



**County of Orange
Auditor-Controller**

**Request for Proposal
for
Enterprise Resource Planning Software as a Service System**

RFP No. 003-2365101-LB

Table of Contents

SECTION A: RFP INTRODUCTION AND INSTRUCTION TO PROPOSERS	4
A.1 Purpose of the RFP	4
A.2 About the County	4
A.3 County Organization Chart	6
A.4 Project Background	7
A.5 Notice to Proposers	8
A.6 Conditions	8
A.7 County's Rights Reserved	9
A.8 Communication Regarding this RFP	10
A.9 Questions and Requests for Clarification.....	10
A.10 Pre-Proposal Conference.....	10
A.11 Procurement Schedule	10
A.12 Evaluation Process	11
A.13 Minimum Qualifications.....	12
A.14 Evaluation Criteria	12
A.15 Proposal Submission	14
A.16 Proposal Copies	15
A.17 Proposal Format.....	15
A.18 Confidential and Proprietary Information	16
A.19 Waiver of Requirements.....	16
A.20 Protest Procedures	16
A.21 County of Orange OCLSB and DVBE Preference Policies	17
SECTION B: SCOPE OF PROJECT	20
B.1 Project Scope – Functional Overview	20
B.2 Project Scope – System Replacement	20
B.3 Project Scope – Current and Future State	22
B.4 Project Scope – Organization	50
B.5 Project Timeline	51
B.6 Implementation Approach.....	52
B.7 Interfaces.....	53
B.8 Data Conversion	53
B.9 Project Governance and Staffing	53
B.10 ERP System Support Program.....	57
SECTION C: DETAILED SUBMITTAL REQUIREMENTS	58
C.1 Proposal Section 1 – Summary.....	58
C.2 Proposal Section 2 – Software Requirements	59
C.3 Proposal Section 3 – Software Proposal.....	60
C.4 Proposal Section 4 – Professional Services.....	61
C.5 Proposal Section 5 – County Forms.....	62
C.6 Proposal Section 6 – Cost.....	62
C.7 Proposal Section 7 – References.....	62

SECTION D: ATTACHMENTS	63
D.1 Attachment 1 – RFP Submittal Checklist	63
D.2 Attachment 2 – Cover Page	63
D.3 Attachment 3 – Company Profile.....	63
D.4 Attachment 4 – ERP Requirements.....	63
D.5 Attachment 5 – Software Products	63
D.6 Attachment 6 – Software Background	63
D.7 Attachment 7 – Software Modernization Options.....	63
D.8 Attachment 8 – SaaS	63
D.9 Attachment 9 – Proposed Service Level Agreement	63
D.10 Attachment 10 – On-Premises Requirements	63
D.11 Attachment 11 – Professional Services Background	63
D.12 Attachment 12 – Level of Effort.....	63
D.13 Attachment 13 – County Of Orange Campaign Contribution Form	64
D.14 Attachment 14 – OCLSB and DVBE Form	64
D.15 Attachment 15 – Cost.....	64
D.16 Attachment 16 – References	64
D.17 Attachment 17 – Model Contract.....	64
D.18 Attachment 18 – County of Orange Security Standards	64
D.19 Attachment 19 – County of Orange Records Retention Schedule	64

Section A: RFP Introduction and Instruction to Proposers

A.1 Purpose of the RFP

The County of Orange Auditor-Controller (“County”) is soliciting proposals (“Proposals”) from qualified proposers (“Proposers”) to provide an Enterprise Resource Planning Software as a Service system (“ERP System”), including any necessary related applications to meet software requirements defined in this Request For Proposal (“RFP”), and services necessary to install the software and meet professional service expectations defined in this RFP (“Services”).

This RFP contains the following Sections:

- Section A: RFP Introduction and Instruction to Proposers
- Section B: Scope of Project
- Section C: Detailed Submittal Requirements
- Section D: Attachments

A.2 About the County

The County of Orange is located in Southern California and is bordered on the north by Los Angeles and San Bernardino Counties, on the east by Riverside County, on the southeast by San Diego County and on the west and southwest by the Pacific Ocean. The County occupies a land area of 798 square miles with a coastline of 42 miles serving a population of approximately 3 million. It is the third most populous county in the State of California and the sixth most populous in the nation.

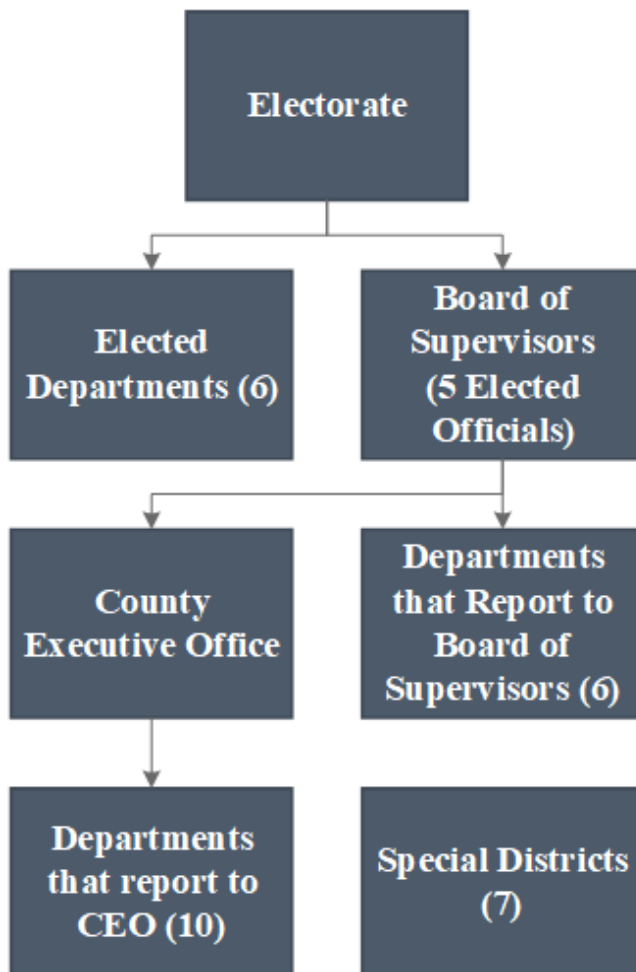
Below are statistics that pertain to the County’s ERP System.

Metric	Volume	Period
County Population	3,149,004	2022
County Adopted Budget (All Funds)	\$9,327,621,118	FY 2023-24
Budgeted Regular Positions	18,775	FY 2023-24
Extra Help Positions	801	Current
W-2's Issued (as of 11/20/23)	21,455	2023
Purchase Orders	11,951	FY 2022-23
Contracts Issued	3,800	FY 2022-23
Journal Entries	48,663	FY 2022-23

Metric	Volume	Period
Number of Active Funds	561	FY 2023-24
1099s processed	2,750	2022
Vendors (Active)	21,858	Current
Payroll Checks Issued	500,125	2022
Total financial system users (internal and external)	3,744	Current
External users of County's financial system (special districts)	161	Current
AP Checks Processed for Vendor Payments	182,052	FY 2022-23
ACH Payments Sent for Vendor Payments	112,037	FY 2022-23
Unions	11	Current
Bargaining Units	21	Current
Fiscal Year End	June 30	Current
Number of County Departments with Employees	27	Current
Special Districts that Utilize County's ERP System	7	Current
Schedule of Expenditures of Federal Awards (SEFA) Grant Total	\$1,336,340,401	FY 2022-23
Number of SEFA Programs (approximate)	246	FY 2022-23

* Note: Pricing for ERP System based on information provided in this table should assume usage by the County as outlined further in Section B.4. Discrepancies in definitions or specific contract language that would require the County to purchase additional licenses may result in disqualification. Proposers should ensure that license quantities are sufficient to cover all County employees and operations. For more information on the County, please review the County's Financial Reports found at <https://ocauditor.gov/reports/acfrreports/> and Budget Document found at <https://cfo.ocgov.com/budget/fiscal-year-2023-2024/oc-recommended-budget-fy-2023-24>.

A.3 County Organization Chart



County Departments and Special Districts	
Elected Departments	
Assessor	
Auditor-Controller	
Clerk-Recorder	
District Attorney-Public Administrator	
Sheriff-Coroner	
Treasurer-Tax Collector	
Board of Supervisors Offices	
First District	
Second District	
Third District	
Fourth District	

County Departments and Special Districts
Fifth District
Departments that report to the Board of Supervisors
Clerk of the Board
County Counsel
County Executive Office (CEO)*
Internal Audit
Office of Campaign Finance & Ethics Commission
Office of Independent Review
Departments that report to CEO*
Child Support Services
Health Care Agency – Public Guardian
John Wayne Airport
OC Community Resources
OC Public Works
OC Waste & Recycling
Probation
Public Defender
Registrar of Voters
Social Services Agency
Special Districts that use the County’s ERP System**
Children and Families Commission of Orange County
Law Library
Orange County Cemetery District
Orange County Employees Retirement System
Orange County Local Agency Formation Commission
Orange County Transportation Authority
Superior Court

*Note that CEO includes Human Resources/Employee Benefits, Orange County IT, Real Estate, and the County Chief Financial Officer. The County Procurement Officer and Office of Risk Management report to the County Chief Financial Officer.

**See Section B.4, Project Scope – Organization for a breakdown of use by functionality.

A.4 Project Background

The County has utilized software from CGI Technologies and Solutions, Inc. (CGI Advantage) for over thirty years. The system has been upgraded throughout that period; the County last upgraded its Financial/Procurement system to version 3.10.0.1 in 2016, the Human Resources/Payroll system to version 3.11 in 2017, and the Performance Budgeting System to version 4.2022.FS2 in 2022. Besides CGI Advantage, the County has implemented and maintained numerous ancillary systems, and interfaces to meet the County’s ERP business needs that have not been incorporated with the CGI products. In addition, the County has other business needs and requirements that are not currently being addressed by any systems or workarounds.

On January 11, 2022, the County’s Board of Supervisors approved a contract with Intueor Consulting, Inc. (“Intueor”) to perform an analysis of the County’s ERP, business processes, ancillary systems, and interfaces. The ERP market and associated offerings, in conjunction with the widespread adoption of Cloud computing, have rapidly evolved to provide enhanced flexibility, functional and technical capabilities, computing power, and seamless integration with other supporting systems, business intelligence, and reporting tools. In addition, the Intueor study found that the current ERP system, as implemented, meets approximately 60% of the County's needs. In furtherance of Intueor’s recommendation to issue an RFP to promote growth and scalability as well as for leveraging the advantages of next-generation offerings in the ERP marketplace, the County is pursuing a Software as a Service (SaaS) solution and related system integration services. To read a copy of the Intueor report, visit our website at: <https://ocauditor.gov/erp-application-alternatives-assessment-report/>.

A.5 Notice to Proposers

Failure to carefully read and understand this RFP may cause the Proposal to be out of compliance, rejected by the County, or legally obligate the Proposer to more than it may intend. Information obtained by the Proposer from any officer, agent, or employee of the County shall not affect the risks or obligations assumed by the Proposer or relieve the Proposer from fulfilling any of the RFP conditions or any subsequent contract conditions. Attempts by or on behalf of a Proposer to contact or to influence any member of the selection committee, regarding the acceptance of a Proposal may lead to elimination of that Proposer from further consideration. Only Proposals in the format described in the RFP and its attachments will be deemed compliant. Proposers should also note several key contract assumptions that have been listed in Section D of this RFP. Failure to materially adhere to RFP requirements may lead to Proposal disqualification or reduced evaluations.

A.6 Conditions

- A.6.1** In the event that not all RFP requirements are met with products and services provided by one firm, Proposers are encouraged to partner with another firm to submit a joint Proposal. Failure to meet all functional requirements will not automatically disqualify a firm. However, the County will evaluate each Proposal to determine if its overall fit is in the best interests of the County.
- A.6.2** Joint Venture Prohibited: Where two or more Proposers desire to submit a single Proposal in response to this RFP, they must do so on a prime/subcontractor basis rather than as a joint venture. The County intends to contract with a single Proposer or multiple Proposers, but not with multiple Proposers doing business as a joint venture.
- A.6.3** All Proposals and any subsequent clarification or response to the County’s questions provided by the Proposer shall be valid for a minimum of 365 days.
- A.6.4** Proposals may be changed or withdrawn prior to the Proposals Close Date and Time of April 25, 2024, at 4 PM PT. All such changes and withdrawals must be submitted in writing and received by the County prior to the Proposal Close Date and Time. After the Proposal Close Date and Time, no change in prices or other provisions prejudicial to the interest of the County or fair competition shall be permitted.
- A.6.5** The County does not require and neither encourages nor discourages the use of lobbyists or other consultants for the purpose of securing business. Please note that, effective January 1, 2023, any contribution by a Proposer or its agent to any County officer may be subject to the Levine Act (Government Code Section 84308).
- A.6.6** The County requires a valid UEI (Unique Entity Identifier) number prior to Contract award. If

needed, your company may obtain one at no cost at <https://sam.gov/>. If you are unable to provide/obtain a UEI number, please indicate as such in your Proposal.

- A.6.7** The County requires Proposer's be able and willing to provide the required insurance coverage and certificates as set forth in RFP Attachment 17, Model Contract, Article O, Insurance Provisions.
- A.6.8** If selected, Proposer will be requested to submit a complete financial statement for the three most recent years, prepared in accordance with generally accepted accounting principles and audited, if available. The financial statement must include a balance sheet and income statement. Proposer must be prepared to substantiate all information shown. When requested by County, Proposer must provide Financial Statements regardless of private or public ownership/holding. Substitutes to the Financial Statements requirement will not be accepted. The County, in its sole and absolute discretion, may consider the Proposal to be non-responsive and removed from consideration if the Proposer does not provide the required Financial Statements.

A.7 County's Rights Reserved

- A.7.1** The County reserves the right to select the Proposal (or combination of Proposals) which in its sole judgment best meets the needs of the County. The County has established an Evaluation Committee that will make a recommendation to the County Board of Supervisors. Cost will not be the sole criterion for recommending approval of a contract.
- A.7.2** The County's evaluation criteria will cover major risk areas for the project as listed in Section A.13, Evaluation Criteria, of this RFP.
- A.7.3** The County reserves the right to reject any or all Proposals and to waive technicalities and informalities when such waiver is determined by the County to be in the County's best interest.
- A.7.4** The County may modify this RFP by issuance of one or more written Addenda. Addenda will be posted to the OpenGov website. Proposers are responsible for reviewing any posted Addenda and ensuring that Proposals meet requirements of any posted Addenda.
- A.7.5** The County reserves the right to meet with select Proposers at any time to gather additional information. Furthermore, the County reserves the right to remove or add functionality (i.e., modules, components, and/or services) at any time prior to execution of a final contract.
- A.7.6** This RFP does not commit the County to award a contract.
- A.7.7** All Proposals submitted in response to this RFP become the property of the County and public records, and as such, may be subject to public disclosure. Proposers are not to include confidential information in their Proposals. (See Section A.18, Confidential and Proprietary Information.)
- A.7.8** Pre-contractual expenses are not to be included in the proposed cost as listed in Attachment 15, Cost. Pre-contractual expenses are defined as including, but are not limited to, expenses incurred by the Proposer in: (a) preparing its Proposal in response to this RFP; (b) submitting that Proposal to the County; (c) negotiating with the County any matter related to the Proposer's Proposal; and (d) any other expenses incurred by the Proposer prior to the date of award and execution, if any, of the Contract.
- A.7.9** The County reserves the right to: (a) negotiate with any Proposer(s) concurrently or non-concurrently as necessary to serve the best interests of the County; (b) withdraw this RFP in whole or in part at any time without prior notice and without award of a contract to any Proposer responding to this RFP; (c) award its total requirements to one Proposer or to apportion those requirements among two or more Proposers; and (d) reject any response if it is conditional,

incomplete, or substantially deviates from the services sought by this RFP. In addition, negotiations may or may not be conducted with Proposers; therefore, each Proposal should contain Proposer's most favorable terms and conditions, as the selection of a Proposal may be made without discussion or negotiation with any Proposer.

A.8 Communication Regarding this RFP

- A.8.1** All questions from prospective Proposers regarding this RFP must be through the County's bidding system, OpenGov, at <https://procurement.opengov.com/portal/ocgov>.
- A.8.2** Except as explicitly provided by this RFP in Section A.10 and A.12, real-time communication (whether remote or in-person) between any Proposer or prospective Proposer and the County regarding the requirements of this RFP will not be permitted.

A.9 Questions and Requests for Clarification

- A.9.1** The County has attempted to provide all information pertinent to this RFP. It is the responsibility of each Proposer to review, evaluate, and, where necessary, request any clarification prior to submission of a Proposal. If any person contemplating submitting a Proposal for the proposed Contract is in doubt as to the true meaning of any part of this RFP or finds discrepancies in or omissions from the specifications, they may submit a written request for clarification to the Deputy Purchasing Agent (DPA), Lorena Bogarin, via OpenGov (RFP # 003-2365101-LB).
- A.9.2** Written questions and requests for clarification must be submitted in OpenGov before 4:00 PM (Pacific Time) on March 7, 2024.
- A.9.3** All questions concerning the RFP must reference the RFP section heading.
- A.9.4** If the County considers any clarification or interpretation of this RFP necessary, a written addendum will be issued and posted to the OpenGov website. Any interpretation of or correction to this RFP will be made only by an Addendum issued by the DPA and uploaded to OpenGov.
- A.9.5** It is the Proposer's responsibility to review all Addenda and attachments to this RFP. The County will not be responsible for any other explanations, corrections to, or interpretations of the RFP documents, including any oral information.
- A.9.6** For OpenGov technical assistance only, please contact OpenGov Support at procurement-support@opengov.com or via the live chat option on the OpenGov website.

A.10 Pre-Proposal Conference

A Pre-Proposal Conference will be held in person on February 8, 2024, at 11 am to provide an overview of the RFP and to answer questions. The conference will be held at the County Administration North building, Multipurpose room, 400 W. Civic Center Dr., Santa Ana, CA, 92701, First Floor Room 101. Attendance at the Pre-Proposal Conference is not mandatory. Official answers to any questions asked during the Pre-Proposal Conference will be provided by Addendum after the meeting.

A.11 Procurement Schedule

The expected procurement schedule is listed below. The County reserves the right to change the procurement schedule. If changes are made, Proposers will be notified by the County in the form of an Addendum to this RFP in OpenGov. It is the sole responsibility of the Proposer to check the County's online bidding system, OpenGov, for such notifications.

