularities or informalities in any Reply which are immaterial or inconsequential in nature, and are neither affected by law, nor at substantial variance with RFP conditions, may be waived at the County's discretion whenever it is determined to be in the County's best interest. In such cases, the County may allow a Responder to make minor corrections to any part of their Reply, with the exception of price data that could affect price comparisons between Responders.

Section 2: Scope of Work

2.1 Project Scope Overview

The scope of this project is outlined in sections 2.1 through 2.7 of this RFP. The County has divided the scope of the project into eight functional areas: General Ledger, Human Capital, Payroll, Budget, Billings & Receivables, Purchasing & Payables, Asset Management, and Technology Solutions. Each functional area is divided into sub-functions. The County expects to collaborate with the Implementer weekly while implementing the software to ensure high value targets are reached early and often. Below is a graphical representation of the scope of the new ERP solution with each functional area and its sub-functions:

Figure 2. Scope of the County's Business Applications Functional Areas
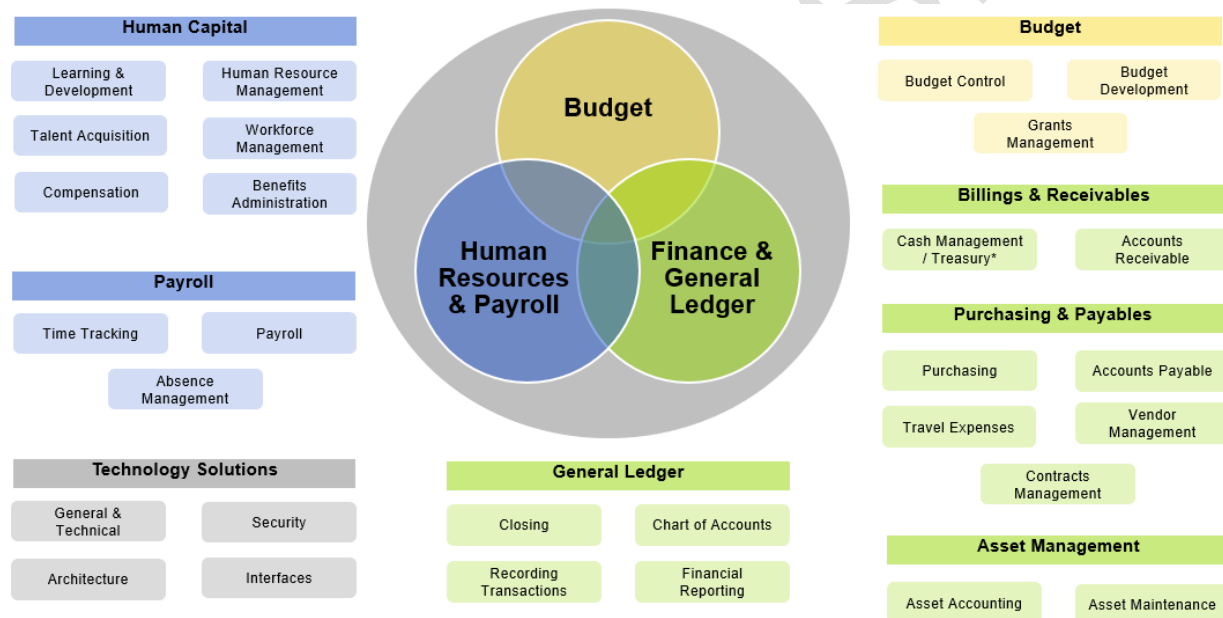
* The County may not use the ERP system for its cash management and treasury needs but would still like to understand the proposed ERP system's cashiering features/functions for potential future implementation

The County prefers a phased approach to implementation. The proposed implementation phases and their corresponding functional areas are listed below. The County will consider alternative roll-out phasing recommendations provided by proposers.

Figure 3. Roll-out Phases

① Core Financials

Accounts Receivable	Accounts Payable
General Ledger	Vendor Management
Customer Billing	Contracts Management
Customer Management	Purchasing
Asset Management	Travel Expenses
Budget Control	

② Human Capital & Payroll

Benefits Administration	Human Resource Management
Compensation	Absence Management
Talent Acquisition	Time tracking
Payroll	Learning & Development
	Workforce Management

③ Budget Preparation

Grants Management	Budget Preparation

2.2 Project Goals

The selected implementer will be responsible for guiding the County to achieve the County's overall IT goals for the County and its goals for each functional area. The EITC established the following IT Architecture Guiding Principles for the County:

- **Maximize Benefit to the County** - Information management decisions are made to provide maximum benefit to the County as a whole.

- **Business Continuity** - County operations are maintained in spite of system interruptions.

- **Common Use Solutions** - Development of solutions used across the County is preferred over the development of similar or duplicative solutions that are only provided to a particular department.

- **Buy vs. Build** - The County prefers to buy services and solutions where possible. In-house development is reserved for solutions that are not available in the marketplace.

- **Limit Customization** - Leverage solutions that require little or no customization to meet the needs.

- **Compliance with Law** - County information management processes comply with all relevant laws, policies, and regulations.

- **Enable Productivity** - Employees and agents of the County should have the tools they need to be productive without introducing unnecessary risk.

- **Deliver Information and Services When and Where Needed** - The architecture allows for the availability of information and services when and where needed.

- **Meet Business Requirements** - Solutions should be designed to meet business requirements, maximize value and productivity, and minimize rework and cost.

- **Data is a County Shared Asset** - Data is a County shared asset that has value to the County and is managed accordingly. Users have access to the data necessary to perform their duties; therefore, data is shared across County functions and agencies unless restricted by law.

- **Data Integrity** - Authority to create and maintain the data will reside with those most knowledgeable about the data or those most able to control its accuracy.

- **Common Vocabulary and Data Definitions** - Data is defined consistently throughout the County, and the definitions are understandable and available to all users.