Procurement Schedule	
1/23/2024	RFP advertised and released through OpenGov
2/8/2024	Pre-Proposal Conference – 11:00 AM (PT) at County Administration Building North
3/7/2024	Deadline to submit questions and requests for clarification on the RFP - 4:00 PM (PT)
3/14/2024	Answers to submitted questions provided, at the latest
4/25/2024	Proposal Close Date and Time – 4:00 PM (PT)
5/9/2024 to 5/17/2024	Proposer Introductory Presentations (remote only via Microsoft Teams)
7/22/2024	Proposers elevated and notified for software demonstrations
7/29/2024 to 8/23/2024	Proposer Software Demonstrations (remote and on-site)
8/23/2024 to 9/20/2024	Proposer Interviews
10/4/2024	Elevate and notify finalist Proposers(s) for contract negotiations
11/19/2024	Complete contract negotiations
January 2025	Board of Supervisors Approval and Contract Execution
January 2025	Implementation Begins

A.12 Evaluation Process

- A.12.1** Administrative Review: The first phase of evaluation will be a basic preliminary administrative review of the responsiveness of each Proposal to ensure that Minimum Qualifications are met (see Section A.13 below), all required signatures are present, and all response items are answered per Attachment 1 – RFP Submittal Checklist. Proposers complying with and meeting the requirements of this review will qualify for continued evaluation.
- A.12.2** Each Proposer passing the Administrative Review will be asked to present an overview of their company and Proposal in a sixty-minute Introductory Presentation via Microsoft Teams. This Introductory Presentation is for informational purposes and will not be scored.
- A.12.3** Written Proposal Evaluation: Proposals that pass the Administrative Review will be evaluated by an RFP Evaluation Panel solely on the quality of the written responses to all questions and requirements of this RFP. The RFP Evaluation Panel will select the top-ranked Proposer or Proposers to be elevated as finalist(s) for continued evaluation.
- A.12.4** Finalist Demonstrations and Interviews: If elevated as a finalist, each Proposer must be prepared to attend a Proposer Demonstration and Interview with the RFP Evaluation Panel within seven (7)

calendar days of notification from the County. The County will provide detailed agenda and scripts prior to Demonstrations and Interviews. Demonstrations and Interviews will be held using a combination of on-site and remote presentations and can cover all functional areas listed in this RFP, including software or implementation services. Proposers must be prepared to discuss all aspects of their Proposal in detail, including technical questions. Proposers will not be allowed to alter or amend their Proposals using the presentation process. The Demonstration and Interview will be scored separately. For Proposers who are selected as finalists, the written criteria will comprise 80% of the final score, and the Finalist Demonstration and Interview will comprise 20% of the final score.

- A.12.5** Model Contract: Finalists will be required to provide a redline version of the County’s Model Contract (Attachment 15), including any additional or supplemental agreements that the County will be expected to execute in connection with the Contract, including without limitation any additional licenses, financing agreements, limitations of liability or warranty, opinion of counsel letters, or any other first- or third-party agreement or terms upon which the Proposal is contingent. Further changes to the Model Contract will not be considered after the deadline provided.

A.13 Minimum Qualifications

Each Proposer must meet the following Minimum Qualifications:

- A.13.1** Proposer’s data centers that store County Data must be located within the continental United States.
- A.13.2** The Proposer shall attest that its organization and all of its officers:
1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal or state department or agency.
 2. Have not within a five (5) year period preceding this RFP been convicted of or had a civil judgment rendered against them for commission of fraud or criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.

A.14 Evaluation Criteria

The County reserves the right, based upon its deliberations and in its opinion, to accept or reject any or all responses, or terminate the competitive solicitation process at any time and secure the solicited products and services by any other lawful means. The County also reserves the right to waive minor irregularities or variations to the specifications and in the competitive solicitation process.

Evaluation criteria have been defined for each phase of the evaluation. The County’s Evaluation Committee will score Proposals and decide which firms to elevate to the next phase of the evaluation process. In addition to the criteria below, the County of Orange adjusts scores based on the OCLSB and DVBE preference policy. See section A.21 for more information.

The Software Demonstrations and Interviews will be scored separately. For Proposers who are elevated as finalists, the Written Proposal Criteria will comprise 50% of the final score, and the Software Demonstrations and Interviews will comprise 50% of the final score.

Evaluation criteria will include:

Written Proposal Criteria:

Responsiveness and Quality of Proposal: 5%

- Proposal demonstrates an understanding of the County's requirements as set forth in this RFP
- Proposal demonstrates a thorough understanding of Government Finance, Procurement, Human Resources, Payroll and Budgeting processes
- Proposal demonstrates knowledge of the environment in which the activities will take place
- Proposal does not substantially deviate from any material requirements of the RFP
- Proposal's detail, clarity, presentation, and overall content
- Proposal's completeness of response
- Proposal's conformance with instructions, conditions, and format of the RFP
- Proposal does not include substantive reservations or omissions

Proposed ERP System Requirements: 5%

- Proposal's ability to meet the requirements of Attachment 4, ERP Requirements
- Proposal's overall ability to meet the County's ERP System requirements
- System's ability to be configured
- System's ease of use and intuitive user interface
- Proposer's ability to meet County security standards

Proposed ERP System Implementation Services: 15%

- Proposer's resources available to deliver the products/services identified in the Proposal on time, on budget and within scope
- Proposer's implementation methodology (style, approach, risk mitigation, oversight, monitoring, and organizational change management) and implementation plan and schedule (including Proposer's and County's roles and responsibilities)
- Proposer's data migration plan and quality assurance plan
- Proposer's production/operations cutover strategy
- Proposer's project management tools and methodology, including earned value management

Proposed ERP System Platform(s) and Cloud Hosted Environment: 5%

- Proposed system's infrastructure, platform, facilities (data centers), and security architecture
- Proposed system's certifications maintained for example any ISO or NIST certifications. Also include any platform/system regulation compliance such as HIPAA, HITECH or FedRAMP

Proposed ERP System Support Program: 15%

- Proposer's ability to meet County's operational and processing requirements
- Proposer's customer support and maintenance services
- Proposer's service level requirements, including hours of support for business hours, after hours weekends, and holidays
- The experience level of Proposer's support and service staff
- Proposer's production support model for servers, databases, integrations, real-time updating, batch processing; including error handling and communications to customer staff
- Proposer's Service Level Agreement (Attachment 9)

Company and Staff Qualifications: 5%

- Proposer's expertise in the work set forth in this RFP
- Proposer's staff's experience, especially staff's experience in working with and providing implementation services for a government ERP System similar to that set forth and required by this RFP
- Proposer's references in providing an ERP System of design and scope similar to the work set forth in and required by this RFP; the County reserves the right to conduct reference checks
- Proposer's organizational structure and financial structure/stability
- Proposer's certifications

Pricing/Cost: 10%

- Best value/price for a comprehensive ERP System, system implementation and ERP/System Support Program
- Milestone Payment Schedule: alignment of costs paid with work completed

Software Demonstrations and Interviews Criteria:**Proposed ERP System Functionality: 65%**

- Finance/General Ledger Functionality
- Procurement Functionality
- Budget Functionality
- Human Resources Management/Payroll Functionality
- Security and Technology Architecture and Functionality
- Reporting Capabilities

Proposed ERP System Implementation Services: 20%

- Implementation Methodology
- Project Manager Interview
- Quality Assurance Approach
- Schedule
- Proposed Modernization Approach
- Proposed Services to Facilitate Process Change
- Statement of Work and Scope Discussion
- Approach to Integration

Proposed ERP System Support Program: 10%

- Production Support

Compliance with County's Terms and Conditions: 5%**A.15 Proposal Submission**

Proposals must arrive at the following location prior to the Proposal Close Date and Time listed in this RFP (April 25, 2024, at 4 PM PT).

Attn: Lorena Bogarin
County of Orange
Auditor-Controller
1770 N. Broadway

Santa Ana, CA 92706

Proposals must be time-stamped on the outside of the sealed package by Auditor-Controller staff. It is the sole responsibility of each Proposer to ensure that delivery is made to the County prior to the Proposal Close Date and Time. Delivery receipts are available upon request.

Facsimile and e-mail Proposals will NOT be accepted.

County Auditor-Controller Business Hours:

Monday through Friday 7:45 A.M. to 4:45 P.M. Pacific Time

The County Auditor-Controller's Office will be closed on the following County Holidays through the end of 2024:

Martin Luther King, Jr. Birthday, January 15, 2024
 President Lincoln's Birthday, February 12, 2024
 President's Day, February 19, 2024
 Memorial Day, May 27, 2024
 Independence Day, July 4, 2024
 Labor Day, September 2, 2024
 Native American Day, September 27, 2024
 Veterans Day, November 11, 2024
 Thanksgiving, November 28, 2024
 Day after Thanksgiving, November 29, 2024
 Christmas Day, December 25, 2024
 New Years' Day, January 1, 2025

A.16 Proposal Copies

Each Proposer must provide:

- A.16.1** One (1) original signed Proposal. The Proposer's original signed Proposal is to be clearly marked as "ORIGINAL" on the outside cover and contain original ink signatures.
- A.16.2** Fifteen (15) photocopies of the original Proposal.
- A.16.3** Please submit fifteen (15) copies of Attachment 15 – Cost in a separate envelope. Do not include cost information in the remainder of the Proposal.
- A.16.4** One (1) Electronic copy of the Proposal, including Attachment 15, Cost, on a USB or similar storage device. Files originally in Excel format should be returned in Excel format. Files in Word format should be returned in Word format.

A.17 Proposal Format

All Proposals shall be submitted on standard 8.5 x 11-inch paper. All pages shall be numbered and identified sequentially by Proposal Section as outlined in Section C: Detailed Submittal Requirements. It is imperative that all Proposers responding to this RFP comply, exactly and completely, with the instructions set forth herein. All responses to this RFP shall be typewritten or word-processed (except where otherwise provided or noted), concise, straightforward, and shall fully address each requirement and

question. Although not a substitute for a complete written response, additional material, such as technical documents, may be referenced in any response if the material is included in the same section as additional information.

A.18 Confidential and Proprietary Information

Proposals submitted in response to this RFP may become subject to public disclosure pursuant to the California Public Records Act, codified beginning at Government Code Section 7920.000 (formerly Section 6250). Please be advised that all information and documents submitted to the County in response to this RFP shall be deemed non-confidential, non-proprietary, non-trade secret public records without exception and subject to public disclosure by the County at any time without prior notice to Proposer. The County shall not be liable in any way for disclosure of such records, or any part thereof related to this RFP or any Proposal. By submitting information and documents, the Proposer agrees to the County's release of such information and documents in response to a public records request without further notice to the Proposer and agrees to indemnify and hold the County harmless from any damages or liability associated with the public disclosure of such records.

Additionally, all Proposals shall become the exclusive property of the County. The County reserves the right to make use of any information or ideas contained in the Proposals submitted without exception.

Proposals are not to be marked as confidential or proprietary and must not constitute or contain confidential, proprietary, or trade secret information. The County may refuse to consider any Proposal so marked.

By submitting information and documents to the County as part of this RFP, Proposer acknowledges and agrees to the terms of this Section A.18.

A.19 Waiver of Requirements

The County reserves the right to waive, at its discretion, any procedural irregularity, immaterial defect, or other impropriety that the County deems reasonably correctable or otherwise not warranting rejection of a Proposal. No such waiver will excuse the Proposer from full compliance with all other Sections of this RFP.

A.20 Protest Procedures

Any actual or prospective Proposer alleging any impropriety in the solicitation or award of the Contract may submit a protest to the DPA.

- A.20.1** Protest of RFP Specifications. All protests related to RFP specifications must be submitted to the DPA no later than five (5) business days prior to the Proposal Close Date and Time. Protests received after the five (5) business day period will not be considered by the County.
- A.20.2** Protest of Award of Contract. In protests related to the award of a contract, the protest must be submitted no later than five (5) business days after the notice of the proposed contract award is provided by the DPA. Protests relating to a proposed contract award which are received after the five (5) business day period will not be considered by the County.
- A.20.3** Protest Procedure. All protests shall be printed on the protester's letterhead and be submitted in accordance with the provisions stated herein. All protests shall include at minimum the following information:
- The name, address, and telephone number of the protester

- The signature of the protester or the protester’s representative
- The solicitation or contract number
- A detailed statement of the legal and/or factual grounds for the protest; and
- The form of relief requested.

A.20.4 Protest Process.

- In the event of a timely protest, the County shall not proceed with the solicitation or award of the contract until the DPA, the County Purchasing Agent, or the Procurement Appeals Board renders a decision on the protest.
- Upon receipt of a timely protest, the DPA shall within ten (10) business days of the receipt of the protest, issue a decision in writing which shall state the reasons for the actions taken.
- The County may, after providing written justification to be included in the procurement file, make the determination that the award of the contract, without delay, is necessary to protect the substantial interests of the County. The award of a contract shall in no way compromise the protester’s right to the protest procedures outlined herein.
- If the protester disagrees with the decision of the DPA, the protestor may submit a written notice to the Office of the County Purchasing Agent requesting an appeal to the Procurement Appeals Board, in accordance with the process stated below.

A.20.5 Appeal Process. If the protester wishes to appeal the decision of the DPA, the protester must submit, within three (3) business days from receipt of letter, a written appeal to the Office of the County Procurement Officer.

Written appeals must be sent to:

County of Orange County Procurement Officer
 400 West Civic Center Drive, 5th Floor
 Santa Ana, CA 92701
 Attn: County Procurement Officer
 Email: CPOAppeals@ocgov.com

- Within fifteen (15) business days, the County Purchasing Agent shall review all materials in connection with the grievance, assess the merits of the protest, and provide a written determination with a decision as to whether the protest shall be forwarded to the Procurement Appeals Board as described in Section 1.4 of the County’s Contract Policy Manual (“CPM”).
- The decision of the County Purchasing Agent shall be final and there shall be no right to further administrative appeals.

A.21 County of Orange OCLSB and DVBE Preference Policies

Effective January 1, 2020, the County’s Board of Supervisors adopted the County of Orange Local Small Business (“OCLSB”) Preference policy. Implementation of the OCLSB Preference policy supports local businesses, the local economy, and the development of the County’s tax base.

A.21.1 OCLSB: To be certified as a Local Small Business by the County, a business shall meet (1) and (2) below:

1. Local Business requirements:
 - a. maintains their principal center of operations (i.e., headquarters) within Orange County, and

- b. has:
 - i. a business address located in the County of Orange that is not a post office box, or
 - ii. a valid business license or certificate of occupancy issued by the County of Orange or by an Orange County city, or other documentation acceptable to the County of Orange.

2. Small Business Requirements:

- a. must be certified as a Small Business by the State of California Department of General Services (DGS), and
- b. DGS Small Business requirements must be valid at the time of Proposal submittal.

Effective January 1, 2021, the County of Orange Board of Supervisors adopted the Disabled Veteran Business Enterprise (“DVBE”) Preference policy. The DVBE Preference policy supports local business opportunities, the local economy, and the development of the County’s tax base, and in addition recognizes the service and sacrifice given by the men and women of our Armed Forces.

A.21.2 DVBE: To be certified as a DVBE by the County of Orange, a business shall:

- a. be certified as a DVBE by the State of California Department of General Services (DGS); and
- b. DGS DVBE requirements must be valid at the time of Proposal submittal.

A.21.3 County Of Orange OCLSB Preference and DVBE Certification Requirements: To participate as an OCLSB and/or DVBE, please read and follow the process outlined below.

1) To participate as an OCLSB the following requirements must be met:

- a. A local small business must be certified with State of California the Department of General Services (DGS) as a Small Business - <https://caleprocure.ca.gov/pages/sbdvbe-index.aspx>
- b. Upon certification as Small Business with DGS, the local small business shall access the OCLSB Preference portal at OCLSBverify.com, search their legal company/business name in the County’s database and print the OCLSB Certification.
 - i. Business name shall match the Company Legal Name specified on the Company Profile.
- c. OCLSB Certification must be valid at the date/time solicitation is closed, and it shall remain in effect at the time of contract award. County reserves the right to verify and/or reject incomplete documents.
- d. Complete and sign Attachment 16 – OCLSB and DVBE Form to this RFP. The signed form and the OCLSB Certification are required and must be returned with the solicitation response in order to compete as an OCLSB.

2) To participate as a DVBE the following requirements must be met:

- a. A business must be certified with DGS as a DVBE - <https://caleprocure.ca.gov/pages/sbdvbe-index.aspx>.
- b. DVBE Certification must be valid at the date/time solicitation is closed, and it shall remain in effect at the time of contract award. County reserves the right to verify and/or reject incomplete documents.
- c. Complete and sign Attachment 14 – OCLSB and DVBE Form to this RFP. The signed form and the DVBE Certification are required and must be returned with the solicitation response in order to compete as a DVBE.

A.21.4 OCLSB or DVBE Preference provides the following for an RFP:

- a. An extra five percent (5%) shall be applied to the tallied score of each certified OCLSB or DVBE to obtain the final score. If the final score of any OCLSB or DVBE matches the final score of a non-OCLSB or non-DVBE, preference shall be given to the certified OCLSB or DVBE. If two or more OCLSBs or DVBEs have the same final score, the County shall determine the contract award based on the County's best interest.

A.21.5 Dual OCLSB and DVBE Preference provides for the following:

Business Certified as OCLSB and DVBE If a State-certified OCLSB is also a State-certified DVBE, the preference given to that business shall be 8% instead of 5%. The separate OCLSB/DVBE preferences shall not be applied.

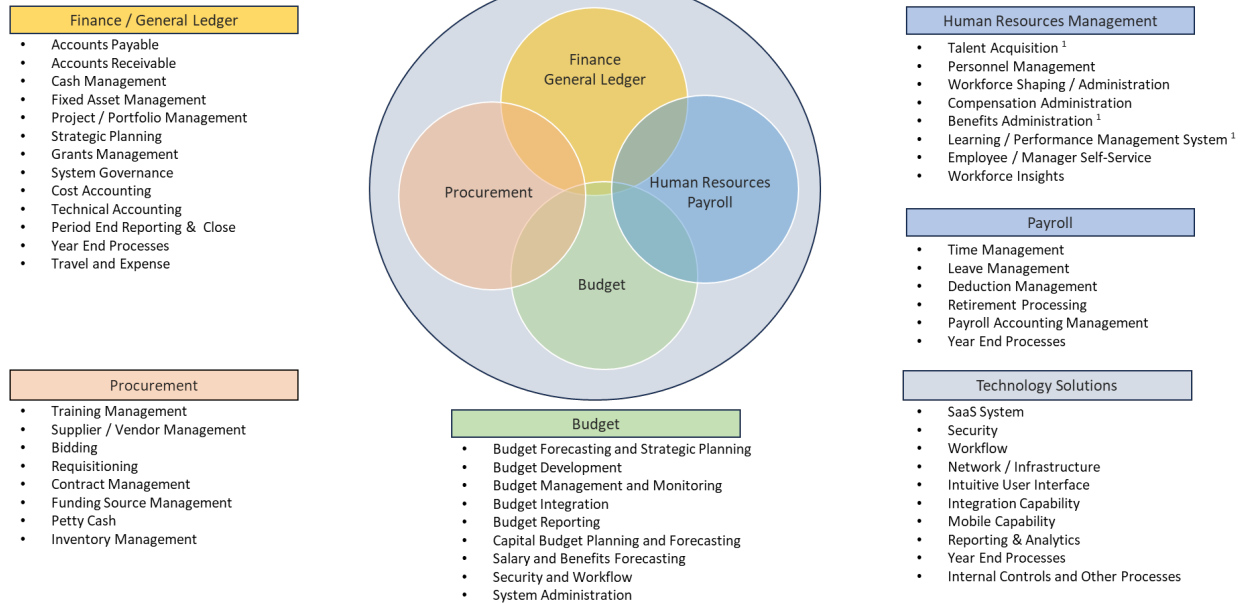
A.21.6 Optional: complete Attachment 14 – OCLSB and DVBE Form if you qualify for the OCLSB or DVBE. See RFP Section C.5.2.3 for submission details.

Section B: Scope of Project

B.1 Project Scope – Functional Overview

The overall scope for the project is defined by the functions and processes listed below. Each process is further defined by requirements identified in **Attachment 4, ERP Requirements**.

County of Orange



¹ Interface – Refer to Requirements Spreadsheet for Additional ERP Interfaces

November 2023

B.2 Project Scope – System Replacement

The County expects that the proposed ERP System will replace the following current systems and automate current and future County policies. If functionality is not available, the Proposer will be responsible to provide an interface to the existing system.

- B.2.1** CAPS+ Finance & Purchasing System– CGI Advantage Financial version 3.10.0.1.
- B.2.2** CAPS+ Annual Comprehensive Financial Report (“ACFR”) – Preparing and generating the ACFR that meets GASB reporting standards. CGI Advantage Financial version 3.10.0.1.
- B.2.3** CAPS+ Human Resources/Payroll/Employee Benefits System – CGI Advantage HRM version 3.11.
- B.2.4** CAPS+ Performance Budgeting – Long-range strategic financial planning and preparation and balancing of annual operating budgets. CGI Advantage version 4.2022.FS2.
- B.2.5** CAPS+ Finance and Purchasing Data Warehouse – Using data from CAPS+, provide the ability to search and locate CAPS+ Finance & Purchasing data for viewing, printing, or downloading to Excel. Also, generate hardcopy reports on a scheduled basis to be stored as official records. County-owned custom application.

- B.2.6** CAPS+ Payroll/Labor Reporting Data Warehouse – Using data from CAPS+ HR, provide the ability to view, print, or download data to Excel. Also, generate hardcopy reports on a scheduled basis to be stored as official records. County-owned custom application.
- B.2.7** Custom modifications – Modifications made to the CGI Advantage software to allow the County to conduct its business and meet its mandates.
- B.2.8** OC Checks – Using data from various sources, create and print County checks with MICR line and OC Auditor-Controller’s signature. Types of checks include accounts payable, trust, payroll, and California State welfare checks. County-owned custom application.
- B.2.9** Employee Self-Service Portal, including supervisor update requests, employee W4 updates, Pay Stub Portal, employee deduction enrollment, and W2 retrieval. County-owned custom application.
- B.2.10** A-C Returned Items from Bank Application – Processing checks payable to the County that were rejected by the bank (notifying the department that made the deposit and generating JV to back out the funds). County-owned custom application.
- B.2.11** CAPS+ Launchpad – Web portal that supports single sign-on to the CAPS+ Financial and HR systems and certain related systems. County-owned custom application.
- B.2.12** Access Request Application (ARA) – Web-based application that allows users to request access to CAPS+ through an online approval process and identifies user role conflicts. County-owned custom application.
- B.2.13** HR Data Portal – Reports and dashboards for HR data. County-owned custom application.
- B.2.14** OC Expediter – Procurement requisition submission and approval application. This system is also a Contract Management System (CMS). County-owned custom application.
- B.2.15** OpenGov (County’s Online Bidding System) – Web-based platform utilized to post solicitations, communicate with and have vendors respond to solicitation activities, perform Q&A sessions, summarize responses, and award contracts. Third-party application (OpenGov).
- B.2.16** OC TIME – Time and Attendance System based on Workforce software.
- B.2.17** OC METER – SaaS solution for processing requests and employee reimbursement of expenses such as mileage claims, travel expenses, educational expenses, and tuition based on SAP Concur software.
- B.2.18** Fund Account System (FAS) – In-house, custom application to allocate/apportion investment interest income and investment administrative fees to the different County funds and pool participants in the Orange County Investment Pool on a monthly basis. This system also records the fair market value of investments at year-end for financial reporting purposes. The system is used by the Treasurer-Tax Collector (TTC) to interface with the existing ERP (CAPS+) to exchange daily/monthly data. TTC staff and Auditor-Controller staff manually perform monthly cash reconciliations between the two systems.
- B.2.19** Collection System Columbia Ultimate Business System (CUBS) – Collection system used by the TTC to interface with the existing ERP (CAPS+) to exchange daily data on cash receipts, discharge of accountability and outstanding accounts receivable balance. TTC and Countywide staff manually perform monthly reconciliations between the two systems.

B.3 Project Scope – Current and Future State

B.3.1 Finance and General Ledger

Finance – Current State

Overview

The County's current core Finance system is CAPS+ Finance (CAPS+ FIN), based on CGI Advantage Finance version 3.10.

Below is a description of the County's current Finance processes and associated systems, including the current ERP system and Commercial Off The Shelf (COTS) solutions.

Accounts Payable

The County's current core Finance system, CAPS+ FIN, is used to process various types of vendor and trust payments (encumbered vs non-encumbered) generated online or interfaced from various bank accounts and to update the status of the payments as they are processed by the bank. The CAPS+ FIN module does not have extensive invoice/receiving functionality and is not user friendly when routing invoices for approval. For invoice monitoring and tracking, the County leverages manual processes (such as MS Excel or Data Warehouse) and tools such as the County's custom-built system, OC Expediter - Contract Management System (CMS). The Expediter CMS system also helps obtain invoice approvals, and tracks contract balances to prevent overruns by showing both the invoices in transit and processed.

Accounts Receivable (AR)

The County's current core Finance system, CAPS+ FIN, does not meet the County's need for accounts receivable as it lacks tracking capabilities. County departments track their AR separately using 3rd party systems, such as the CUBS Treasurer Tax Collector (TTC) system, or manually, and reconcile the AR balances in the ERP to the subsidiaries and/or the CUBS TTC system. The collections are interfaced with the current CAPS+ FIN system.

Cash Management and Investment Accounting

The County's current core Finance system, CAPS+ FIN, does not meet the County's need for cash management. Cash transactions within the County Departments are recorded in the ERP and interfaced into Quantum and Fund Accounting System (FAS), a 3rd party application and County-owned custom application, respectively, used by TTC. The mandated cash balance reconciliations are done manually by Auditor-Controller and TTC.

Fixed Assets Management

The County's current core Finance system, CAPS+ FIN, maintains an inventory of various categories of capital assets (i.e., Equipment, Land, Structures & Improvement, Infrastructure, Intangible Assets, CIP etc.) for the County, and tracks individual assets and performs mass depreciation of assets. Tracking of capital asset completion and construction progress is currently manual.

Project/Portfolio Management

The County's current core Finance system, CAPS+ FIN, does not meet the County's need for project/portfolio management. County departments are tracking them manually using MS Excel or other local tools at hand.

Strategic Planning

The County's current core Finance system, CAPS+ FIN, does not meet the County's need for strategic planning. County departments currently perform strategic planning under the guidance of CEO Budget using CGI's Performance Budgeting (PB) system and manual methods like Excel to track forecasted revenues and expenditures. The Excel data is then transferred into the PB system.

Travel & Expense

The County's current core Finance system, CAPS+ FIN, contains functionality needed by the County, but it is not robust, so the County is not using it. The County leverages a 3rd party tool, SAP Concur branded as OC METER, a County custom-built system, OC Expediter for travel requests, and manual paper process for non-County employees (Commission members, volunteers etc.).

Grants Management

The County's current core Finance system, CAPS+ FIN, does not meet the County's need for grant management. Departments request Board approval for a grant award application to the State or Federal agency (Grantor). Once approved, Departments use a job number or dept revenue source (Chart of Account elements) to track the revenues and expenditures associated with a grant program. In addition, Departments are responsible for complying with the grant requirements, and use various tools outside of the ERP to perform those tasks i.e., Grant Claiming, Subrecipient Monitoring Checklist, verifying vendor debarment or suspension through SAMs.gov.

General Ledger (GL) – Current State

Overview

The General Ledger is the official ledger for the County. It is a summary of all transactions posted for each fund established and serves as the backbone for the County's financial statements as well as supporting documents for various grant claims. The General Ledger contains the accounts and balances of each fund established in CAPS+ FIN, and summarizes all transactions recorded to those funds to reflect the financial position and results of operations of those funds. Within the General Ledger, a Chart of Accounts is established with various elements that allow the County to record transactions related to each fund. The segmentation of the County's Chart of Accounts strings varies and is complex; however, they must always include these segments: Fund (3 or 4 characters), Department (3 or 4), Budget Control (3 or 4), Unit (4), and either Object/Revenue (4) or Balance Sheet (BSA, 4). Additional segments, such as Sub Object/Sub Revenue (2 to 4), Sub BSA (4), Department Object/Revenue/BSA (4 to 8), and Job Number (4-8) are optional.

Below is a description of the County's current GL processes and associated systems, including the current ERP system and COTS solutions.

System Governance

The County's current core Finance system, CAPS+ FIN, has a custom budget structure (chart of accounts elements), leverages copy feature to carry over the balances associated to the chart of account elements every fiscal year, and internal controls to prevent any deficits (fund balance or cash).

Cost Accounting

The County's current core Finance system, CAPS+ FIN, allows users to establish job (task orders) numbers (billable & non-billable) that can track costs for various purposes. If the job number is defined as billable, the system can charge/bill the departments according to user defined fields. The system has the ability to

schedule job billing to other departments. In addition, the system allows for cost allocation capabilities based on user defined fields.

Technical Accounting

The County's current core Finance system, CAPS+ FIN, does not allow real-time integration among the various modules (i.e., AP and GL). User departments perform monthly reconciliation of their GL balances to subsidiary ledger or other data source manually. The system supports encumbrance accounting for procurement of goods and services by establishing the encumbrance balance once a purchase order is recorded in the ERP system, offsets the encumbrance account against the Department's budget, and records an expenditure against the encumbrance. The system has configurable settings or rules to handle an encumbrance cancellation in the current year vs. prior year. The system has table settings at the fund level to close encumbrances in the current fiscal year or lapse encumbrances.

Period End Reporting & Close

The County's current core Finance system, CAPS+ FIN allows Departments to prepare Period 13 expenditure accruals for non-encumbered, encumbered and revenue accruals, and other journal entries prior to closing the books. For the encumbered payment accruals, the reversal transaction is automatically reversed in the next fiscal year against the prior budget fiscal year. If the user enters a reversal date on the Period 13 document, the system will automatically reverse the entry in the next fiscal year. In addition, the system also provides a list of the Period 13 transactions, and various expenditure accrual queries/reports to assist Departments with monitoring their year-end account balances and/or budget deficits.

Year-End Processes

The County's current core Finance system, CAPS+ FIN allows general accounting to define how each fund should close its current year's revenues and expenditures into the fund balance/net position account. Using GL reports and jobs in the system, validations or checks are performed to ensure that the year-end fund balance/net position is calculated correctly before copying it over as the beginning fund balance/net position for the next fiscal year. The system has the capability to copy over the year-end GL balances as the beginning balance for the next fiscal year. The 14th and 15th period financial reports are not available in the current module, and hence the County copies the Period 13 year-end balances to a smaller instance of the FIN system (cloned system called ACFR system) for financial reporting purposes.

Finance and General Ledger – Future State

Overview

The County recognizes the value of having an integrated system, and as it develops and travels down a modernization path, the County seeks a core Financial (FIN) system that completely supports Finance & General Ledger functionalities, allowing them to shift from the current state to the future state.

The County envisions the integrated FIN system to bring together all Finance functions, including General Ledger, Accounts Payable, Accounts Receivable, Cash Management, Fixed Assets Management, Grants Management, Project/Portfolio Management, and Strategic Planning, along with reporting and analytics.

To meet the County's FIN system need, the new ERP shall support the Finance process and replace County-built custom applications (such as OC Expediter CMS), and other tools (i.e., Excel, QuickBooks) to serve its finance-related business needs.

The new ERP shall provide the features, functions, and capabilities listed below and specified in the ERP Requirements – Attachment 4, many of which are not available in the current state.

County anticipates that the new ERP system will complement internal and external systems and offer seamless integration techniques, such as web services, in place of file interfaces, as well as strong metrics and reporting as identified in the list of interfaces.

Accounts Payable

- Use the system as a central repository for invoice tracking, payment and processing, post payments individually or in batches while considering invoice exceptions.
- The system will track money owed with ability to send three-way match (PO, Receiver, and Invoice) exception notifications to designated users.
- Payment types should include checks, ACH, wires, and virtual cards.
- Validation of vendor banking information for electronic payments.
- An integrated vendor self-service portal to allow vendors to:
 - Register with the County
 - Submit invoices
 - View Payment status - track pending invoices
 - Vendor administration abilities such as storing multiple TINs securely, and approval workflow
- The system tracks vendor performance (e.g., on-time, quality of goods or services, etc.).
- The system handles year-end processing (1099, etc.).

Accounts Receivable

- The system will set up customer profiles and set metrics along with having a master customer number (parent) for consolidated billings of the same customer in more than one Department.
- The system will allow users to manage customer billing.
- The system will have standard features of invoicing such as:
 - Copy invoice
 - Create and preview draft invoice templates
 - Cancel invoice
 - Post payments
 - Track past due fees
- Ability to create AR aging reports and reconcile to the General Ledger.
- The system will perform collection activity according to business rules.
- The system will generate collection letters at configurable intervals and on-demand.
- The system will flag accounts and provide data to the state as part of the tax intercept program.
- The system will allow collection officers to set up/customize payment plan options for the debtor.
- The system will integrate with external collection agencies.

Cash Management and Bank Reconciliation

- The system will manage cash payment transactions.
- The system will support the accounting and allocation of pooled cash investment interest from the TTC system and cash management by fund.
- The system will be a single source for processing Continuous Linked Settlement (CLS) prepayments (e.g., application fees), payments (e.g., checks, ACH).
- The system will have the ability to accept and make various payment methods (e.g., checks, cash, credit cards, direct deposit, one-time, repetitive, ACH, virtual cards, etc.).
- The system will automatically update customer account balances when the payment is received and create general ledger accounting information.
- The system will perform automated reconciliations with all banking transactions on a daily basis:

- Between the general ledger and bank account through a daily reconciliation process
- Match up credit card fund receipts to reports/information obtained from the credit card merchant provider's system
- The system will integrate in real-time with point of sales systems to enable automated cash reconciliations.
- The system will automatically submit positive pay entries with the County's banking provider when checks are issued and voided.
- The system will automatically perform ACH account ownership confirmation with the County's bank account screening provider to help detect and prevent fraud associated with bank accounts and payment transactions.

Fixed Assets Management

- The system will have ability to track, monitor and report:
 - Capital assets
 - Controlled assets (non-capitalized)
 - And the associated metrics, such as location, useful life in months or years, transfer between cost centers, disposition, reinstatement, and retiring
- The system will create a fixed asset shell from the procurement process.
- The system will generate reports of intangible right-to-use assets and related disclosure requirements such GASB 87 leases, GASB 96 Subscription-based IT Arrangements, and GASB 94 Public-Private and Public-Public Partnerships.

Project/Portfolio Management

- The system will create and track capital projects, non-capitalized projects, and grant related projects.
- The system will create and track project proposals across fiscal years.
- The system will track monthly/yearly budgets for a project, assign multiple projects to a grant.
- The system will capture and track defined milestones.
- The system will group projects into a portfolio and allow for project planning including budget and resource planning.
- The system will manage all stages of project management – Initiation, Execution with approval workflows, Monitoring, and Closing.
- The system will generate reports, such as project expense, project closeout, project status, etc.

Strategic Financial Planning

- Use the system to perform strategic analysis by aggregating and organizing data spread across independent departments.
- The system will provide processes for the review & refinement of stakeholder expectations.
- The system will have the ability to provide multi-year forecasts based upon data entered or historical data residing in the ERP.

Travel & Expense

- The system will create travel and expense reports.
- The system will allow employees and non-employees (e.g., contractors) to create and submit travel and expense-related transactions.
- The system's reimbursement module will seamlessly communicate with the HR/Payroll module.
- The reimbursement for non-employees (e.g. Commissioner and volunteer stipends) will reference a vendor code and be processed and paid out of the finance system.

Grants Management

- Use the system as a central repository to perform the following functions in conformance with the Uniform Guidance, 2 CFR Part 200:
 - Set up grant award, identify the recipient department(s), grantor and sub-recipient(s) and establish an annual or multi-year budget for the grant program
 - Create a robust accounting structure to track related revenues and expenditures associated with the grant program. For instance, the system will track the allowable activities and costs related to any federal grant award during the fiscal year to support the federal expenditures reported on the Schedule of Expenditures of Federal Awards (SEFA)
 - Provide full range of user-defined grant reports, custom queries, reconciliation reports, and exception reports to monitor compliance with the grant requirements
- The system can generate invoices or claims to grantors if requested by the users, manage all grant billing that can be approved through a configurable workflow, and generate postings for the general ledger.