- **Data Security** - Secure data practices are used to avoid the inappropriate disclosure of sensitive or personally identifiable information and prevent unauthorized access.

- **Data Integration** - Integration approach (real-time, overnight batch, etc.) will be driven by business needs. Where appropriate, real-time integration is preferred over batch integration.

- **Data Replication** - Minimize the replication of data within operational applications by replicating only stable data when necessary and based on business requirements.

- **Cloud First** - The County is adopting a Cloud First Strategy that applies to business applications, whether citizen, business or county employee facing.

- **Ease-of-Use** - Applications are easy to use. The underlying technology is transparent to users, so they can concentrate on the tasks at hand.

- **Applications Expose Data** - Applications shall provide industry standards-based mechanisms and formats to expose and export their data for public and internal consumption.

- **Self-Serve** - Customers and employees should be able to serve themselves and the County should encourage the use of the self-service applications.

- **County Application Component Reuse** - The County will reuse existing enterprise application services and components to support business requirements where the existing functionality meets all mandatory requirements.

- **Requirements-Based Change** - Changes to applications and technology are in response to the business or legislative needs of the County.

- **Technology-Based Change** - Changes to applications and technology are only in response to business needs of the County, except in the case of modernization of aging technology platforms, or research & development projects that are evaluating new technologies or approaches

- **Changes are Planned** - Changes to the County Information Technology Environment are planned and communicated.

- **Responsive Change Management** - Changes to the County Information Technology Environment are implemented in a timely manner.

- **Use Countywide Technology Infrastructure** - Use of the Countywide Technology Infrastructure allows the County to control technological diversity and to minimize the non-trivial cost of maintaining multiple different environments and locations.

- **Interoperability** - Software, hardware, and management and development processes should conform to defined standards that promote interoperability for data, applications, and technology.

- **Resiliency and Availability** - All technology components including data center physical and virtual infrastructure as well as hosted cloud services are designed in such a way to avoid any single point of failure. A standardized, consolidated infrastructure is used which helps to minimize risk, maximize network, storage and compute availability and support business continuity.

- **Scalability and Modularity** - County and department application architectures should be scalable, flexible and modular to meet ongoing and dynamic business growth.

- **Industry Standard Technology** - County and department proposed architectures and technologies must support industry standards and avoid proprietary technologies and interfaces unless specifically required for specialized applications or business needs.

- **Security Design** - County and department architectures should employ security measures to ensure integrity, confidentiality and availability of IT services and applications. Security needs to be designed into the architecture in a scalable and efficient manner. The security architecture design should follow a modular design where the overall technology infrastructure is divided into functional layers / modules.

- **Regulatory Compliance** - All County and department architectures and solutions must meet all relevant legal and regulatory requirements, County standards and policies (including audit requirements), and industry best practices.

The **General Ledger Functional Area** consists of four sub-functions: Recording Transactions, Closing, Reporting, and Chart of Accounts. The County's goals for this functional area include:

- Provide visibility and tracking of transaction data
- Provide reporting on all financial information required by the County and departments
- Enable more comprehensive reporting across all functional areas
- Strengthen ability to maintain current accuracy and delivery of financial statements
- Continue to have efficient month-end, quarter-end, and year-end closing processes

The **Human Capital Management functional area** consists of six sub-functions: Human Resources Management, Workforce Management, Talent Acquisition, Learning & Development, Benefits, and Compensation. The County's goals for this functional area include:

- Increase visibility, tracking, and improve data accuracy for all Human Capital processes via automated workflow
- Provide an integrated workflow between hiring and onboarding
- Provide a centralized application to help eliminate manual and duplicative tracking and storage of human resources documentation
- Provide real-time tracking of employee trainings, certifications, and supporting requirements
- Provide self-service capabilities to employees and managers
- Leverage data analytics to improve workforce related decision-making
- Manage one shared employee file between county HR and departments

The **Payroll Functional Area** consists of three sub-functions: Payroll, Time Tracking, and Absence Management. The County's goals for this functional area include:

- Ensure accurate and timely on-cycle paychecks are created and distributed and that manual (off-cycle) payrolls are accurately created and distributed as needed
- Increase automation and workflow to help reduce any payroll processing errors
- Reduce paper-based processes for payroll adjustments and overtime approvals
- Improve employee payroll experience by offering time tracking through mobile application
- Ensure transparency of payroll with extensive reporting and self-service portal
- Calculate tax deductions for multiple states for employees
- Report payroll data to Finance system appropriately

The **Budget Functional Area** consists of three sub-functions: Budget Preparation, Budget Control, and Grants Management. The County's goals for this area include:

- Strengthen forecasting, analytics, and scenario planning tools to help County officials allocate resources with greater insight during budget development
- Centralize budget tools, details, and history within a single system
- Improve configurable workflow for budget revisions, adjustments, and approval processes to help increase transparency and communication
- Provide public facing dashboards for a visual representation of the County's budget

The **Billings & Receivables Functional Area** consists of two sub-functions: Accounts Receivable and Cash Management. The County's goals for this functional area include:

- Reduce the number of Department specific billing applications by providing one unified system that will address the non-specialized department needs
- Increase visibility and tracking of customer billings and payments by improved reporting capabilities
- Decrease manual entry by digitizing deposit tickets
- Improve the efficiency and accuracy of County billing by automating workflow
- Ensure integration capability with remaining department-specific Billings & Receivables applications

The **Purchasing & Payables Functional Area** consists of five sub-functions: Purchasing, Accounts Payable, Contract Management, Vendor Management, and Travel Expenses. The County's goals for this functional area include:

- Reduce the time it takes the County to pay vendors or reimburse employees by increasing visibility and tracking of all procure-to-pay processes
- Provide real-time updates to ensure the highest level of accuracy of Accounts Payable information
- Reduce costs by improving the County's ability to monitor and manage spending on contracts and increasing procurement standardization

The **Asset Management functional area** includes two sub-functions: Asset Accounting and Asset Maintenance. The County's goals for this functional area include:

- Track all depreciable and non-depreciable assets in one application
- Accommodate the County's asset depreciation and lease accounting needs
- Analyze the total life cycle of an asset with streamlined workflow to strengthen reporting and forecasting capabilities
- Track and maintain asset locations
- Support tagging of assets to maintain records (e.g., using RFID)

The **Technology Solutions Functional Area** consists of four sub-functions: General & Technical, Security, Architecture, and Integrations. The County's goals for the Technology Solutions functional area include:

- Provide a user-friendly interface that encourages productivity and saves employees time and effort
- Reduce duplicative applications and redundant data entry by integrating application functions under one unified solution
- Provide configurable security settings and prevent unauthorized users from accessing certain types of information

- Ensure authenticity and accuracy of information through configurable restrictions and editing settings
- Provide reliable access to information through regular data back-ups, hardware and network maintenance
- Provide a full audit trail for review of historical transactions
- Ensure data privacy and reduce risk of data loss through compliance to generally accepted security policies and procedures
- Provide capability for segregation of duties to introduce checks and balances into system administration

2.3 Functional Requirements

2.3.1 Overview

The County seeks to understand how the proposer meets the County's functional requirements. A list of the County's functional requirements can be found in **Attachment 8 – Functional Requirements**. This document also serves as the proposer's response form and should be completed by the proposer.

2.3.2 Attachment Instructions

The proposer should follow these instructions to complete the functional requirements self-evaluation in **Attachment 8 – Functional Requirements**:

1. Review each requirement and assess the proposed solution's ability to meet the requirement
2. Assign a response code to each requirement
3. If needed, provide supporting details for the response code

There are 21 functional tabs in the workbook and each tab has the following columns:

Table 4. Functional Requirements Columns and Descriptions

Column Name	Description
ID	County provided unique identification number associated with the requirement and defines the nesting logic and relationship of each of the requirements.
Category	County defined business process within the functional area. *Example: "Recording Transactions" process within the General Ledger functional area*
Requirement Statement	County provided detailed explanation of the requirement that outlines the expected functionality and possible outcome of the system.
Required?	County determined if the requirement is a... • <u>Must Have:</u> Defines a requirement that needs to be satisfied for the final solution to be acceptable. • <u>Should Have:</u> This is a high-priority requirement that should be included if possible, within the delivery time frame. Workarounds

Column Name	Description
	may be available for such requirements and they are not considered as time critical. • Could Have: This is a desirable or nice-to-have requirement (time and resources permitting) but the solution will still be accepted if the functionality is not included.
To be Completed by the Proposer	
Response Code	Proposer provided evaluation of the proposed solution's ability to meet a given requirement based on the response codes provided in Table 5.
Comment	Proposer provided explanation for why the vendor responded with a given response code.

When completing the Response Code and Comments column in the workbook, proposers should use the following response codes and include the corresponding details:

Table 5. Response Code Descriptions

Response Code	Description
S - Standard	Feature is delivered as a standard functionality in the proposed version of the software and will be implemented by the planned go-live date in accordance with agreed upon planning with the County
C - Customization	Feature is not included in the current software or future software releases. However, this feature could be provided with custom modifications. Please provide more information about custom modifications in the supporting comments column (if possible)
T - Third Party	Feature is not included in the current software or future software releases. However, this feature could be provided with integration with a third-party system. Please list the third-party system and provide details on integration in the supporting comments column (if possible)
F - Future	Feature is not currently included but will be available to the County in the future. Please indicate the estimated amount of time until available in the supporting comments column (e.g., 12 months)
N - Not Met	Requirement cannot be met or no response

The proposer should complete the workbook to the best of its ability. The proposer is not expected to meet 100% of the must-have requirements. The goal of the requirements self-evaluation is to help the County understand how the proposer's capabilities align with County needs. The

proposer's response to the functional area requirements will be used in the evaluation process as described in Section 4 Contract Award and Execution.

2.4 Technical and Integration Requirements

2.4.1 Overview

The County seeks to understand how the proposer meets the County's technical and application integration requirements. A list of the County's technical and integration requirements can be found in **Attachment 9 – Technical & Integration Requirements**. This document also serves as the proposer's response form, and the proposer should use this form to demonstrate how it meets each of the County's technical and integration requirements.

Of the 99 in-scope business applications currently being used, the County identified 53 that will need to integrate with the new system. Information about each application is provided in detail on Tab 4: Integrations of **Attachment 9 – Technical & Integration Requirements** Attachment Instructions

Attachment 9 – Technical & Integration Requirements, Tabs 1: General & Technical, 2: Security, and 3: Architecture. These tabs provide a list of the County's technical requirements. Proposers should follow the instructions provided in 2.3.2 when completing these tabs. These tabs have the same columns as described in Table 4. Proposers should reference Table 5 when completing the columns. The proposer should complete the workbook to the best of its ability. The proposer is not expected to meet 100% of must-have requirements. The goal of the requirements self-evaluation is to help the County understand how the proposer's capabilities align with the County's needs.

The Application Integrations tab, **Attachment 9 – Technical & Integration Requirements**, Tab 4: Integrations, lists current County applications that are expected to integrate with the proposed solution. A "system integration" involves the exchange of data, in real-time or batch mode to and/or from the external system and the ERP System with automation and/or workflow without the need for manual manipulation of the data format. Integrations in this list may not be required if the future ERP System can provide needed functionality, and the proposer should note this in their response when completing the workbook. The following information for each proposed application is provided by the County:

Table 6. Application Integration Tab Columns and Descriptions

Column Name	Description
ID	County provided unique identification number associated with the requirement and defines the nesting logic and relationship of each of the requirements.
System	Name of the current County application
Description	County provided explanation of how the application is currently used
Vendor	Name of the vendor that provides the application

Column Name	Description
Application type	Specifies whether the application is on-premises or cloud/hosted
Application Category	Specifies whether the application is custom, commercial off-the-shelf, or modified off-the-shelf
Database Platform	Specifies the database platform of the application
Type of Integration	Specifies the type of integration: • Send: The ERP system will only need to SEND data to the third-party application. • Receive: The ERP system will only need to RECEIVE data from the third-party application. • Both: The ERP system will need to both SEND and RECEIVE information to/from the third-party application.
Primary Functional Area	List which functional area the application primarily falls under

The following columns in Tab 4: Integrations should be completed by the proposer with the available responses when given:

Table 7. Application Integration Tab Available Responses

Column Name	Available Responses
Proposer Recommendation	• ERP: System can be replaced with functionality native to the new system • TPS: System can be replaced with a new Third-Party System (TPS) that has been proposed as part of the new solution • Keep: Keep the current system and build a permanent integration as part of the project
Temporary/ Permanent	• Temporary: Integration will be needed for limited amount of time during the project be will not be necessary after the project is completed • Permanent: Integration will be needed for the lifetime of the ERP System
Included in price? (Y/N)	• Yes • No
Comments	• Proposer provided explanation of any of the completed columns

The proposer's response to the technical and integration requirements will be used in the evaluation process as described in Section 4 Contract Award and Execution.

2.5 Implementation Services

The proposer is expected to provide implementation services for the solution either as a single software and implementation services vendor or multiple vendors responding as a software solutions provider and implementation services team. The County recognizes that each implementer may have a different approach to implementation and requests the implementer to provide the scope of services briefly described below. Additional details about the County's implementation requirements are outlined in Section 3 Proposer Instructions.

Project Management: Alongside the County, including its Project Management consultants, the implementer will provide overall coordination and management of the project including schedule management, risk management, issue management, stakeholder management, governance support, contract management, subcontractor management, and communications.

Requirements Validation and Future State Visioning: The implementer will conduct Requirement Validation and Visioning sessions with stakeholders to determine how the system will meet the County's business process requirements and goals. Implementer will discuss changes to business processes and document integrations, workflows, reports, customizations, and security roles.

ERP Solution Design: The implementer will coordinate with stakeholders to design the new system and develop Solution Architecture and Design Specification and Configuration Documents including an overview of the construction details of the system, system component interaction, the user integration based on the design sessions, and detailed Functional and Technical Specification Documents for each design component.

ERP Solution Development and Build: The implementer will build the new system including configuration, integration development, report creation, approved customizations, and other build tasks. Implementer will develop and execute a plan for prototyping to assist the County with configuration and business process decisions.

System Integrations: The implementer will develop and execute a plan for the new software to integrate with County defined applications. Refer to **Attachment 9 – Technical & Integration Requirements** for a list of identified applications that should integrate with the new system.

Data Conversion and Migration: The implementer will develop and execute a plan for data conversation, migration, and iterative mocks/trials from the legacy system to the new ERP system.

Testing: The implementer will execute a formal test plan that includes testing approach, types of testing, roles and responsibilities for testing, testing timeline, and testing expectations to ensure that the County's requirements are met, and the system is delivered free of defects.

Knowledge Transfer and Project Team Training: The implementer should develop a knowledge transfer plan and project/implementation team training plan to share and transfer system development and support knowledge with key County resources.

Organizational Change Management (OCM) and End-user Training: The implementer should work with the County to develop a people-centric organizational change management strategy that will help the County transition to new business processes and software. This plan should include the approach and plans for end-user training. The implementer will work with County resources to develop training materials and deliver end-user training.

Hypercare Support**:** The implementer shall provide a Hypercare period of 100 days after go-live for all functional areas with the option to scale up or down after each period close. Implementer must have appropriate resources to provide this support during business hours. The implementer will make corrections to any system defects, integrations, reports, approved customizations, system performance issues, system configurations or issues affecting the operation of the ERP system. Additionally, the implementer must work with the ERP system vendor(s) for any product defects that are impacting the operation of the product or its configuration.

2.6 Ongoing Support Services

The proposer is expected to provide ongoing support services for the solution. The County recognizes that each implementer may have a different approach to ongoing support services. The implementer should use the definitions provided in this section for the scope of ongoing support services. At a minimum, include dates and times support is offered, a Service Level Agreement (SLA) schedule to help manage expectations for service, and mitigating language (remedies and/or penalties) if service levels are not achieved.

Go Live Support**:** Services to assist the County after the Hypercare services term or at the request of the County. This service shall provide up to twelve (12) months of post Go-Live support to address bugs and code fixes discovered during live production usage. Support services includes but is not limited to installation of code fixes, product updates, patches, migrations for major software releases, and other types of proactive or reactive services.

Help Desk Support**:** Services to assist existing County Help desk resources with low level help desk support services. This package shall provide tiers of support ranging from intake, triage, routine technical support, and advanced technical and business support.

Professional Services Support**:** Provide professional services consulting support for solutions that require deep-dive or specialized support.

2.7 Proposed Deployment & Project Timeline

The proposer should assume a mid-2022 implementation start date. The proposer should include a realistic timeline for implementing the solution and helping the County achieve the goals outlined in this RFP in its proposal. The County has identified a proposed target timeline with key milestones for a phased implementation approach, but understands this timeline and sequence is subject to change based on each proposer's approach.