System Governance

- The system will configure and retain the chart of accounts specific to County business.
- The system will define accounting structure for local entities including school and special districts.
- The system will support governmental basis for accounting to comply with accounting, grant, legal, and/or regulatory requirements.
- The system will perform checks and balances of existing account balances against ledgers and tables to ensure data integrity.
- The system will have internal controls or validation checks over deficit fund balance or cash, and excess appropriations.
- The system will manage and identify internal control user role conflicts.

Cost Accounting

- The system will allow users to set up billable and non-billable task orders using chart of accounts to capture, track and summarize the cost.
- The system will allow users to view all cost transactions and job billing details summarized by task orders.
- The system will allocate the cost of a specific task order to pre-defined allocation factors or rules.

Technical Accounting

- The system will support multiple views of accounting (cash, modified accrual, full accrual).
- The system will support preview of multiple financial set of statements such as Fund level vs Government wide.
- The system will provide real-time integration between modules:
 - AP and GL
 - AR and GL
 - Fixed Assets and GL
 - Project Management and GL
 - Grants Management and GL
 - Inventory and GL
 - Cash Application / Treasury and GL
 - Payroll module and GL.
- The system will support encumbrance accounting for procurement of goods and services.

- The system will provide the ability to configure flexible encumbrance closing rules based on specific accounting segments within the County.

Period-End Reporting & Close

- The system will allow a soft-close of accounting books prior to year-end and perform a hard-close at year-end with no further ability to record transactions.
- The system will accrue encumbered, non-encumbered, invoice payments/expenditures, and revenues for the current fiscal year.
- The system will allow reversals by entering a reversal date when needed and provision for automatic updates in the new fiscal year as applicable.
- The system will allow automated invoice payment reversals or expenditure/revenue accruals, when accruals need reversal by entering a reversal date.
- The system will produce configurable management reports:
 - For standard variance analysis
 - Run rate/trend analysis
 - Actual compared to prior month
- The system will support configurable attributes for tracking and generating financial reports.
- The system will be able to provide the following Period 13 financial statements:
 - Detailed Trial Balance
 - Consolidated Financial Statements
 - Chart of Accounts Reports
 - General Ledger Reports
 - Income Statements with a user defined start and end date
 - Revenue Reports
 - Cash Flow Reports and Balance Sheets
 - Generate basic financial statements for the Annual Comprehensive Financial Report (ACFR) and external reports as specified by the users
- The system will have ability to post the journal entries based on subledger transaction types defined by the County.
- The system will have the ability to support the automated preparation and completion of the monthly bank reconciliation after month-end close is completed with user-defined reconciliation reports available for this process.

Year-End Processes

- The system will support fiscal year closing entries in period 13 and reversing adjustments for period 14 outside of the core 12- month cycle.
- The system will allow authorized external users, such as special districts or schools, to generate GL reports.
- The system will automate the ACFR reporting and generation process.
- The system will have the scripted jobs necessary for year-end processing.
- The system will allow authorized users to:
 - run queries/reports to view cash transaction listing at year end
 - validate the postings
 - complete posting procedures
 - close last period of the fiscal year

B.3.2 Procurement

Procurement Current State

Overview

The County's current core Finance system is CAPS+ Finance (CAPS+ FIN) is based on CGI Advantage Finance version 3.10.01.

Below is a description of the County's current Procurement processes and associated systems, including the current ERP system and COTS solutions.

Training Management

The County's current core Finance system, CAPS+ FIN, does not meet the County's need for Procurement Training Management. Currently, a Microsoft Excel spreadsheet is used to manually track hours, opportunities, compliance, certification, and other items. County's training system, Eureka, is used as much as possible but has limitations and does not allow capturing training hours obtained through outside organizations.

Supplier / Vendor Management

The County does not have a Vendor Management system and the current core Finance system, CAPS+ FIN, does not meet the County's need for Supplier/Vendor Management. The County leverages the Vendor Customer Table within CAPS+ FIN; however, they are not able to track and measure vendor performance and vendors lack a portal where they can register, ask questions, upload documents etc. The County uses a manual process and leverages external systems such as Dunn & Bradstreet and SAM.gov.

Bidding

The County's current core ERP system, CGI Advantage, does not include a bidding component. The County has procured and implemented an online bidding system, OpenGov. The County leverages OpenGov to record, track, and run reports pertaining to vendor certification, licensing, and expiration dates.

Requisitioning

The County's current core Finance system, CAPS+ FIN, does not meet the County's need for Requisitioning. The County is using a County-owned custom-built application, OC Expediter. All requisitioning, requisition reporting, and contract balance monitoring with regards to expenses use this custom build. The p-card reconciliation is currently a manual process carried out by entering data into US Bank's website and the ERP system, then using the bank and ERP transaction reports for the review process.

Contract Management

The County partially uses CAPS+ FIN for Contract Management, although it does not fully meet the needed functionality. To create and manage contracts, the County leverages manual tools such as Excel, external systems, such as the County's custom-build system OC Expediter, Contract Management System (CMS), Open Gov bidding system, and a shared Procurement folder.

Funding Source Management

The County uses manual processes for Funding Source Management. To track funding sources, the County uses manual tools, such as Excel, leverages their County-owned custom-built application OC Expediter, and shared Procurement folders.

Petty Cash

The County's current core Finance system, CAPS+ FIN, does not meet the County's need for Petty Cash. The Petty Cash process varies by County department and consists of a manual process and leveraging of various system tools, such as Excel, QuickBooks, etc. Most departments have petty cash accounts that are currently managed by the department manually to print checks, issue reimbursements, and track spending.

Inventory/Asset Management

The County's current core Finance system, CAPS+ FIN, does not meet the County's need for Inventory/Asset Management. The current manual process utilizes system tools such as Excel, third-party software such as Asset Works, Traceability Made Easy (TME), and others to record asset information, track and monitor assets, assign asset tags, and keep audit trails.

Procurement – Future State

Overview

The County recognizes the value of having an integrated system, and as it develops and travels down a modernization path, the County seeks a core Financial (FIN) system that completely supports Procurement procedures, allowing them to shift from their current to future state.

The County envisions the integrated FIN system to bring together all procurement-related reporting and analytics functions, as well as training management, supplier/vendor management, requisitioning, contract management, insurance, funding source management, bidding, petty cash, and asset management.

To meet the County's FIN and Procurement-related business needs, the new ERP system will assist the procurement process and replace existing County-built applications like OC Expediter, and other tools like Excel and QuickBooks.

The new ERP system shall provide the features, functions, and capabilities listed below and specified in the ERP Requirements – Attachment 4, many of which are not yet available in the current state.

Although the County may still rely on other systems for soliciting bids, such as OpenGov, it anticipates that the new ERP system will complement internal and external systems and offer seamless integration techniques, such as web services, in place of file interfaces, as well as strong metrics and reporting.

Training Management

- Leverage the HR training module to track the following items for Procurement staff, but not limited to:
 - Opportunities
 - Certifications
 - Compliance
 - Training Hours

Supplier / Vendor Management

- An integrated supplier portal that enables suppliers to perform the actions listed below, among others:
 - Register with the County to receive bids/RFPs that match commodity code listings that the vendor provides.
 - Enter their company data
 - Upload supporting documentation

- Register for events
- Submit inquiries
- Submit responses to bids and RFPs
- Submit documentation for compliance with MBE/WBE (Minority-owned Business Enterprise/Woman-owned Business Enterprise)
- Users can view all information related to individual suppliers.
- Users can track and measure supplier performance criteria.
- System integration with various third-party verification databases, such as Dun & Bradstreet and SAM.gov

Bidding

- The system will be free for the public and vendor community. System communication shall be relevant to vendors' business and be targeted.
- The system will support e-sourcing/electronic solicitation processes:
 - Request for Proposal (RFP)
 - Request for Information (RFI)
 - Request for Quote (RFQ)
 - Request for Bid (RFB)
- The system will support fully electronic solicitation evaluations:
 - Post schedule of meetings
 - Share and sign documents
 - Create and share evaluation criteria
 - Review and score proposals without knowledge of pricing
 - Identify and record strengths and weaknesses, consensus scoring, documentation of notes, and automatic and custom email/system notifications
- The system will have a robust reporting functionality and be able to monitor trends, notifications, supplier preference, etc.
- The system will create and maintain solicitation templates and leverage these templates for various workflows/scenarios based on the type of the template.
- The system will allow for electronic prequalification, allowing vendors to apply for and maintain their prequalification questionnaire and documentation and submit across multiple solicitations.
- The system will leverage bidding networks of other local/regional entities and continuously be looking to expand the vendor pool. It shall allow for County to automatically and/or manually invite parties that are not currently part of County network.
- The system will integrate with various 3rd party websites to verify contractor status, license, register public works projects, etc. (e.g. sam.gov, DIR, CSLB, caleprocure, etc.).

Purchasing/Requisitioning

- Users can create multiple requisition types for products, services, and capital items with the ability to:
 - Attach supporting documentation
 - Copy from prior requisitions
 - Print requisitions in various proper formats
 - Acknowledge receipt of goods/services
- The system will capture the County-defined information below, among other things:
 - Sole source
 - Contract increase
 - Credit card requests
- The system will generate robust metrics and reports.

- To prevent contract overrun, the system can track contract balances against the requisition estimate.
- To assist with requisition entry, the system will allow users to select data field information from the appropriate chart of accounts.
- The system will have a customized workflow for approvals, based on monetary thresholds and other criteria.
- The system will automatically generate draft renewal or extension requisitions for consideration in advance of contract expirations for a predefined period.
- The system will automate p-card transaction reconciliations between system information and the US Bank.
- The system will include and allow e-procurement from the vendor's punch-out catalogs.
- The system will integrate with vendor's punch-out catalog.

Contract Management

- Use the system as a repository for contracts and documents, while providing extensive search and reporting tools.
- The system will use templates to create contracts and solicitations and will maintain a terms and conditions library.
- The system will integrate with DocuSign.
- An integrated portal to provide tracking and completion of post-award contract activities below, among others:
 - Logging site visits
 - Tracking expenditures
 - Monitoring supplier performance.

Funding Source Management

- Use the system as a funding source library and repository for all documentation and requirements.
- The system will provide users the ability to:
 - View all contracts tied to a specific funding source
 - Track all expenditures and activities.
- Ensure the required contract provisions and requirements are included per funding source.
- The system will integrate with the Contract Management processes to draw information defined on the contract.

Petty Cash (Please note that this must be a separate milestone/deliverable with easily identifiable costs listed on Attachment 15, schedules 1-4.)

- System capability to issue petty cash as necessary.
- Use the system to reconcile a recurring balance (petty cash) fund every month.
- Departments will need the ability to write checks, issue reimbursements, and track spending through petty cash.
- Capacity to manage multi-department petty cash accounts.
- The system will generate reports.

Inventory/Asset Management

- Use the system to track and monitor controlled and capital assets, including asset data.
- The system will generate sequential ID tags.
- The system will maintain a complete audit trail and will report on all activities.

B.3.3 Budget

Budget – Current State

Overview

The County's current core Budget system is CAPS+ Performance Budgeting (PB). This on-premises system is based on CGI Advantage Performance Budgeting 4.2022.FS2.

County uses Performance Budgeting System (PB) powered by CGI Advantage for budget development, strategic financial planning, forecasting, salary and benefits forecasting, and management. As entering data directly into the system can be difficult for larger departments with complex budget scenarios, several County departments utilize MS Excel and County owned custom-built applications to construct their budget and forecasting every fiscal year. Excel allows the County to experiment with different scenarios to view outcomes and determine the budget impacts before entering them into PB. Once completed, departments upload the information into PB.

Below is a description of the County's current budget processes and associated systems, including the current ERP system.

Budget Forecasting and Strategic Planning

The County's current budgeting system, PB, is used to compile the 5-year Strategic Financial Process (SFP) but is not integrated into the annual budget process. The 5-year Strategic Financial Plan is submitted annually, but PB does not have the ability to copy prior year SFP submissions or compare them to prior year SFP submissions. The County's current PB forecasting module does not meet the County's needs.

Budget Development

The County's current budgeting system, PB, is used to collect information from all County departments and agencies to create a complete County Budget Request. The system supports departmental/user budget development through a user-friendly input process for various types of budget requests (e.g., budget input forms with Excel-like and narrative data entry which can be saved in draft status) including position related requests that allows requestors to allocate budgets, request position additions or deletions, and itemize costs across different levels. The system can preload budget data from CAPS+ FIN, upload Excel files, create budget form templates, change, or add budget forms, and copy budget forms. The current system does not meet the County's need to generate budget scenarios for financial planning and decision-making. The budget team currently uses FrameMaker to generate structured budget documents and to publish online.

Budget Management and Monitoring

Budget tracking and approvals are done manually using custom built County applications and MS Excel. The County's current budgeting system, PB, does not have the necessary budget management and monitoring capabilities. For example, the system lacks the ability to track budget against actuals including encumbrances, fund balance, cost allocation models, Full-Time Equivalent (FTE) positions, and reserve amounts from the budget start to fiscal year-end.

Budget Integration

The County's core budget system, PB, lacks real-time integration capabilities with other systems and applications within the business environment, such as finance, project management, HR, and payroll. A manual extract is generated to access information from these other modules.

Budget Reporting

The County's current budgeting system, PB, allows configurable report templates based on a hierarchical relationship to generate standard budget reports, using the Business Intelligence tool SAP BusinessObjects, and also queries with calculation models on all budget, and salary and benefit information stored in database tables at any level of detail. Queries offer a drill-down feature to aid in viewing and validating budget data and can be exported into Excel. The Business Intelligence tool does not rely on the data extracted real time from the accounting system, therefore, the current system does not meet the County's need for real-time or mid-cycle reporting and dashboards that track expense and revenue actuals to budget for enhanced monitoring and forecasting.

Capital Budget Planning and Forecasting

The County's current core Finance system, CAPS+ FIN, maintains an inventory of the different types of approved Capital Assets, approved budget, and expenses on an annual basis. The current budgeting system, PB, is used only to request Capital Project expense and revenue during the SFP, annual budget request process or budget augmentations. PB does not track the lifetime progress or history of a Capital Project. PB does not meet the functionality of tracking the initial request, approval process, project progression, and completion.

Salary and Benefits Forecasting

The County's current Salaries and Benefits Forecasting System (SBFS) resides in PB, the current budgeting system. PB calculates employee costs for budget development and strategic financial planning for multi-fiscal years which are posted to baseline budgets. The current system does not meet the County's need for "What-if" analyses to compare scenarios related to labor negotiations or other human-resource decision points. PB also does not have the ability to spread salaries and benefits on an annual, monthly or per pay period basis.

Security and Workflow

The County's current budgeting system, PB, can effectively control users' access and allows multiple users of 100+ to work simultaneously. It contains the ability to track and display an audit trail of all modifications made during the budget development process. When maintenance is required, the system can efficiently disseminate important information, including announcements, the budget calendar, instructions, alerts, and reminders, to all system users via email and/or worklist widgets on their homepage.

System Administration

The County's current core Budget system offers a user-friendly common file structure for import and export operations via the system's front-end. However, file import and validation are time consuming and impact the business process, hence County avails the database connection feature in PB with applications like Access, Word, and Excel to generate the SBFS file timely. Additionally, the system's design permits the configuration and customization of the user interface, including pages, fields, forms, and more, without requiring code-based programming. The system facilitates the rollover of specific or all budget forms and other relevant data in preparation for the new fiscal year including options to retain, delete, or copy data into different time periods or budget forms as needed. Furthermore, the system is equipped with the capability to establish system macros that can automate batch jobs, streamlining the execution of various system processes such as scheduling to execute the SBFS 5 years report in the background.

Budget – Future State

Overview

The County seeks a core Financial (FIN) system that fully supports budget processes, allowing the County to move from their current to future state.

The County envisions a single, integrated Finance-Budget system that fully services all functions related to strategic financial planning, budget development, budget forecasting, and salary and benefits forecasting.

The County is looking for a robust ERP system that will support the budget development process, monitoring, forecasting and strategic financial planning including capital projects, and salaries & benefits.

The new ERP shall provide the features, functions, and capabilities listed below and specified in the ERP Requirements – Attachment 4, many of which are not available in the current state.

While the County may continue to rely on other systems for departments' internal tracking, analysis, or reporting in preparation for the budget processing (i.e., Excel and internal applications), it expects that the new ERP solution shall complement these systems to provide seamless integration in real-time to capture information from other business areas across the environment (e.g., finance, project management, HR, and Payroll) instead of file interfaces unless needed.

Budget Forecasting and Strategic Planning

- The system will link budgeting models with specific criteria from the County's Strategic Financial Plan so the requested budget can be compared.
- The system will be able to copy information and provide multiple budget scenarios simultaneously while using budget models based on advanced modeling tools.
- The system will have the ability to define specific criteria such as position headcount "targets" and "vacancy factors" to calculate the appropriations for a position.
- The system will track the progress of a project and prioritize projects based on various budget criteria.
- The system will use current and historical salary and benefits data to assist in building budgets and showing year-over-year comparisons and variances.
- Create up to 20 years forecasts for budgets, capital & IT projects, and long-term strategic planning.

Budget Development

- Departmental users will leverage the system to:
 - Use budget templates to input into various budget forms
 - Upload or copy budget input into various budget forms from an Excel file
 - Upload supporting documents (Excel, Word, PDF, images, etc.)
 - Allocate costs across different accounting structures (e.g., Fund, Sub Fund, Department, Division, Account, object (sub-account))
 - Itemize accounting lines and provide narrative information as needed
 - Allow entry of multi-year budget forecasts for up to 20 years
 - Save budget input as drafts
 - Allow input, tracking, and documenting of performance measures against the budget
 - Allow end users and department head/ designee to review preliminary budget and approve with a defined workflow.

- The system will allow the admin users to:
 - Define various budgeting methodologies (incremental, variable / fixed and zero- based budgeting) for Department users to leverage and input the budget
 - Set up budget limits for the Departments' and the ability to adjust budgets during budget development based on workflow approvals and notification process
 - Store multi-year budgets that can be saved with the ability to generate multiple simultaneous "budget scenarios" and "what if" analysis
 - Track budget forms through different stages of input and approval along with the audit trail
- The system will group/rank budget requests based on criteria defined by Budget staff to form a final budget package.

Budget Management and Monitoring

- The system will track the status of budget vs. actuals including revenues, expenditures, and positions.
- The system will track changes for up to 5 years from budget inception and provide audit logs and robust reporting.
- The system will require justification when changes are made manually by the user over a certain dollar and/or %.
- The system will allow calculation methodologies for forecasting.
- The system will create a configurable real-time dashboard that displays the actual expenses & revenues vs budgeted.
- The system will also track fund balances, cost allocations models, revenue, and position FTE charts.
- The system will allow users to enter configurable narrative information when submitting budgets or making budget changes.

Budget Integration

- The system will seamlessly integrate in real-time to other business areas across the environment (e.g., finance, project management, HR, and Payroll) especially with the ERP payroll module, enabling the collection of payroll data to streamline budget analysis and forecasting processes.

Budget Reporting

- The system will have free form text fields that can be used for summarizing and grouping data for reporting.
- System will be able to restrict query access of data based on security/profile.
- The system will allow for real-time and mid-cycle reporting, configurable dashboards, and process reports to track expense actuals to budget and the ability to perform what-if analyses for enhanced monitoring and decision-making.
- The system will be able to drill down to specific categories and produce reports at any level of detail.
- The system will generate monthly progress reports that can be scheduled and delivered at defined intervals.
- The system will have the ability to capture desired information that can be extracted into reports and used to generate structured budget documents that can also be published online.
- The reports, queries and underlying data must be exportable to Microsoft Excel and integrated with business intelligence reporting tools.

Capital Budget Planning and Forecasting

- The system will track the initial request, approval process, project progression, and completion of capital projects.
- The system will provide “what if” analysis for various budget scenarios which includes multi-year periods (e.g., 5-20 years) and multiple funding sources.
- The system will allow users to track the status of Capital Projects by comparing the budget vs. actuals from project start date to project acceptance (and by fiscal year) with real time metrics and configurable dashboards.
- The system will track capital projects according to the project’s funding sources and identify individual projects as part of a larger overarching project.
- The system will create custom and free-text fields (e.g., recurring, continuing, complete, new, etc.) to capture project information.
- The system will prioritize, and rank projects based on user-defined criteria.
- The system will allow users to upload supporting documents in all formats to a capital project.

Salary and Benefits Forecasting

- The system will integrate existing HR/Payroll data, and account for forecast assumptions for step and non-step merit-based salary increases, COLA adjustments, and vacancy factors/salary savings.
- The system will forecast multi-fiscal year salaries (up to 5 yrs.) and employee benefits data for budget and strategic financial planning that can be posted to baseline budgets.
- The system will forecast changes in percentage cost benefits (ex: retirement, unemployment, Medicare etc.)
- The system will assign default salaries and benefit assumptions for position classifications and vacant positions when calculating salaries and benefit costs.
- The system will account for the “what-if” analysis and multi-year scenarios surfacing from labor negotiations.
- The system will allow for the allocation and reporting of costs to various cost centers, budget levels and other pre-defined categories.
- The system will be able to spread salaries and benefits on an annual, monthly or pay period basis.

Security and Workflow

- The system will allow user access restrictions via roles/permissions based on a hierarchal structure.
- The system will track and display the audit trail of modifications.
- The system will allow admin users to define and disseminate announcements and other important information to users.
- The system will accommodate multiple users (100+) working simultaneously.

System Administration

- The system provides a user-friendly file structure for import and export.
- The system will have access to real-time HR, Finance data from ERP HR and Finance modules.
- The system will allow the import of files that have the adjustments needed for projections to reflect on the salary and benefits forecast and other relevant reports.
- The system will aid in budget rollovers and data management, including automated schedule task management.
- The system will generate the salary and benefits forecast 5-year report or other reports at a scheduled interval.

- The system allows admin users to import/export data from external sources (within 2 hours or less) for what-if projections.

B.3.4 Human Resources Management

Human Resources Management – Current State

Overview

The County's current core Human Resources Management (HRM) system is CAPS+ HR based on CGI Advantage Finance version 3.11. To fulfill its HRM needs, the County supplements and interfaces CAPS+ HR with various COTS solutions, SaaS solutions, and custom-built systems.

Below is a description of the County's current HRM processes and associated systems, including the current ERP system, COTS solutions, and custom-built systems.

Personnel Management

The County is using CAPS+ HR for some personnel management functions such as employee records creation and maintenance, employee pay parameters, employee transfer from one County department to another, personal data changes, employee termination, and personnel action tracking. Workflow processes and role-based access are integrated with these functions.

Workforce Administration

The County is using CAPS+ HR for some workforce administration functions, such as position control, including creation, status updates, modifications, and deletion of regular and limited-term positions. The County also uses CAPS+ HR to make position classification modifications due to a position classification reallocation/maintenance study, freezing/unfreezing positions, reinstating positions, and transferring a position between budget controls. Workflow processes and role-based access are integrated with these functions.

Compensation Administration

The County is using CAPS+ HR to make mass updates for salary, pay grades, and job classifications due to events such as Cost of Living Adjustments (COLAs). This task is followed by a mass update as well as manually updating positions and employee records.

Workforce Shaping

The County uses CAPS+ HR to capture supervisory relationship information (i.e., supervisor ID in each employee record). The County uses Microsoft Visio or similar tools and manually develops and maintains visual organizational design and charts.

Employee/Manager Self-Service

The County is using a County-developed application, Employee Self-Service Portal, that interfaces with CAPS+ HR to provide functions such as supervisor update requests, employee W4 updates, Pay Stub Portal, employee deduction enrollment, and W2 retrieval. The County does not currently have Manager Self-Service capabilities.

The County recently launched OC METER, an employee reimbursement system that was configured using SAP Concur Expense. This system receives employee data from CAPS+ HR and provides employee expense data to CAPS+ for payroll payments.

Workforce Insights

The County is using HR Data Portal, a County-owned custom application, to generate reports and dashboards for HR data from CAPS+ HR. It is used primarily by authorized HR staff to fill some of the reporting and analytics functions.

Learning Management and Performance Management

The County is using Eureka, a system based on the SaaS Cornerstone OnDemand solution, for its learning management and performance management functions. A one-way interface from CAPS+ HR provides data to this system. Such data include employee details – credentials, identity, department, position, supervisor, etc.

Talent Acquisition

The County is using NEOGOV for recruitment functions, including posting position vacancies and online job application submission and processing, as well as onboarding. A one-way interface from CAPS+ HR provides data (title schematics such as title code, grade/step, and min/max salary information) to this system.

Employee Benefits Administration

The County is using CAPS+ HR to process benefits deductions and employer fringes. Benefits eligibilities are determined by the employees' titles, sub-titles, status, scheduled hours, etc. The eligibilities include Health, Dental, Life, Accidental Death, and Dismemberment (AD&D), Optional Benefit Plan (OBP), 401a, deferred compensation, etc. In addition, the County is using CGI Advantage custom modifications to determine/calculate the County's unique benefit programs such as the Retiree Medical Incentive Program (RMIP).

The County is using several vendors for its benefits administrative needs, such as Alight for employee benefits administrator and employee benefits self-service, Empower for deferred compensation and 401a, and Mission Square for Health Reimbursement Arrangement (HRA).

The County recognizes the value of having an integrated system, and as it develops and travels down a modernization path, the County seeks an ERP system with HR functionality that completely supports core HR functions, processes, and procedures, allowing it to shift from its current to future state without using all of the custom-built sub-systems currently in place.

Human Resources Management – Future State

Overview

The County envisions the core HR system to bring together all HR-related reporting and analytics functions as well as integration or interfaces with related HR systems.

In order to improve the County's HRM functions, the new ERP system will enhance the management of all stages of the employee lifecycle and replace existing County-owned custom applications such as Employee Self-Service Portal and HR Data Portal.

The new ERP system will provide the features, functions, and capabilities listed below and specified in the ERP Requirements – Attachment 4, many of which are not yet available in the current state.

Although the scope of the ERP RFP does not include the existing solutions for learning management, performance management, succession planning, professional development, talent acquisition, and benefits administration, it anticipates that the new ERP system will complement internal and external systems and offer seamless integration techniques, such as web services, in place of file interfaces, as well as robust metrics and reporting.

Personnel Management

- Position control – including creation, status updates, modifications, deletions of regular and limited-term positions, vacancy reporting, and underfill and overfill reporting.
- Position classification modifications – including reallocation/maintenance study, freezing/unfreezing positions, reinstating positions, and transferring a position between budget controls.
- Future-dating – employee record creation and maintenance, employee pay parameters, employee reporting structure, employee transfer from one County department to another, personal data changes, employee termination, and personnel action tracking.
- Management of staff – Support employee structures that match job classifications to positions to actual employees.
- Online personnel actions – Fully electronic workflow for approving personnel actions and ERP system that stores all history of changes.
- Assigned Assets – Track controlled assets assigned to staff (e.g., cell phone, laptop, etc.)
- Disciplinary Actions – Track disciplinary actions or grievances.
- Case Management – Open and manage cases with employees. Provide reminders for follow-up action, storing decisions, future notifications, and detailed security settings.
- Historical Views – View history of positions based on past dates or effective future dates.

Workforce Shaping/Administration

- Skill Tracking – Track the skills of each employee. Skills can be used for professional development, meeting the required conditions of the position, compensation, or disaster planning. The County could also use skill tracking to find employees with in-demand skills (for example, speaking a foreign language).
- Certifications – Track job-required certifications and the training necessary to maintain them.

Compensation Administration

- Compensation Modeling – Managers can create and adjust compensation models and see the impact on the department Budget. Allow for a combination of percentage increase and overtime estimations and include in calculation against budget.
- Salary Increase/Merit Matrix – Compensation staff can create and maintain multiple separate salary increase plan types using different variables such as performance, compa-ratio, and range penetration.
- Allowances Maintenance – Maintain allowances by type (e.g., meal, housing, transportation) and calculation method (e.g., percentage of base, flat amount).

Employee/Manager Self-Service

- Employee Self-Service Portal – Employees can update contact information and upload files such as certificates, request or access data, such as W4 updates, direct deposit accounts, paystub viewing

and retrieval, employee deduction enrollment, and W2 retrieval through any smart device or web portal.

- Manager Self-Service – Managers can access management data or approval workflow through any smart device or web portal.
- Bring Your Own Experience – Employees and managers can change report views through intuitive processes such as sliding presentation objects around the screen.
- Employee Expense Reimbursement – Replace the SAP Concur solution.

Workforce Insights

- Integrated reporting and analytics of HR data for authorized HR staff in real-time, on-demand, or on schedule.
- Robust reporting and query capabilities for authorized staff to run queries in lieu of relying on the system technical support team to run queries or generate reports.

Other HRM Functions

For the following functions, the County will continue to rely on existing solutions or another system that may not be the same as the selected ERP. The County expects that the new ERP solution will complement these systems and provide seamless integration methods (such as web services and Application Programming Interfaces (API) instead of file interfaces) to allow bilateral data exchange – real-time, on-demand, or on schedule – between the selected ERP and these systems.

Learning Management and Performance Management

- The County will continue to rely on the existing solution (Cornerstone OnDemand – County-branded Eureka) or another system that may not be the same as the selected ERP.
- Exchange data with Eureka such as job/role classification details, job history data, organization hierarchy (employee-supervisor reporting structure), certification data (type, expiration date), and career/skill development paths.

Talent Acquisition

- The County will continue to rely on the existing solution (NEOGOV). Provide title schematic details (e.g., class title, class code, and salary information) to NEOGOV.
- Receive applicant data for new employees from NEOGOV.
- Document the complete offer package. Highlight and note rationales for exceptions to guidelines. Attach this to the candidate record.
- Integrate/interface with the County's Talent Management System, Eureka (Cornerstone OnDemand).

Employee Benefits Administration

- The County will continue to rely on external benefit vendors such as Alight for the administration of its Benefits programs, Empower for Deferred Compensation, and Mission Square for Health Reimbursement services). Integration – The ERP shall integrate seamlessly and timely with these providers to:
 - Provide employee and payroll data so that they can set up employees' benefits and eligibility and calculate biweekly deductions and contribution amounts; allow employees to make elections (employee self-service)
 - Provide data on qualifying life-event changes (such as additions or removals of dependents and changes on marital status) or employer changes (such as promotions, part-time to full-time status, and vice versa)

- Receive data from these solutions to process changes to employee benefits and set up benefits deductions
- Communicate the selections made outside of the selected ERP to confirm employee selections
- External Benefit Providers – Employees can link to external benefit providers to enroll in programs that are not part of the internal ERP solution.
- Benefit Plan Limits – Manage benefit plan limits, such as pre and post-tax contributions (e.g., deferred comp.), Health Reimbursement Arrangement (HRA), and Flexible Spending Account (FSA).
- County’s Programs – The County can customize, add, or modify benefit modules to administer its programs such as the Retiree Medical Incentive Program, including eligibility and calculation of benefit amounts.

B.3.5 Payroll

Payroll – Current State

Overview

The County’s current core HR/Payroll system is CAPS+ HR/Payroll 3.11. The County recently implemented a new timekeeping system from Workforce called OC TIME which incorporates extensive logic for automated processes to ensure compliance with Federal/State laws and Memorandum of Understandings (MOUs) with unions. The County runs bi-weekly payroll cycles for both positive and exception-paid employees and weekly supplemental cycles; additional supplemental cycles are run as needed.

Below is a description of the County’s current Payroll processes and associated systems, including OC TIME.

Time Management

The County utilizes an external time management system, OCTIME. The County’s CAPS+ HR/Payroll system integrates employee files to OC TIME to assist employees with posting time to their timecard. There is extensive logic setup within OC TIME to automate calculations such as overtime, holiday pay, night shift and other items to ensure that the employees are paid correctly per Memorandum of Understanding (MOUs) and Federal Labor Standards Act (FLSA). The County continues to utilize timesheet adjustment documents within the County’s CAPS+ HR/Payroll system to ensure employees are paid correctly.

The County uploads FLSA workweek files into OC TIME and assigns schedules to employees to ensure proper calculation of overtime and pay.

The County loads five files from OC TIME into the CAPS+ HR/Payroll system to pay employees. These files contain information, such as mileage, timesheet adjustments, historical timesheet information and timesheet images.

Leave Management

The County utilizes an outside time management system called OC TIME. The County’s CAPS+ HR/Payroll system integrates leave files to OC TIME to assist employees with posting and tracking leave time to their timecard. There is extensive logic setup within OC TIME to ensure employees do not exceed leave usage balances such as vacation payouts, personal business leave, etc. per the agreed upon

Memorandum of Understanding (MOUs). The County continues to utilize timesheet adjustment documents and leave adjustment documents within the County's CAPS+ HR/Payroll system.

The leave accrual calculation is maintained within the County's CAPS+ HR/Payroll system and the County loads a biweekly leave file into OC TIME to ensure the balances are accurate in OC TIME. The accrual calculations in CAPS+ HR/Payroll system are based on progression rules by years of service per MOU.

The County maintains a biweekly manual audit for other leave balances to ensure that adjustments processed outside of OC TIME are captured and loads the file into OC TIME to ensure balances are accurate.

Deduction Management

The County receives 30 bi-weekly excel files containing thousands of line items pertaining to an employee's pay. The files come from unions and are uploaded by the County into the CAPS+ HR/Payroll system. Deductions such as Federal IRS and State tax rates, Medicare, and retirement rates are maintained in the ERP system. During payroll cycle, deductions for union dues, retirement contributions, deferred compensation are calculated based on the employee's deduction policy driven by title and sub-title codes.

Retirement Processing

The County of Orange retirement process includes the calculation of the employee/employer contributions, retirement deductions on employees' pay, and creation of the outbound interface file. The calculation of the contributions utilizes the retirement rates provided by the Orange County Employee Retirement System (OCERS) based on actuarial studies. These rates are entered into the CAPS+ HR/Payroll system by deduction types and plans and added to the employees' deduction plan (also known as a deduction policy). During the payroll cycle, the employee contribution amounts are calculated using age of entry while the employer amounts are based on OCERS rates for normal and unfunded liability. The applicable calculated amounts are then deducted from the employees pay. The outbound interface files are generated during the payroll cycle which includes the contribution data and loaded into the OCERS system.

Payroll Accounting Management

The Payroll Accounting Management (PAM) process occurs after the completion of the payroll cycle. During the PAM process, salaries and benefits are recorded to the expense, liability, and cash balance sheet accounts. PAM also has a customized process for recording salaries, benefits, burden, and overhead charges to job numbers. The burden and overhead rates are maintained in the CAPS+ HR/Payroll system.

Year-End Processes

Year End processes include W2 reporting, updates of Federal IRS and State Tax rates, IRS Mileage rates, Deferred Compensation cap limits, FICA Wage Base, Minimum Wage rate and Pay Cycle table.

Payroll – Future State

Overview

The County recognizes the value of having an integrated system, and as it develops and travels down a modernization path, the County envisions an integrated process to bring together all the functions of payroll without having a separate time and leave management system where files must be exchanged back and forth.

Time Management

- The system will include a robust Time Management module.

- The system will seamlessly integrate with other time management systems (i.e. mileage, audit trails, etc.).
- Configurable to be compliant with Federal/State laws and MOUs.
- Automate processes and pay calculations such as overtime and premium pays.
- System has mobile capability.
- System can be configured with comprehensive policy configuration for various County Unions and Special Districts.
- The system has extensive reporting and analytic capabilities.
- The system will process replacement checks for multiple pay periods in one payroll cycle.
- Generate pay checks for net zero pays.

Leave Management

- Integrate with other systems with the ability to upload files.
- The system has a simplified leave request and approval workflow process and once time off is approved, it will infer onto the timecard.
- The system has extensive reporting and analytic capabilities.
- Maintain multiple holiday calendars for County and Special Districts
- The system will have leave accrual processing.
- The system will calculate Holiday Comp in addition to the Comp (compensatory leave time) and FComp (Compensatory leave time that is subject to FLSA rules) calculations without the need for a manual or custom modification process.

Deduction Management

- Integrate with other systems and ability to upload files.
- Simultaneously process multiple types/plans for garnishments and child support payments.
- Employee self-service module for direct deposit, W4 changes, etc.

Retirement Processing

- Integrate with other systems, such as OCERS and allow file uploads containing retirement rates, and transfer of employee data to OCERS for the purpose of calculating employees' retirement benefits.
- Retirement interface files to capture and include employees in a 'Leave without Pay' status.
- Contain a benefit override policy when retirement cap limits are met.

Payroll Accounting Management

- Seamlessly integrate and communicate with other ERP modules, such as Finance.
- Upload payroll accounting files.
- Perform account coding validation and add default position accounting.