Figure 4. Proposed Deployment & Project Timeline
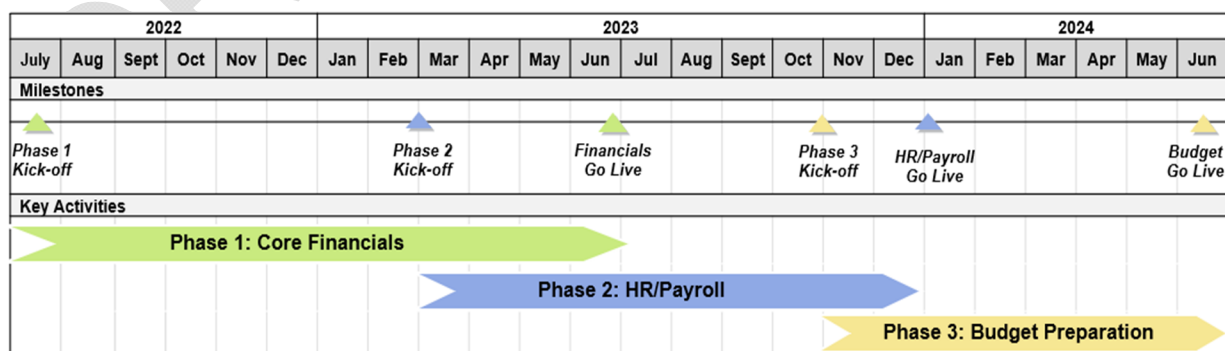
Section 3: Proposer Instructions

3.1 General Instructions

Proposers wishing to bid on this RFP must first register on the County of Santa Barbara Public Purchase website at http://countyofsb.org/gs/purchasing/bids.sbc. Successful registration will allow proposers to receive email updates to the proposal process and to upload final proposal packages. Proposers must submit the proposal on the Public Purchase website by the Submittal Deadline Date (Oct 11, 2021 at 2:00 PM PST) found on the cover page. Hard copy or email submissions will not be accepted.

CONFIDENTIAL AND PROPRIETARY DATA – All material received relative to this reply may be kept confidential until such time an award is made. It then becomes public information. If any part of your reply is intended to remain confidential, the Proposer must so clearly identify and place this information in a separate envelope and include information supporting the claim of confidentiality (e.g., trade secrets). Any information, confidential or otherwise, required for the evaluation of the RFP and resulting in any subsequent award to the successful Proposer, would be public information and subject to public disclosure. No reply shall be marked "Proprietary", "Confidential", or in any other way marked to inhibit compliance with public record requirements.

Proposer shall safeguard all information and data provided by the County. Further, Proposer shall not sell or make available data or mailing lists compiled from data received from the County without the express written approval of the County Executive Office and without appropriate remuneration to the County.

Trade secrets must be clearly marked and identified as such, including by placing this information in a separate envelope as described above. All such trade secrets may be subject to such disclosure pursuant to the California Public Information (Open Records) Act. The Proposer agrees at its expense to protect the County from claims involving infringement of patents or copyrights. The County reserves the right to adopt or use for its benefit, any concept, plan, or idea contained in any response. The County also reserves the right to inspect the Proposer's Agreements with its suppliers before making any award for the purpose of ascertaining whether the Proposer has the necessary operational systems in place for performing any possible Agreement. The County may also consult with clients of the Proposer during the evaluation of replies. Such consultation is intended to assist the County in making any possible Agreement award, which is most advantageous to the County.

3.2 Proposal Format

The proposer is expected to upload a copy of the following four files into the Public Purchase website using the file name and format described below:

Table 8. Proposal Response Files & Format

#	File Name	File Format
1	CoSB ERP Software and Implementation Services Response – VENDOR NAME	Indexed and Searchable PDF

#	File Name	File Format
2	Attachment 8 – Functional Requirements – VENDOR NAME	Excel
3	Attachment 9 – Technical & Interface Requirements – VENDOR NAME	Excel
4	Attachment 11 – Pricing Sheet – VENDOR NAME	Excel

3.3 Submission Response Requirements

The written Indexed PDF response should be organized in the following order and the appropriate attachments should be incorporated into their respective sections.

Table 9. PDF Response Outline

Section	Title	Supporting Attachments	Page Limit
1	Executive Summary	N/A	1 page
2	Company Profile / Background	Attachment 6	5 pages
3	Client References	Attachment 10	2 pages per reference, maximum of three
4	Proposed Vendor Team/Staffing Plan	Attachment 7	2 pages per team member
5	Proposed Application Software and Computing Environment	N/A	15 pages
6	Implementation Plan	N/A	20 pages
7	On-going Maintenance and Support	N/A	5 pages
8	Software Licensing and Maintenance Agreements	N/A	N/A
9	Proposed Service Level Agreements	Attachment 12	N/A

3.3.1   SECTION 1: Executive Summary

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.

3.3.2   SECTION 2: Company Profile/ Background

Complete **Attachment 6 – Company Background Form** on general information about your company. Additionally, please include a narrative response to the following:

- Work Philosophy: Provide a synopsis of the work philosophy followed by your company when engaged in ERP implementation projects. Explain how that work philosophy may align with the values of the County.
- Financial Information: Submit the most recent audited or reviewed financial statements as an attachment to your proposal for both the software provider and the system implementer. 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.

3.3.3   SECTION 3: Client References

Leverage **Attachment 10 – Reference Form** to provide the name and contact information for three (3) relevant references that previously or are currently contracted with your company. Include a description 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.

3.3.4   SECTION 4: Proposed Implementer Team/Staffing Plan

Complete **Attachment 7 – Staffing Resume Template** for all implementer project team members (including subcontractors). All project team members and any subcontractors must perform all project work in the US. Additionally, provide the following information about the proposed implementer project team:

- A visual representation of the proposed project team, assigned roles, and its structure
- Approach to managing project team turn over

Subcontractors: Disclose whether any subcontractors will be used for the project. Describe why the use of any proposed subcontractors may benefit the project and describe your plan for managing the subcontractors.

Background Checks: Contractor must provide Confidentiality and Backgrounds Checks for all employees, agents, subcontractors, or others performing work under this Contract by the later of ten (10) days from Contractor's execution of the Contract or two (2) days from execution by County. Contractor shall confirm that all individuals working on or with access to County data shall complete and pass a background check. The County may request a summary of any background check to the extent applicable to the services provided by the contract and allowed by law.

3.3.5   SECTION 5: Proposed Application Software and Computing Environment

The proposer must present, in detail, the key features and capabilities of the proposed application software as it relates to the County. The proposer should provide in succinct narrative form (at most one paragraph per item) answers to below topics. This section must not exceed 15 pages.