Year-End Processes

- Automatic updates to the following but not limited to:
 - Federal IRS and State Tax rates
 - IRS Mileage rates
 - Deferred Compensation cap limits
 - FICA Wage Base

B.3.6 Technology Solutions

Technology Solutions – Current State

On-Premises System

- The County’s current ERP resides at the County’s Data Center on an IBM AIX platform running Oracle 19c Relational Database Management System (RDBMS). The County is currently working on upgrading from AIX Power 8 to Power 10 in order to support the existing ERP until the new ERP System is implemented.
- The County’s ERP Disaster Recovery site is located in Scottsdale, AZ. This Disaster Recovery environment will be moved to Sacramento, CA between March and June 2024.
- These platforms are under Managed Services Service Level Agreements (SLA) with SAIC, the vendor engaged by the County Executive Office (CEO), OC Information Technology (OCIT), for servers hosted at the County’s Data Center. SLA services include maintenance of hardware, operating system, performance, security monitoring, equipment upgrades, software patching, backups, and restore. Our current up-time SLA is 99.99%.

Security

- The County currently uses Access Request Application (ARA), for user-provisioning and de-provisioning. This application is County-owned and custom-built.

ARA:

- Allows registered users to submit access requests
 - Checks for role conflicts against a conflict matrix
 - Captures signature cards for manual roles; and enforces single approval and restriction on self-approval
 - Uploads approved requests to the ERP hourly for automated provisioning
 - Auto-locks access upon user separation or transfer
- The current ERP’s application security roles can be configured at different levels, including:
 - System resource (table, document, pages, etc.)
 - Data views (hide fields, sections, etc.)
 - Function (read, approve, reject, etc.)
 - The current ERP has the ability to capture audit trails.
 - ARA provides reporting on the following:
 - Reconciliation & transmission reports produced from ERP modules
 - Lists of separated & transferred employees
 - Lists of active users
 - Lists of all submitted requests
 - The custom-built data warehouse provides reporting on the following:
 - User access
 - ERP access control
 - Audit logs (change management, bypass approval, etc.)

Workflow

- The current ERP workflow configurations can be unique by system resource, for example, by document, forms, department, and/or unit, etc. It enforces single approval and restrictions on self-approval.

- The system shows individualized worklists of outstanding items in an approver's queue and sends email notifications.
- Approval requests can be assigned by groups, whereas members of a group can approve.

Network/Infrastructure

The current ERP is not accessible outside of the County network or VPN due to the current security architecture for on-premises systems.

Intuitive User Interface

The current ERP provides a web-based user interface. Currently, users have to click on multiple tabs to view and enter data, plus they have to enter a page code to navigate to specific screens.

Internal Controls

The County is currently using a combination of the ERP system and our County-owned, custom-built application, ARA, to fulfill internal controls requirements.

Fraud, Waste & Abuse Prevention and Detection

Within the current ERP, a distinct or material capability for fraud, waste, and abuse prevention and detection does not exist.

Integration Capability

The County primarily uses data files via FTP to exchange data between the current ERP and other systems.

Mobile Capability

The County currently does not have mobile capability available.

Reporting & Analytics

- This consists of custom-built data warehouses with online reporting using data feed from the ERP.
- The County uses a third-party system, Hyland OnBase, for document management and archiving County records and associated attachments for research purposes.
- The County uses Altair Monarch to data mine reports from OnBase.

Technology Solutions – Future State

SaaS System

- Availability/Uptime Calculation – Availability calculation is clearly defined to show maintenance time and downtime. As part of the calculation description, all monthly maintenance downtimes are clearly defined. The County expects that the future system should have the same or better than the current SLA uptime of 99.99%.
- Service Level Agreement Monitoring – Monitors the performance of contracted service levels. Alerts system administrators when service levels are not being met. Penalties for not meeting service levels are clearly defined.
- Subscription Reporting – Produces report of subscription use that includes:
 - users triggering subscription
 - process triggering subscription
 - when subscription was last used

Security

- Onboarding – New employees are assigned base level security access onboarding processes.
- Single Sign-On (SSO).
- Multi-Factor Authentication (MFA) - Solution supports MFA processes based on authenticator apps, texts, or email confirmation.
- Self-Service – Vendors and other casual users can initiate secured password re-sets without having to contact County IT.
- Audit – Solution produces reports of users and assigned roles. Report shows potential conflicting access or security.

Workflow

- Workflow Dashboard – Users have visual or other tactile queues to alert users of outstanding workflows that need to be reviewed.
- Work Queue – Solution allows several approvers to be assigned to a transaction. The Solution assigns the request for approval to the approver with the shortest workload.
- Delegate – Solution allows an approver to temporarily delegate the approval rules to a user with the same approval authority. Any approval by a Delegate shows that the approval was made by the Delegate on behalf of the appropriate workflow approver.
- Reporting – Solution can generate a report of workflow approvals that shows workflow, speed of approval, and approval results.

Network/Infrastructure

- **Intrusion Alerts** – Proactively monitors any devices provided as an Infrastructure as a Service for any intrusions and blocks and reports them.

Intuitive User Interface

- **ADA Compliance** – Contains all ADA compliance features and meets Federal ADA requirements.
- **Self-Help** – Digital assistants are used to guide users through complex transactions.

Internal Controls and Other Processes

It is expected that the ERP system is designed with Internal Control (IC) and other processes in mind as detailed below.

Governance, Risk, Compliance (GRC)

- System functionality shall address Committee of Sponsoring Organizations (COSO) framework.
- All internal controls are documented (system and manual IC's) within the system.
- Process workflows from system and manual IC's (post implementation) are documented within the system.
- Able to be periodically monitored.
- Shall be evaluated by the system to identify areas of redundancy.
- Evaluated by the system (and conducive for human review of the evaluation) for effectiveness, recommending where ICs are too stringent or where further ICs are needed.
- System can evaluate testing of IC's to ensure compliance.
- Conducive to periodic testing and can be performed at the County's timetable.
- Real-time interactive dashboard analytics to identify gaps in IC compliance.
- IC compliance is traceable and embedded in end-to-end implementation methodology.
- Real-time IC process monitoring
- Training County staff to implement, maintain and update GRC system.

- Provides mechanism that County employees certify (quarterly/annually) that the internal controls where they are responsible are working appropriately and are not aware of any internal controls that are not working.

Process Analysis (Process Mining)

- Identify performance impacts for existing and new process flows to make them more efficient and streamlined.
- System will monitor process performance in a visual manner for both retained legacy systems and the new ERP system.

Robotic Process Automation/Machine Learning (RPA/ML)

- Look for opportunities to implement RPA/ML to automate a limited quantity of key functions with the highest impact within Financial, Budget, Payroll, Procurement and Human Resources modules (i.e., ~20% of eligible RPA/ML automations) at “Go Live” which include, but aren’t limited to, the following considerations:
 - Lowest expected maintenance
 - Lowest Level of effort
 - Meeting identified Key Performance Indicators

Fraud, Waste & Abuse Prevention and Detection

While Fraud, Waste & Abuse (FWA) procedures should be embedded in each proposed ERP module (i.e., preventing duplicate payments in Accounts Payable, segregation of duties, etc.), separate functionality is required that detects and prevents FWA in organizational and operational areas including interfaces with systems, such as the Internet of Things (IoT) and other systems the vendor may propose, queries data from outside systems such as Secretary of State incorporation/company data and compares against data in other systems that the County utilizes or will utilize.

It is expected that the ERP system is designed with FWA prevention and proactively detects FWA issues.

This functionality includes, but is not limited to, the following:

- Provides comprehensive ability to mitigate FWA risk by actively and thoroughly analyzing County information for FWA behavior and generating alerts.
- Ongoing tracking of sophisticated, consequential, and emerging FWA scenarios.
- Organized to manage individual cases of purported FWA and proactively prompt follow-up on open cases.
- Provides reasons why potential FWA alerts are generated.
- Prior potential FWA flags will help continuous improvement of the FWA function through machine learning.
- Recommends changes to processes and/or policies to enhance internal controls.
- FWA detection is completely embedded end to end within all processes and during implementation of the new ERP system.
- Near Real-time Interactive dashboard to show outstanding FWA alerts (by user/functional role)
- Provides mechanism that County employees certify (quarterly/annually) that they are not aware of any FWA being undertaken.

Examples of FWA include, but are not limited to, the following hypothetical situations:

- Potential fake employees.
- Automated way to verify revenue completeness amongst all departments.
- Possible vendor bid rigging.
- Security permissions that would allow a user to bypass segregation of duties.
- Serious abuse of County time (i.e., personal business).
- Purchase of goods at inflated prices.

Transparency Portal

- Connects to the ERP and other systems that the County utilizes.
- Data architecture security would include partitioning for external consumption.
- Near-real time.

Process List Automation

- All individual processes, performed both manually and by the system, that make up an overall process, are documented within the system.
- Tracking and traceable for all individual process status by employee or position, whether manual or system, to ensure processes are timely and properly completed.
- Real-Time Interactive dashboard that shows progress of individual process completion (e.g., red = 2+ days late, yellow = < 2 days late, green = on-time; blank - not due yet) that comprise an overall process.
- Provides mechanism that County employees certify (quarterly/annually) to ensure individual processes are completed.
- Ability to add overall processes with individual tasks (both system and manual).

Examples of overall processes include, but are not limited to, the following list:

- Annual overall ACFR process.
- Annual overall Property Tax process.
- Overall individual audit processes (GANN, Single Audit, Tobacco Settlement Revenue, etc.).
- General Reconciliations.
- Budget process including Annual “Budget Book” Reporting.
- Periodic Payroll Tax remittance/1099/W-2 processes.
- Bi-weekly payroll process (timesheet submission to Direct Deposit completion, including ensuring that all appropriate employees are paid).
- Contracting for individual procurements (from RFP drafting to contract award).
- Purchase requisition to payment.
- Register a new vendor.
- Individual recruitment (from job bulletin drafting to eligibility list creation to employee onboarding).

Integration Capability

Utilizes commercially available Application Programming Interfaces (APIs) and other integration standards and does not rely on customized programming to complete interfaces.

Mobile Capability

- Bring Your Own Device (BYOD) – Users can enter transactions and approve transactions from a portable smart device.
- Security – Data and access from a lost device can be cleared remotely.

- Scanning – Mobile devices can be used to scan invoices, barcodes, or QR codes to facilitate transactions such as AP, inventory management and capital asset management.

Reporting & Analytics

- Low Code/No Code – Reports are customized with tools that require little or no programming knowledge.
- Document Management and data mining capability – The County will continue to have the business needs for a document management solution and data mining capabilities.

B.4 Project Scope – Organization

Department	# Positions Budgeted	Finance/ General Ledger	Procurement	Budget	HR/ Payroll	Time Management
Elected Departments						
Assessor	280	Yes	Yes	Yes	Yes	Yes
Auditor-Controller	433	Yes	Yes	Yes	Yes	Yes
Clerk-Recorder	117	Yes	Yes	Yes	Yes	Yes
District Attorney-Public Administrator	908	Yes	Yes	Yes	Yes	Yes
Sheriff-Coroner	4,010	Yes	Yes	Yes	Yes	Yes
Treasurer-Tax Collector	78	Yes	Yes	Yes	Yes	Yes
Board of Supervisors Offices						
First District	12	Yes	Yes	Yes	Yes	Yes
Second District	12	Yes	Yes	Yes	Yes	Yes
Third District	12	Yes	Yes	Yes	Yes	Yes
Fourth District	12	Yes	Yes	Yes	Yes	Yes
Fifth District	12	Yes	Yes	Yes	Yes	Yes
Departments that Report to the Board of Supervisors						
Clerk of the Board	23	Yes	Yes	Yes	Yes	Yes
County Counsel	102	Yes	Yes	Yes	Yes	Yes
County Executive Office (CEO)	611	Yes	Yes	Yes	Yes	Yes
Internal Audit	15	Yes	Yes	Yes	Yes	Yes
Office of Campaign Finance & Ethics Commission	2	Yes	Yes	Yes	Yes	Yes
Office of Independent Review	6	Yes	Yes	Yes	Yes	Yes
Departments that Report to CEO						
Child Support Services	388	Yes	Yes	Yes	Yes	Yes
Health Care Agency – Public Guardian	3,041	Yes	Yes	Yes	Yes	Yes
John Wayne Airport	128	Yes	Yes	Yes	Yes	Yes
OC Community Resources	1,171	Yes	Yes	Yes	Yes	Yes

Department	# Positions Budgeted	Finance/ General Ledger	Procurement	Budget	HR/ Payroll	Time Management
OC Public Works	973	Yes	Yes	Yes	Yes	Yes
OC Waste & Recycling	305	Yes	Yes	Yes	Yes	Yes
Probation	1,066	Yes	Yes	Yes	Yes	Yes
Public Defender	474	Yes	Yes	Yes	Yes	Yes
Registrar of Voters	71	Yes	Yes	Yes	Yes	Yes
Social Services Agency	4,506	Yes	Yes	Yes	Yes	Yes
Special Districts that use the County's ERP System*						
Children and Families Commission of Orange County	14	Yes	Yes	No	Yes	Yes
Law Library	15	Yes	No	No	Yes	Yes
Orange County Cemetery District	27	Yes	No	No	Yes	Yes
Orange County Employees Retirement System	111	Yes	No	No	Yes	Yes
Orange County Local Agency Formation Commission	6	Yes	No	No	Yes	Yes
Orange County Transportation Authority**		Yes	No	No	No	No
Superior Court	1,475	Yes	No	No	Yes	No

*Position counts for Special Districts are the number of filled positions as of November 22, 2023.

**The Orange County Transportation Authority does not use the County's Human Resources System, so the position count is not available.

B.5 Project Timeline

The County expects to complete implementation by January 2028. Proposers should communicate realistic timelines to both successfully implement the ERP system on time and within budget and to guide the County in achieving its stated goals. The County has identified the following target schedule but expects future conversations around go-live dates and phase duration as part of the evaluation process.

Phase	Functions	Duration
1	Finance/General Ledger, Procurement, Budget, and Technology Solutions	January 2025 – June 2027
2	Human Resources Management, Payroll	July 2025 – December 2027
3	Asset Management, Fund Accounting, Collections	July 2027 – January 2028

B.6 Implementation Approach

The County understands that each Proposer may take a different approach to implementation. However, to better compare different approaches and to ensure that essential components of the implementation are proposed, the County requires that all Proposers incorporate the following into the proposed implementation approach and provide listed deliverables. The County considers deliverables to be an essential part of the County's quality assurance plan.

B.6.1 Project Management – Proposer will be responsible for providing overall coordination and management to the project including governance support, schedule management, risk mitigation, project communications, contract management, and quality assurance. Project management tasks must also extend to cover any proposed third-party products included in scope. Specific deliverables expected during this stage include:

- Project charter / guidelines
- Work Breakdown Structure (WBS) with deliverable schedule
- Status reports
- Requirements traceability

B.6.2 Change Management – Proposer will work with the County on its change management plan and manage changes in accordance with this plan. The plan shall include the processes for change identification, impact analysis, tracking, monitoring, reporting, and resolution. Proposer will also provide services to assist County in preparing its organization to adopt the new ERP System and associated support and operational services. These services include understanding the County's culture; defining the roles and responsibilities of the project stakeholders, change agents, sponsors, and other pivotal resources; and developing a transition plan to assist County in addressing adoption and change that includes communication, leadership engagement, resistance, change agents, risks to adoption and risk mitigation.

B.6.3 Knowledge Transfer – Proposer will be responsible for ensuring that a robust training program is implemented for all users and technical support staff. Proposer will also ensure the County's core team has sufficient knowledge and understanding of the software to properly participate in the project and subsequent system and business process design discussions. Knowledge transfer stage will include all core team training. Specific deliverables expected during this stage include:

- Project team training plan
- Generic system documentation (text and video)
- All training material will be ADA compliant

B.6.4 System Design – Proposer will be responsible for facilitating processes to define how the system will be used to meet the County's business process requirements and project goals. The County has a documented current-state vision for each functional area, but it needs to identify specifically how the system will be designed/configured to support a new and modern version for the County's administrative functions. As part of the design, the County expects to engage in discussions around how to use the system most effectively, what changes in business process are required and to document configurations, interfaces, reports, workflows, and security roles. Specific deliverables expected during this stage include:

- Business process and system design documentation
- Best practice recommendations

B.6.5 Build – After completing design and after the County has made decisions on both business process

and system configurations, the County expects that the Proposer and County staff will work collaboratively on building the system. All activities related to system configuration, interface development, report creation, or other build tasks should be included in this stage. Specific deliverables expected during this stage include:

- Test scripts based on business process scenarios (use case)

B.6.6 Testing – Throughout the process, the County expects to engage in execution of a formal test plan. The test plan will be developed during the project and include testing approach, roles and responsibilities for testing, and clear deadlines and expectations around testing effort. The County expects to engage in detailed conference room pilot testing, unit testing, regression testing, integration testing, parallel testing (payroll), and user acceptance testing. Specific deliverables expected during this stage include:

- Testing plan
- Testing results

B.6.7 Go Live / Support – At time for go-live, the County expects that the Proposer will assist with end-user training, work to prepare a cutover plan, and assist with the transition to the new software. Included with go-live could also be assistance for after go-live with management of help-desk type functions. Specific deliverables expected during this stage include:

- Training plan
- End-user training materials and user guides
- Cutover plan
- Final acceptance documentation

B.7 Interfaces

Interface requirements have been included in with the functional requirements in Attachment 4 – ERP Requirements. Proposers should respond to each functional requirement, including the interface requirements, to identify the proposed scope. Any positive response, “1”, “2”, “3”, or “4”, is considered to be in-scope and all pricing for the proposed scope must be included in the submitted milestone pricing. Interfaces to the County’s existing systems are critical to the project’s success.

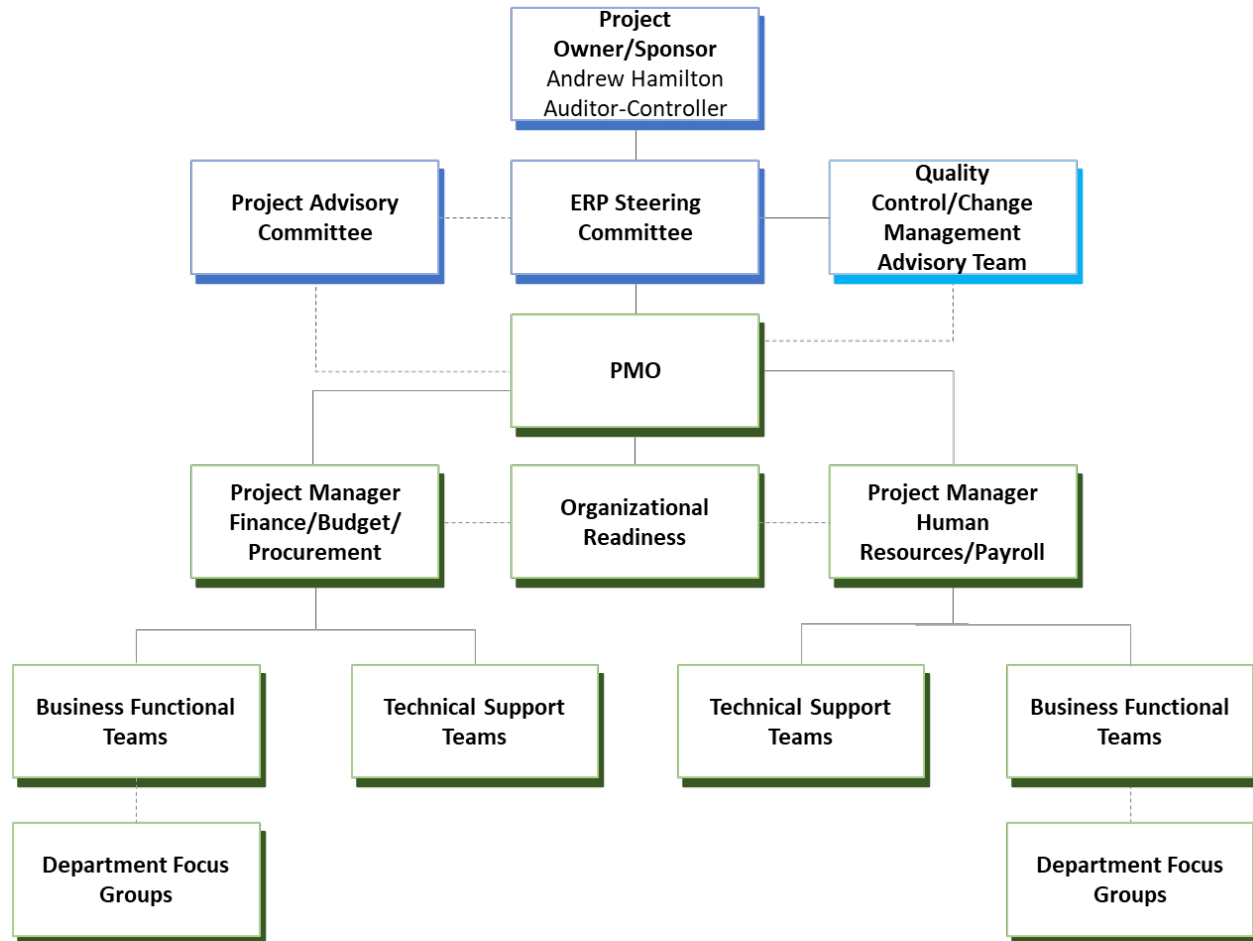
B.8 Data Conversion

The County understands the level of effort required to convert data and is interested in converting only essential data required for the new system. Data conversion requirements have been included with the functional requirements in Attachment 4 – ERP Requirements. Proposers should respond to each functional requirement, including the data conversion requirements, to identify the proposed scope. Any positive response, “1”, “2”, “3”, or “4”, is considered to be in-scope and all pricing for the proposed scope must be included in the submitted milestone pricing. Data conversion of the County’s existing systems to the new ERP system is critical to the project’s success.

B.9 Project Governance and Staffing

The County will make every effort to staff the project appropriately and understands that staffing a project is important to its success. The project organization, shown in the chart below, consists of the ERP Steering Committee, Project Management Office (PMO), Project Advisory Committee, Quality Assurance/Quality Control, Organizational Readiness Team, Business Functional Teams, Technical Support Teams, and Department Business Process Focus Groups.

Governance Model



Project Owner and Sponsor

Charter: Sponsor the project by establishing priorities, adopting the project plan, allocating resources, and providing executive oversight and guidance over policy, procedural, and technical issues.

Scope: Serve as the chair of the ERP Steering Committee.

Member: Auditor-Controller, County of Orange

ERP Steering Committee

Charter: Champion the project; provide direction – does not manage day-to-day project activities; make major project policy decisions; support the project managers and project teams.

Scope: The ERP Steering Committee will hold regular, periodic meetings for project status and issue discussion. Additional special meetings of the Committee will be called, if necessary if the timing of the next regular business meeting will impact a time-sensitive issue.

Members:

County Auditor-Controller (Chairperson)
 Chief Financial Officer, County Executive Office
 Chief Deputy Auditor-Controller

Project Management Office (PMO):

Charter: Provide day-to-day managerial oversight of the project.

Scope: The PMO will develop, maintain, and execute the project in accordance with the Project Management Plan; work to address project issues; ensure quality assurance reviews of work products; coordinate project and Focus Group staffing; lead research and problem resolution efforts; and communicate with identified Department representatives. The Project Management Office will meet on a biweekly basis with Business Function Team Facilitators to discuss schedules and issues and with the Advisory Committee on an ad-hoc basis to report progress and resolve issues. The Project Manager will conduct status meetings with the ERP Steering Committee on a regular basis with increasing frequency as typically required in the latter stages of the implementation.

Members:

Project Manager, ERP Finance/Procurement/Budget
 Project Manager, ERP HR/Payroll
 Project Administration
 Organizational Readiness Manager
 PMO Manager

Project Advisory Committee

Charter: Review project team's recommendations, consider options presented, assess impacts to business processes and associated operational and administrative policies and procedures, project scope and schedule, and technical performance; resolve issues and make recommendations to the ERP Steering Committee.

Scope: Advisory Committee members will work with the project implementation team on an ad-hoc basis to provide direction in their respective areas of expertise and responsibility and make recommendations for the resolution of project issues.

Members:

Director, Central Accounting Operations, Auditor-Controller
 Director, Satellite Accounting Operations, Auditor-Controller
 Director, Information Technology, Auditor-Controller
 Budget & Finance Director, County Executive Office
 Chief Human Resources Officer, County Executive Office
 County Procurement Officer, County Executive Office
 Chief Information Officer, County Executive Office

Quality Control/Change Management Advisory Team

Charter: Advise on ERP implementation best practices, vendor contract compliance, change management standards, and project governance related to ERP implementation; ensure vendor and County deliverables are met and contract requirements are guaranteed.

Scope: The Quality Assurance/Quality Control Advisory Team will report to the ERP Steering Committee and work with the project implementation team to provide input and recommendations.

Member: The advisory team will be from an independent consulting firm with expertise and experience in ERP implementation.

Organizational Readiness Team

Charter: Conduct the required activities to prepare the County for the transformation from the existing ERP to the new ERP.

Scope: The Organizational Readiness Team will report to the PMO to establish leadership buy-in and advocacy for the desired future state, promote adoption, design and execute an organizational communication plan, develop a training approach, and deliver user training.

Member: The Organizational Readiness Team will consist of a communication manager and trainers.

Business Functional Teams:

Charter: Provide implementation leadership in their respective functional areas.

Scope: The Business Functional Teams will work on all areas of the implementation that are within their functional areas of responsibility. This includes clarifying or elaborating on business requirements; providing input on software configurations; documenting workflow; recommending, developing, and updating business procedures and policy changes; drafting test scripts and performing testing; performing quality assurance of system deliverables; reviewing project deliverables for reasonableness and completeness; and developing training curriculum requirements. These teams are responsible for working with identified Department Focus Group representatives and the Technical Support Teams as necessary to finalize business recommendations before submitting them to the Project Advisory Committee for its review and decisions.

Members: The Business Functional Teams will consist of approximately 16 dedicated, full-time Auditor-Controller staff specialized in their respective ERP functions, including, but not limited to, finance, budget, purchasing, human resources management, and payroll.

Technical Support Teams:

Charter: Conduct the required technical and system activities to implement the ERP.

Scope: The Technical Support Teams will work on areas of the Implementation within their responsibility and technical expertise. This includes data conversion, reports and interfaces, software quality assurance, processing platform, systems configurations, system administration, and technical policy and procedure development. The teams will also participate in the system knowledge transfer and transition from ERP implementation to operational support.

Members: The Technical Support Teams will consist of system functional managers, software developers, quality assurance specialists, security managers, database developers, database administrators, system administrators, and platform/data center support staff from the Auditor-Controller IT team and other IT teams supporting the County Departments.

Department Focus Groups:

Charter: Provide department business process insight and business requirements to the Business Functional Teams.

Scope: The Department Focus Groups will be organized on an ad-hoc basis to provide direction in their respective areas of expertise and responsibility and to make recommendations on system capabilities and requirements. They will also participate in process reengineering efforts and perform or coordinate User Acceptance Testing for their departments.

Members: Departmental administrative and program staff nominated by Business Functional Teams and recruited by the Project Management Office.

B.10 ERP System Support Program

Proposer shall provide an ERP System Support Program that, at a minimum, meet the following requirements:

- B.10.1** Proposer shall provide a Post-Implementation Plan to ensure adequate production support for operational activities, including day-to-day tasks activities and scheduled processing cycles.
- B.10.2** Proposer shall provide all ERP System Software maintenance and warranty Updates, Upgrades, patches, fixes, etc. at no additional cost.
- B.10.3** Proposer's Software maintenance and warranty services will extend to all configurations, workflow development, and report development efforts included in the solution implementation.
- B.10.4** Proposer shall provide a four-hour turnaround for issues affecting business-critical operations. And less than 24-hour turnaround issue fix support for general ERP System Software Incidents
- B.10.5** On-Call Support - During the term of the Contract, Contractor shall provide phone/online support to identify and correct issues between releases from 6 am to 7 pm PT, Monday through Sunday.
- B.10.6** Any end-to-end system processing cycle required for County business shall be completed outside of the ERP System Operating Hours. Processing status at each checkpoint shall be automatically sent to County ERP support team. If the processing abends, an automated email notification to the County ERP support team shall be sent. Issues will need to be resolved in accordance with the Service Level Requirements in accordance with Attachment 9 – Proposed Service Level Agreement.

Section C: Detailed Submittal Requirements

Proposals should be prepared as simply as possible and provide a straightforward, concise description of the proposed products and services to satisfy the requirements of the RFP. Attention should be given to accuracy, completeness, relevance, and clarity of content. Proposals must address the following questions and contain the following sections. **The County, in its sole and absolute discretion, may consider the Proposal to be non-responsive and removed from consideration if the Proposer does not provide all information requested or answer all items as directed in this Section.**

C.1 Proposal Section 1 – Summary

C.1.1 Proposal Section 1.1 – Introduction

C.1.1.1 Complete Attachment 1: RFP Submittal Checklist

C.1.1.2 Complete Attachment 2: Cover Page

1. An unsigned or improperly signed Proposal submission may be grounds for rejection of the Proposal and disqualification from further participation in this RFP process.
2. If Addenda are issued to this RFP, the Proposer must sign the cover page from the latest addendum.
3. Proposer must click the box that it certifies that it meets all minimum qualifications as set forth in RFP Section A.13.
4. The RFP Cover Page must be signed by person(s) with authority to bind the Proposer. If the Proposer is a corporation, then the signature of two corporate specific officers as follows is required; the first signature must be one of the following: a) the chairman of the Board; or b) the president; or c) any vice president. The second signature must be one of the following: a) secretary; or b) the chief financial officer; or c) any assistant secretary; or d) any assistant treasurer. In the alternative, a single corporate signature is acceptable when accompanied by a corporate resolution demonstrating the legal authority of the signature to bind the corporation.

C.1.1.3 Executive Summary: Provide an executive summary on your company letterhead. It should be limited to a brief narrative (less than 3 pages) summarizing the Proposal.

1. Summarize the key qualifications of Offeror, distinguishing characteristics of Offeror's Proposal, proposed solution, and project approach, as well as the principal advantages to the County.
2. Address any issue(s) that Offeror has identified in connection with fulfilling the requirements of the RFP and cite specific suggestions for avoiding or mitigating these issues.

C.1.1.4 Complete Attachment 3: Company Profile

C.1.1.5 Complete Attachment 3: Company Profile for each subcontractor. Identify any Company Profiles that are submitted for a subcontractor.

C.1.2 Proposal Section 1.2 – Proposer Team: This Section of the Proposal should identify all firms included in the Proposal and any necessary third-party products/firms required or recommended for the County.

C.1.2.1 Proposer Team Summary: Identify and provide a concise summary of all firms providing

software or professional services as part of this Proposal.

- C.1.2.2 Subcontractor Summary: Proposals must detail the planned use of any subcontractors in fulfillment of the contract requirements. Such details must clearly identify each subcontractor and the portion of the products or services to be provided by the subcontractor and provide sufficient information to allow evaluation and scoring of the portion of the Proposal attributed to such subcontractor(s) as if it were provided by and about the Proposer, including but not limited to the subcontractor's participation in the Demonstration and Interview portion of the selection process as applicable. Subcontractors must meet the Minimum Qualifications listed in Section A.13.

C.2 Proposal Section 2 – Software Requirements

C.2.1 Proposal Section 2.1 – ERP Requirements: This Section describes desired software functionality for the overall project.

C.2.1.1 Complete Attachment 4 – ERP Requirements:

Functional Requirements Responses	
Proposer's Capability	
4	Requirement met and proposed (standard features in the generally available product)
3	Requirement met and proposed (features that are not offered as a generally available product or require custom development or use of extension)
2	Requirement met with proposed third-party product (standard features in the generally available product)
1	Requirement met with proposed third-party product (features that are not offered as a generally available product or require custom development or use of extension)
0	Requirement not met with Proposal

- For each line item, fill in "0", "1", "2", "3", or "4" in the "Proposer's Capability" column on each tab per the "Functional Requirements Responses" table above.
- For requirement responses other than "0" Proposers must indicate the module or product that is required to meet the requirement in the "Proposer's Module" column.
- For requirement responses other than "0" Proposers must indicate the phase of the project that the functionality will be implemented in the "Project Phase" column. Proposer must identify the sections of its Proposal that meet the requirement in the "Proposer's Notes" column.
- All responses which are marked "1", "2", "3", or "4" shall be included in the scope, and the cost Proposal and all other information submitted in this Proposal should reflect this.
- For functionality that is not currently available for viewing at a demo but is available as a customization, modification, or enhancement specific for this project and is in scope for the project, Proposers should indicate a response code of "3" and add details in the "Proposer's Notes" column, including when the capability will be generally available.
- For functionality that is not currently available but will be generally available in a future release, then add a note in the "Proposer's Notes" column.

Please note that failure to provide some requirements or excluding some requirements from scope will NOT automatically eliminate the Proposer from evaluation. The County will evaluate the Proposal as a whole, including price/value comparisons when evaluating Proposals.

C.3 Proposal Section 3 – Software Proposal

C.3.1 Proposal Section 3.1 – Software Products: This Section should provide information on the proposed software scope, and functional description of the software.

C.3.1.1 Complete Attachment 5 – Software Products (Note: Costs will be included in Attachment 15 – Cost, Schedule 2: Software fees)

C.3.1.2 Complete Attachment 6 – Software Background

C.3.1.3 Complete Attachment 7 – Software Modernization Options

C.3.1.4 Answer Response Questions:

1. List and describe all proposed software products that will be delivered as part of the project, including third-party products
2. Identify any licenses, hardware, or other products not included in this Proposal that would be required to operate any of the proposed solutions contained in this Proposal.
3. Describe the technical environment necessary for this software for any products that are to be hosted by the County
4. Identify the security standards maintained in the data center and with the software. Please provide information on certification or audit process for each.
5. Describe the services Proposer will provide to transition the County to a successor ERP provider per Articles 41 and 42 of the Model Contract (Attachment 17 of this RFP). Please also provide associated costs in the Transition Fees Schedule, Schedule 5 of Attachment 15, Cost.

C.3.2 Proposal Section 3.2 – Technical Requirements: This Section of the Proposal should identify any technical requirements for operating the system and describe the key attributes of the Proposer’s proposed delivery services.

C.3.2.1 Complete Attachment 8 – SaaS

C.3.2.2 Complete Attachment 9 – Proposed Service Level Agreement

C.3.2.3 Describe proposed services for hosting.

1. Information on the specific hosting services provided
2. Service desk support services
3. User setup, authentication and management processes
4. Application support
5. Operational support services
6. Technology infrastructure services
7. Disaster recovery
8. Will all products (including third-party products) be hosted through the same provider?

C.3.2.4 On-Premises Requirements

1. Will the County need to host anything on its servers?

2. If the County will need to host anything on its servers, complete Attachment 10 – On-Premises Requirements for each product in scope. If no, provide an explanation here.

C.4 Proposal Section 4 – Professional Services

C.4.1 Proposal Section 4.1 – Implementation Team: This Section should describe the proposed project team including the consultants proposed to provide services for the County.

C.4.1.1 Project Team Information: Identify the proposed project team including the firms responsible for on-time and within budget implementation, and any key consulting team members that will be providing services to the County. Be sure to include:

1. How many staff the Proposer will have assigned to the project
2. Approximate dedication to the project of each resource and approximate time work will be completed on-site vs. off-site
3. Major roles and responsibilities for each resource

C.4.1.2 Complete Attachment 11 – Professional Services Background

C.4.1.3 Complete Attachment 12 – Level of Effort. When completing Attachment 11 – Level of Effort, please refer to definitions found in Section B.6 of this RFP, Implementation Approach.

C.4.2 Proposal Section 4.2 – Implementation Approach: This Section should describe the proposed implementation plan. Proposers should reference Section B for more information on the project scope, goals, and implementation effort.

C.4.2.1 Project Management Services: Explain proposed project management services including:

1. Role of the Proposer project manager
2. Use of project collaboration site
3. Expected role of the County project manager
4. On-Site presence of Proposer project manager
5. Proposed quality assurance procedures
6. Proposed cutover approach

C.4.2.2 Implementation Plan and Work Breakdown Structure: Provide a high-level implementation plan and work breakdown structure (WBS). Major tasks in the WBS should correlate with the milestones in the Milestone Payment Schedule of Attachment 15, Cost.

C.4.2.3 County Staffing Assumptions: Explain the expected County staffing for the project including:

1. Assumed participation in the project (average portion of FTE). This should include all time spent working on the project (including time spent with and without Proposer consultants)
2. Assumptions about prior skills / competencies of resources

C.4.3 Proposal Section 4.3 – Implementation Considerations

This Section asks additional questions related to some of the unique goals and challenges with the County's project. The County expects that proposers provide specific responses that take into account the challenge, the proposer's past experience, and recommendations based on the information that has been presented in the RFP.