Modular Integration:

- What proposed modules are fully integrated (part of the base software) into the main ERP application?
- What are the proposed third-party applications?
- If there are proposed third-party applications, explain how they are integrated into the main ERP application (e.g., Do the third-party applications share security definitions and similar menu structures?)
- Describe the County's options for the long-term support for the third-party software.
- What processes are handled in "real-time"?
- What processes require batch processes?

Network Environment:

- Describe the optimal network environment required to utilize the proposed software. In the event that there is more than one suitable network configuration, list all options, including the relative strengths and weaknesses (if any) of each.

Software version:

- Detail the percentage of live customers that are utilizing the proposed version of the software. Please provide a breakdown of customers (by percentage) for each version of the software currently in use. The vendor must provide during implementation the most current version of the software. All known posted and identified fixes to "bugs" within the system must also be applied at time of implementation.

Administration/Development Toolsets:

- What application toolsets are included with the software?
- What unique programming requirements are there?
- What tools are available to customize the software (e.g., add fields, create new tables, change menus, etc.)?

Application Security:

- What security tools and/or application controls are included with the software?
- How does your application restrict access to the following: administrative tool access, application access, menu access, record access, field access, and querying/reporting access?
- What is included in the user security profile?
- How is the security profile defined?
- Describe how the application utilizes role based and user-based security

Reliance on Best Business Practices/Degree of Process Reengineering Imposed or Required:

- Please describe best business practices that are built into your software. How do these practices pertain to County operations in particular?

Competitive Advantage:

- For each module, please describe any competitive advantages of your system which would distinguish your system from the competition.

Workflow Capabilities:

- How does workflow (electronic routing of documents) in your system operate?
- How are workflow rules established?
- How does workflow interface with popular e-mail and office programs, such as Microsoft Outlook and Office 365?

- Does your workflow allow for (a) approvals, (b) notifications, (c) review (d) send back?
- Do Workflow approvals allow for proxy?
- Does your workflow support conditional steps?

Upgrade Tools:

- Please explain your Workflow Approval Framework
- How are patches and fixes deployed?
- How are upgrades applied?
- What happens to software customizations (e.g., user-defined tables and fields) during the upgrade?
- How long does a typical upgrade take to implement, in an organization the size of the County?

Reporting & Analysis Tools:

- What reporting tools are available?
- What data visualization or dashboarding tools are available?
- Do the same security definitions apply to the reporting tools as to the main ERP software?
- How many standard reports, by module, come "out of the box" with the software? Please provide an attachment that lists your reports to your response.

Internal functional and technical support:

- What is the recommended make-up of the internal (County) functional and technical support team post-implementation?
- What is the number of staff and skill set required to adequately maintain the system after the implementation partner has left?

Data Security

- Describe your Security Certifications, Accreditations, Controls and Audits
    - Please include a copy of your most recent SOC 1 Type 2 and SOC 2 Type 2
- Data Centers
    - Where will data centers (production and backup/DR/test/etc.) be located?
    - What Uptime Institute tiers are your data centers for this engagement?
    - Describe the physical security measures in place, including access to equipment, systems, and operating environments for the data centers that will be used for the County.
    - Describe infrastructure redundancy and protections against environmental hazards in the facilities used to house the County's data.
    - Please include a copy of your Disaster Recovery and Business Continuity plans for production and non-production data centers
- Application Security
    - Describe your process for implementing application security, including:
        - Development lifecycle

- ▪ Static and dynamic code scanning
- ▪ Network and application vulnerability assessment process
- Database Security
  - o Describe your process for implementing database security, including:
    - ▪ Database Environment utilized
    - ▪ Applied Best Practice security schemas to protect system databases
    - ▪ Database vulnerability assessment processes
  - o Describe your data and system backup procedures, including:
    - ▪ Ability to prevent on-line attacks to backup systems and/or the protection schema to insure full recovery of backup restorations in case of events such as Ransomware.
    - ▪ Insure data integrity.
- Data Privacy
  - o Describe what access the software vendor will have to customer (County) data
  - o Describe what access external parties (not the vendor or the County) will have to County data.
    - ▪ Will the County have authority to approve / deny any requests for County data from any third parties?
  - o Describe the software's ability to ensure compliance with the CCPA (California Consumer Privacy Act)
  - o Describe the software's ability to ensure compliance with the HIPAA (Health Insurance Potability and Accountability Act)

3.3.6   SECTION 6: Implementation Plan

The proposer must present in detail an implementation plan for the proposed solution. The proposer may provide additional elements if they add value to the overall implementation plan. The proposer should also describe any assumptions related to roles, responsibilities, and level of effort expected of County staff. This section must not exceed 20 pages.

General Implementation Approach: The County expects the proposer to provide a detailed plan for implementing the proposed system including:

- Proposed implementation steps within each phase
- Description of implementation tasks and activities and resulting deliverables
- Advantages and risks of the proposed plan
- Approach to implementing in a mandatory remote/offsite work setting due to something beyond our control (e.g. pandemic guidelines)
- Approach to running legacy applications and the ERP software during the transition period, if any are proposed

Project Management: The County expects the implementer to provide project management resources to ensure the successful implementation and go-live of the proposed solution. The proposer's implementer project team will work with the County's ERP Project Management Office. The proposer should describe the implementer's approach to the following:

- Documenting and managing configurations
- Ensuring that implementation of the solution is delivered on time and within budget
- Coordination and communication between all stakeholders
- Managing and escalating project scope changes, actions, issues, risks, and decisions throughout the project
- Use of project management tools and accelerators

Requirements Validation and Future State Visioning: As part of its move to the ERP system, the County expects to standardize processes and eliminate redundant systems. The proposer should describe the implementer's approach to the following:

- Conducting visioning sessions with multiple stakeholders
- Working with different departments to redesign business processes and policies
- Updating the Requirements Traceability Matrix
- Conducting a fit-gap analysis and addressing any gaps

ERP Solution Design: The County expects the proposer to describe the implementer's approach to the following:

- Coordinating and facilitating design and configuration sessions
- Designing and managing configurations within the ERP system

ERP Solution Development and Build: The proposer should describe the implementer's approach to the following:

- Performing development, build and configuration activities within a cloud-based ERP system
- Demonstrating solutions early and iteratively
- Organizing completed builds and configurations into major releases or versions
- Demonstrating major releases or versions to users and project stakeholders Developing and rolling out approved major releases or versions

System Integrations: The County expects the implementer to design and develop system integrations. **Attachment 9 – Technical & Interface Requirements** provides a list of the applications that need to potentially integrate with the new solution. The proposer should describe the implementer's approach to the following:

- Verifying integration requirements with other applications
- Identifying and/or confirming applications that should integrate with the new ERP system
- Integrating the ERP system with other applications integration tools, integration methods, and integration standards

Data Conversion and Migration: The County expects the proposer to support the conversion of both electronic and manual data into the proposed solution. The proposer should describe the implementer's approach to the following:

- Identifying and mapping conversion data

- Extracting, transforming and loading conversion data
- Managing the conversions including coordinating with County departments
- Retaining legacy data
- Validating and reconciling converted data

Testing: The proposer should describe the implementer's approach for the following:

- Developing and executing a testing strategy
- Developing test cases, test scripts, and test data
- Executing various types testing and reporting on results

Knowledge Transfer and Project / Implementation Team Training: The proposer should describe the implementer's approach for the following:

- Training the project/implementation team, including but not limited to:
  o General timeframes for when training will be completed
  o Nature, level, and length of training for technical and user training
  o Required staff, skills, and capabilities for the proposed training plan
  o Any tools to support training
  o Types of documents and/or manuals provided
- Tracking and measuring knowledge transfer activities
- Maintaining documentation throughout implementation and the ERP life cycle

Organizational Change Management (OCM) and Training: The proposer should describe the implementer's approach for the following:

- Implementing Organizational Change Management
- Assessing different audience concerns and managing stakeholder communications
- Training functional and technical team members
- Training end-users
- User-acceptance training
- Training functional and technical team members and end users, including but not limited to:
  o General timeframes for when training will be completed
  o Nature, level, and length of training for technical and user training
  o Required staff, skills, and capabilities for the proposed training plan
  o Any tools to support training
  o Types of documents and/or manuals provided

Hypercare Support: The proposer should describe its approach to the following:

- Executing Hypercare support
- Staffing available to the County during the Hypercare support period
- Managing any product defects

3.3.7   SECTION 7: On-going Maintenance and Support

The proposer is expected to perform post-implementation support. The proposer should describe its approach to the following:

- Assisting the County in establishing the maintenance and operations structure necessary to support the proposed solution
- Transitioning the County from implementation to operations and maintenance of the proposed solution including any anticipated mid-implementation upgrades
- Providing support services for:
    - Go Live
    - Help Desk
    - Professional Services Support
- Notifying the County of and delivering:
    - Software performance issues or concerns
    - Upgrades, enhancements, and any related training

3.3.8   SECTION 8: Software Licensing and Maintenance Agreements

The proposer will provide any software licensing, SaaS, maintenance, or third-party agreements that are required to implement the proposed vendor's solution

3.3.9   SECTION 9: Proposed System Service Level Agreement

The proposer will complete **Attachment 12 – System Service Level Agreement** to identify required service level guarantees for the software system provider. For each service, the proposer will indicate the metric used to measure the service quality, the proposed requirement (target for service), who is responsible for identifying a performance issue, and the proposed remedy/penalty if guarantee is not met.

3.4 Supporting Response Attachments

The following files will be submitted separately in their original format:

Section	Title	Supporting Attachments
10	Responses to Functional, Technical Requirements, and Integration Requirements	Attachments 8 and 9
11	Cost Proposal	Attachment 11

3.4.1   SECTION 10: Responses to Functional, Technical Requirements, and Integration Requirements

Proposers responses to the Functional Requirements and Technical and Integration Requirements must be provided in the following attachments: **Attachment 8 – Functional Requirements** and **Attachment 9 – Technical & Integration Requirements.** Vendors are required to use the format provided and add explanatory details as necessary in the "comments" column or in a separate sheet that references the requirement number. Instructions and additional details on how to complete the requirements traceability matrices are provided in **Sections 2.3 Functional Requirements** and **2.4 Technical and Integration Requirements.**

3.4.2   SECTION 11: Cost Proposals

Proposers must provide their cost breakdown by completing **Attachment 11 – Pricing Sheet.** Specific instructions for completing the workbook are included in on the Instructions tab. The Fee Schedule must include a detailed breakdown for licenses, SaaS hosting, implementation services, travel, third-party products, optional services, and professional rates. The County encourages proposers to submit these costs based on transaction or volume-based license pricing and not on per seat or per user basis. Please refer to Table 1. Key Statistics/Metrics for the County's transactions and volumes. For labor costs, specify the estimated number of hours. For travel costs, reimbursable expenses must be consistent with **Attachment 15 – County's Employee Expense Reimbursement Policy.** The County will use acceptance criteria for each milestone presented on **Attachment 11 – Pricing Sheet** to determine payments. Milestone acceptance criteria can be found on **Attachment 17 – Milestone Acceptance Criteria.**

Section 4: Contract Award and Execution

4.1 Evaluation & Selection

4.1.1   Evaluation Teams

All stages of the evaluation process will involve **The Evaluation Team.** The Proposal Evaluation Team (the "Evaluation Team") will consist of members from the County that represent the central administrative functions of Finance, Information Technology, Human Resources, and Budgeting and non-central administrative users such as department Chief Financial Officers. The Evaluation Team members will be responsible for evaluating the quality of the proposed software to assess its ability to meet the County's business requirements, as well as assessing implementation strategies, prices, and other evaluation criteria. The Evaluation Team's objective is to make a final vendor recommendation to the Board of Supervisors.

The **Vendor Evaluation Coordinator** is a non-voting member of the Evaluation Team who will coordinate with the proposers on vendor demonstrations and interviews.

The vendor demonstration evaluation component will also introduce additional County staff. **The Vendor Demonstration Evaluation Team** will consist of the Evaluation Team, the Vendor Evaluation Coordinator, and Functional Area Representatives. The Vendor Demonstration Evaluation Team members will be responsible for evaluating the quality of the vendor demonstration and how well the proposer meets the needs of the County.

4.1.2   Evaluation & Selection Process

The Evaluation Team will review all proposals received by the opening date and time as part of a documented evaluation process. The Evaluation process will consist of the following:

1. **Initial Screening:** Proposals will be screened for responsiveness in meeting the requirements of this RFP.
2. **Requirements Evaluation** – The proposer's self-evaluation of their ability to meet the specific functional, technical, and integration requirements set by the County will be reviewed for the vendors ability to address these requirements.

3. **Proposal Evaluation** – Proposals will be reviewed with a focus on the non-requirement factors included in the proposer's proposal such as vendor profile, implementation services approach, ongoing support and pricing.
4. **Vendor Shortlist** – The Evaluation Committee will use the following selection criteria and weight to evaluate and rank proposals to select the top finalists for Vendor Demonstrations.

Table 10. Shortlist Selection Criteria and Weight

Criteria	Weight
Implementation Services	30%
Functional Requirements	25%
Technical and Integration Requirements	20%
Vendor Profile	10%
Pricing / Total Cost of Ownership	10%
Ongoing Support	5%

5. **Reference Checks:** Prior to inviting proposers to conduct Vendor Demonstrations, the County will conduct reference checks for each of the references provided by the proposer.
6. **Vendor Demonstrations:** Vendor Demonstrations will be extended to finalists with confirmed references. The County will provide each selected proposer with a script and use case scenarios in addition to a demonstration schedule. The demonstrations will be used to evaluate the software in action and interview the implementation providers. The demonstration would take place over multiple days and is broken into modules based on functional area.
7. **Selection of Finalist:** The Evaluation Committee will select the proposer with the highest ranked proposal and vendor demonstration as the recommended finalist.

As part of the evaluation, the County reserves the right to request additional information or take any other action necessary to perform a thorough and objective evaluation of each proposer's response.

4.1.3   Contract Award

Award may be made to the proposer whose offer is the most advantageous to the County from the standpoint of suitability to purpose, quality, service, previous experience, price, ability to deliver, or for any other reason deemed by the Purchasing Agent to be in the best interest of the County and, as such, will not be determined by price alone. The County expressly reserves the right, in its sole judgment, to award the RFP without discussion with the proposer relative to their replies. The County expressly reserves the right, in its sole judgment, to accept or reject any or all replies, with or without cause, modify, alter, waive any technicalities or provisions, or to accept the reply(s) which, in its sole judgment, is determined to be the best evaluated offer resulting from negotiation, taking into consideration the relative importance of other evaluation factors set forth in the RFP.

4.1.4   Protest Procedure

Protests regarding the contract award must be submitted in writing via e-mail to the Purchasing Agent, Phung Loman, at ploman@countyofsb.org no later than 5 PM PST of the fifth (5) business days following the posting of the written notice of Intent to Award to Public Purchase. Public Purchase is a web-based eProcurement service that Santa Barbara County Purchasing partners with to post bid notifications and transmittal of bid solicitations. The award protest must include:

- The name, address, and telephone number of the protester;
- The solicitation title and due date;
- A detailed statement of the legal and/or factual grounds for the protest.

It is the Protestor's responsibility to ensure that the Purchasing Agent receives its Protest. The County is not responsible for e-mail transmission failures due to error, file size, or any other factor and encourages Protestors to confirm receipt.

Protestor must also submit, in writing, a copy of the Protest directly to Protested vendor.

All responses and replies must be in writing. If any Protested vendor desires to respond to the Protest, the Response must be submitted in writing via e-mail to the Purchasing Agent within five (5) business days of the date the Protest was first delivered to all Protested vendors

A proposer's failure to comply with these procedures will constitute a waiver of any right to further pursue a bid protest, including filing a Government Code Claim or initiation of legal proceedings.

Throughout the protest review process, the County has no obligation to delay or otherwise postpone an award of a contract. The Purchasing Agent shall attempt to resolve the Protest in a fair and equitable manner and shall render a written decision to the Protestor within fifteen (15) business days. The County reserves the right to extend the deadline for good cause. The decision will be transmitted via e-mail to the Protestor. The decision of the Purchasing Agent will be final.

Section 5: Attachments

5.1 **Attachment 1: County Department Information**

5.2 **Attachment 2: Current Countywide Process Maps**

5.3 **Attachment 3: Current Applications Interface Diagrams**

5.4 **Attachment 4: Applications Under Consideration for Replacement**

5.5 **Attachment 5: Submittal Checklist**

5.6 **Attachment 6: Company Background Form**

5.7 **Attachment 7: Staffing Resume Template**

5.8 **Attachment 8: Functional Requirements**

5.9 **Attachment 9: Technical & Integration Requirements**

5.10 **Attachment 10: Reference Form**

5.11 **Attachment 11: Pricing Sheet**

5.12 **Attachment 12: System Service Level Agreement**

5.13 **Attachment 13: Additional Responder Responsibilities and Requirements (Terms & Conditions)**

5.14 **Attachment 14: Template for Agreement for Services of Independent Contractor**

5.15 **Attachment 15: County's Employee Expense Reimbursement Policy**

5.16 **Attachment 16: Indemnification and Insurance Requirements**

5.17 **Attachment 17: Milestone Acceptance Criteria**