C.4.3.1 Answer Response Questions:

1. Describe the approach you will take to fulfill the County's requirements listed below. Provide examples where this functionality has been previously implemented. See Section B.3.6 for more information. Be sure to cover:
 - a. Internal Controls/Governance, Risk Compliance
 - b. Fraud Waste and Abuse
 - c. Process Analysis (Process Mining)
 - d. Robotic Process Automation/Machine Learning
 - e. Transparency Portal
 - f. Process List Automation

C.5 Proposal Section 5 – County Forms

C.5.1 Proposal Section 5.1 – County Forms

C.5.1.1 Complete Attachment 13 – County of Orange Campaign Contribution Form.

C.5.1.2 Optional: complete Attachment 14 – OCLSB and DVBE Form if you qualify for the OCLSB or DVBE per RFP Section A.21.

C.6 Proposal Section 6 – Cost

C.6.1 Proposal Section 6.1 – Cost

C.6.1.1 Complete and submit Schedules 1 through 5 in Attachment 15 – Cost.

C.7 Proposal Section 7 – References

C.7.1 Proposal Section 7.1 – References

C.7.1.1 Complete and submit Attachment 16 – References.

Section D: Attachments

D.1 Attachment 1 – RFP Submittal Checklist

See separate Word document, Attachment_01_Submittal_Checklist_RFP-003-2365101-LB.docx

D.2 Attachment 2 – Cover Page

See separate Word document, Attachment_02_Cover_Page_RFP-003-2365101-LB.docx

D.3 Attachment 3 – Company Profile

See separate Word document, Attachment_03_Company_Profile_RFP_003-2365101-LB.docx

D.4 Attachment 4 – ERP Requirements

See separate Excel spreadsheet, Attachment_04_ERP_Requirements_RFP-003-2365101-LB.xlsx

D.5 Attachment 5 – Software Products

See separate Excel spreadsheet, Attachment_05_Software_Products_RFP-003-2365101-LB.xlsx

D.6 Attachment 6 – Software Background

See separate Word document, Attachment_06_Software_Background_RFP-003-2365101-LB.docx

D.7 Attachment 7 – Software Modernization Options

See separate Word document, Attachment_07_Software_Modernization_Options_RFP-003-2365101-LB.docx

D.8 Attachment 8 – SaaS

See separate Word Attachment, Attachment_08_SaaS_RFP-003-2365101-LB.docx

D.9 Attachment 9 – Proposed Service Level Agreement

See separate Word document, Attachment_09_Proposed_Service_Level_Agreement_RFP-003-2365101-LB.docx

D.10 Attachment 10 – On-Premises Requirements

See separate Word Attachment, Attachment_10_On_Premises_Requirements_RFP-003-2365101-LB.docx

D.11 Attachment 11 – Professional Services Background

See separate Word Attachment, Attachment_11_Professional_Services_Background_RFP-003-2365101-LB.docx

D.12 Attachment 12 – Level of Effort

See separate Excel spreadsheet, Attachment_12_Level_of_Effort_RFP-003-2365101.xlsx

D.13 Attachment 13 – County Of Orange Campaign Contribution Form

See Separate Word document, Attachment_13_County_Of_Orange_Campaign_Contribution_Form.docx

D.14 Attachment 14 – OCLSB and DVBE Form

See Separate Word document, Attachment_14_OCLSB_and_DVBE_Form_RFP-003-2365101-LB.docx

D.15 Attachment 15 – Cost

See Separate Excel spreadsheet, Attachment_15_Cost_RFP-003-2365101-LB.xlsx

D.16 Attachment 16 – References

See Separate Word document, Attachment_16_References_RFP-003-2365101-LB.docx

D.17 Attachment 17 – Model Contract

See Separate Word document, Attachment_17_Model_Contract_RFP-003-2365101-LB.docx

D.18 Attachment 18 – County of Orange Security Standards

See Separate PDF document, Attachment_18_County_of_Orange_Security_Standards.pdf. This is an attachment to the Model Contract.

D.19 Attachment 19 – County of Orange Records Retention Schedule

See Separate PDF document, Attachment_19_County_of_Orange_Records_Retention_Schedule.pdf. This document is referenced in the Attachment 4.

Attachment 1: RFP Submittal Checklist

RFP #003-2365101-LB, Enterprise Resource Planning Software as a Service System

Proposer Company Name: _____

Proposal Section	Item Name	RFP Reference	Submitted
1	Summary	C.1	
1.1	Introduction	C.1.1	
1.1.1	RFP Submittal Checklist	Attachment 1 – Submittal Checklist	<input type="checkbox"/>
1.1.2	Cover Page	Attachment 2 – Cover Page	<input type="checkbox"/>
1.1.3	Executive Summary	C.1.1.3	<input type="checkbox"/>
1.1.4	Company Profile	Attachment 3 – Company Profile	<input type="checkbox"/>
1.1.5	Subcontractors	C.1.1.5	<input type="checkbox"/>
1.2	Proposer Team	C.1.2	
1.2.1	Proposer Team Summary	C.1.2.1	<input type="checkbox"/>
1.2.2	Subcontractor Summary	C.1.2.2	<input type="checkbox"/>
2	Software Requirements	C.2	
2.1	ERP Requirements	C.2.1	
2.1.1	ERP Requirements	Attachment 4 – ERP Requirements	<input type="checkbox"/>
3	Software Proposal	C.3	
3.1	Software Products	C.3.1	
3.1.1	Software Products	Attachment 5 – Software Products	<input type="checkbox"/>
3.1.2	Software Background	Attachment 6 – Software Background	<input type="checkbox"/>
3.1.3	Software Modernization Options	Attachment 7 – Software Modernization Options	<input type="checkbox"/>
3.1.4	Answer Response Questions	C.3.1.4	<input type="checkbox"/>
3.2	Technical Requirements	C.3.2	
3.2.1	SaaS	Attachment 8 – SaaS	<input type="checkbox"/>
3.2.2	Proposed Service Level Agreement	Attachment 9 – Proposed Service Level Agreement	<input type="checkbox"/>
3.2.3	Proposed Services for Hosting	C.3.2.3	<input type="checkbox"/>
3.2.4	On-Premises Requirements	C.3.2.4, Attachment 10 – On-Premises Requirements	
4	Professional Services	C.4	
4.1	Implementation Team	C.4.1	
4.1.1	Project Team Information	C.4.1.1	<input type="checkbox"/>
4.1.2	Professional Services Background	Attachment 11 – Professional Services Background	<input type="checkbox"/>

Proposal Section	Item Name	RFP Reference	Submitted
4.1.3	Level of Effort	Attachment 12 – Level of Effort	<input type="checkbox"/>
4.2	Implementation Approach	C.4.2	
4.2.1	Project Management Services	C.4.2.1	<input type="checkbox"/>
4.2.2	Implementation Plan and Work Breakdown Structure	C.4.2.2	<input type="checkbox"/>
4.2.3	County Staffing Assumptions	C.4.2.3	<input type="checkbox"/>
4.3	Implementation Considerations	C.4.3	
4.3.1	Answer Response Questions		
5.1	County Forms	C.5.2	
5.1.1	County of Orange Campaign Contribution Form	Attachment 13 – County of Orange Campaign Contribution Form	<input type="checkbox"/>
5.1.2	Optional: OCLSB and DVBE Form	Attachment 14 – OCLSB and DVBE Form	<input type="checkbox"/>
5.3	Implementation Considerations	C.5.3	
5.3.1	Answer Response Questions	C.5.3.1	<input type="checkbox"/>
6	Cost	C.6	
6.1	Cost	C.6.1	
6.1.1	Cost	Attachment 15 – Cost in a separate envelope	<input type="checkbox"/>
7	References	C.7	
7.1	References	C.7.1	
7.1.1	References	Attachment 16 – References	<input type="checkbox"/>

Attachment 2: Cover Page

RFP #003-2365101-LB, Enterprise Resource Planning Software as a Service System

The County of Orange Auditor-Controller (“County”) is soliciting proposals (“Proposals”) from qualified proposers (“Proposers”) to provide an Enterprise Resource Planning Software as a Service system (“ERP System”), including any necessary related applications to meet software requirements defined in this Request For Proposal (“RFP”), and services necessary to install the software and meet professional service expectations defined in this RFP (“Services”).

This RFP is set out in the following format:

SECTION A	RFP Introduction and Instruction to Proposers
SECTION B	Scope of Project
SECTION C	Detailed Submittal Requirements
SECTION D	Attachments

PROPOSALS ARE DUE ON APRIL 25, 2024, BEFORE 4:00 PM PACIFIC TIME AT COUNTY OF ORANGE AUDITOR-CONTROLLER, 1770 N. BROADWAY, SANTA ANA, CA 92706 ATTN: LORENA BOGARIN. Please refer to RFP Section A.15, Proposal Submission, for additional information on how to submit your proposal.

All questions and inquiries related to this RFP must be submitted via <https://procurement.opengov.com/portal/ocgov>. Proposers are not to contact other County personnel with any questions or clarifications concerning this RFP. With respect to this RFP, any County response other than from the DPA and in writing will be unauthorized and the County shall bear no responsibility for any reliance upon the unauthorized communication.

*If a corporation, this document **must** be signed by two corporate officers. The first signature must be either the Chairman of the Board, President, or any Vice President. The second signature must be the Secretary, an Assistant Secretary, the Chief Financial Officer, or any Assistant Treasurer. In the alternative, a single corporate signature is acceptable when accompanied by a corporate resolution or by-laws demonstrating the legal authority of the signature to bind the company.

<input type="checkbox"/> I HAVE READ, UNDERSTOOD AND AGREE TO THE TERMS AND CONDITIONS HEREWITH AND I AM SUBMITTING A RESPONSE TO THIS SOLICITATION.		
<input type="checkbox"/> PROPOSER HEREBY CERTIFIES THAT IT MEETS ALL MINIMUM QUALIFICATIONS AS SET FORTH IN RFP SECTION A.13.		
<input type="checkbox"/> PROPOSER HEREBY CERTIFIES THAT THIS PROPOSAL IS VALAD FOR AT LEAST THREE HUNDRED SIXTY-FIVE DAYS.		
_____		_____
Date	Company Name	
*Authorized Signature	Print Name	Title
*Authorized Signature	Print Name	Title

Attachment 3: Company Profile

RFP #003-2365101-LB, Enterprise Resource Planning Software as a Service System

Proposer Company Name: _____

A. Company Profile

Company Legal Name: _____

Company Legal Status (corporation, partnership, sole proprietor, etc.): _____

Business Address: _____

Website Address: _____

Telephone Number: () _____ Facsimile Number: () _____

Email Address: _____

Length of time the firm has been in business: _____ Length of time at current location: _____

Is your firm a sole proprietorship doing business under a different name: _____ Yes _____ No
If yes, please indicate sole proprietor's name and the name you are doing business under:

Is your firm incorporated: _____ Yes _____ No If yes, State of Incorporation: _____

Federal Taxpayer ID Number: _____ UEI Number: _____

**County requires a valid UEI number prior to Contract Award. If needed, your company may obtain one at no cost at <https://sam.gov/>. If you are unable to provide/obtain a UEI number, please indicate that on this page.*

Regular business hours: _____

Regular holidays and hours when business is closed: _____

Contact person in reference to this RFP: _____

Telephone Number: () _____ Facsimile Number: () _____

Email Address: _____

Contact person for Accounts Payable: _____

Telephone Number: () _____ Facsimile Number: () _____

Email Address: _____

Name of Service Manager: _____

Telephone Number: () _____ Facsimile Number: () _____

Email Address: _____

In the event of an emergency or declared disaster, the following information is required

Name of contact during non-business hours:

Telephone Number: (____)

Facsimile Number: (____)

Email Address: _____

Cell Number: _____

B. Company History

For any business structure, provide history of acquisition, buyouts, or mergers with other entities for the past five (5) years. Attach detailed information regarding any prior and pending litigation, liens, or claims involving the Proposer. Please check all that apply.

No action pending No prior action Information Attached

C. Financial Status

Proposer shall indicate whether Proposer, its principals, directors, or majority shareholder(s), or any company Proposer has held a controlling interest in, or which has held a controlling interest in Proposer, has ever filed or has been involuntarily put into bankruptcy or has been declared bankrupt. If yes, attach statement indicating the bankruptcy date, court jurisdiction, trustee's name & telephone number, amount of liabilities, amount of assets, and current status of bankruptcy. Attach detailed information regarding any judgments, UCC or other liens, or claims involving the Proposer in the past five years. Please check all that apply.

No action pending No prior action Information Attached

D. Litigation Status

Proposer shall provide detailed information regarding current and prior lawsuits (court and case number), liens, or claims filed by or against Proposer, or any company Proposer holds a controlling interest in, or any company that holds an interest in Proposer in the past five (5) years that are related to services provided by the Proposer. **Attach detailed information regarding any prior and pending litigation, liens, or claims involving the Proposer. Please check all that apply.**

No action pending No prior action Information Attached

E. Company Performance

- As part of any prior contract for services similar to the proposed ERP, has your company or firm ever received a "Notice to Cure" message, either verbally or in writing in the past five (5) years? If yes, for all cases in which a "Notice to Cure" message was received, please provide the reason for the message, and how the matter was dealt with. Use additional sheets if needed.

No prior action Information Attached

2. As part of any prior contract for services similar to the proposed ERP, has your company or firm ever had the contract terminated by the customer prior to the expiration date in the past five (5) years? If yes, for all cases in which the contract was terminated, please provide the reason for the termination. Use additional sheets if needed.

No prior action Information Attached

F. Conflict of Interest

1. Disclose any financial, business, or other relationship with the County, any other entity that the County Board of Supervisors governs, or any County Board member, officer or employee, which may have an impact, effect or influence on the outcome of the services you propose to provide. Provide a list of current clients, employees, principals or shareholders (including family members) who may have a financial interest in the outcome of services you propose to provide.
2. Disclose any financial, business or other relationship within the last three (3) years with any firm or member of any firm who may have a financial interest in the outcome of the work.

Information Attached No Information to Disclose

GLOSSARY OF ACRONYMS USED

ACRONYM	DEFINITION
ACH	Automated Clearing House
AFA	Affordable Care Act
BAI	Bank Administration Institute
COA	Chart of Accounts
COMP	Compensatory leave time
CSS	Child Support Services (Department in the County)
CUPA	Certified Unified Program Agencies
DVBE	Disadvantaged Veteran Business Enterprise
EEO	Equal Employment Opportunity
EOI	Evidence of Insurability
ESS/MSS	Employee/Manager Self Service
FCOMP	Compensatory leave time that is subject to FLSA rules
FLSA	Fair Labor Standard Act
FMLA	Family Leave
FSA	Flexible Spending Account
FTE	Full Time Employee
FWA	Fraud, Waste and Abuse
GRC	Governance, Risk, Compliance
HCA	Health Care Agency (Department in the County)
IC	Internal Controls
JE	Journal Entry
LOA	Leaves of Absence
LSB	Local Small Business
MBE	Minority-owned business enterprise
NACHA/ACH	National Automated Clearing House Association
OCEA	Orange County Employees Association
OCERS	Orange County Employee Retirement System
OCMA	Orange County Management Association
OCPW	Orange County Public Works (Department in the County)
PIP	Performance Improvement Plan
PRA	Public Records Act
PTO	Paid Time Off

GLOSSARY OF ACRONYMS USED

ACRONYM	DEFINITION
QMSCO	Qualified Medical Child Support Orders
SBE	Small Business Enterprise
SOP	Standard Operating Procedures
SSA	Social Services Agency (Department in the County)
SSN	Social Security Number
VMI	Vendor Managed Inventory
WBE	Woman-owned business enterprise
WC	Workers Compensation
YTD	Year To Date

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR01	Human Resources	Talent Acquisition	Candidate Sourcing	The system shall integrate/interface with Eureka (Cornerstone); system certification functionality with talent acquisition capabilities (e.g., application requirements and qualifications) for internal applicants.	High			
HR02	Human Resources	Talent Acquisition	Integration	The system shall be interfaced/integrated with NEOGOV (3rd party applicant tracking solution in County) to provide the Title schematic details (Class title, class code and salary info for the title)	Low			
HR03	Human Resources	Talent Acquisition	Offer Management	The system shall notify appropriate function of the new hire technology needs, system access, and security access based on the position profile and notify appropriate function of the workspace needs per position profile.	High	Currently an interface with County's existing identity and access management system for the purpose of user provisioning and deprovisioning		
HR04	Human Resources	Talent Acquisition	Offer Management	The system shall transfer applicant data contained within County's recruiting module (NeoGov) to core ERP human resources module.	Low			
HR05	Human Resources	Talent Acquisition	Offer Management	The system shall document the complete offer package; highlight and note rationale for exceptions to guidelines; and attach to candidate record.	High			
HR06	Human Resources	Talent Enablement	Talent Evaluation	The system shall integrate with human resources to deploy learning based on a standardized job hierarchy and competencies (e.g., certain job families have specific learning curriculums).	Low	Manage and notify expirations on certifications		
HR07	Human Resources	Workforce Shaping	Organization Design	The system shall include an organization charting feature so that organization charts can be created based on positions or people and can be created for as many as 16 levels down..	Low			
HR08	Human Resources	Workforce Shaping	Organization Design	The system shall allow organization charts to be configured to include common fields within the HR application and to be configured with 2-14 boxes per row. These organization charts should include fields such as contact details	Low			
HR09	Human Resources	Workforce Shaping	Organization Design	The system shall allow organization charts to create standard filters such as: leadership only, management only, no open roles, exclude disability leave; by leader, department, process level, supervisor position. Filter can be applied to common fields within the HR application and calculated fields within the application.	Low			
HR10	Human Resources	Workforce Shaping	Organization Design	The system shall allow organization charts to be printed as PDF, PowerPoint, Excel, Visio, etc. and to be viewed in report format.	Low			
HR11	Human Resources	Workforce Shaping	Organization Design	The system shall show historical views of organization chart and allow for the modeling of future relationships.	Low			
HR12	Human Resources	Workforce Shaping	Organization Design	The system shall allow for organization chart security roles to allow for security on views, modeling, and reporting of data; chart can be limited to specific roles. Field and filter level security is available.	Low			
HR13	Human Resources	Workforce Shaping	Organization Design	The system shall allow organization charts to be used to set goals based upon criteria set for tracking and to model for future relationships across charts.	Low			
HR14	Human Resources	Workforce Shaping	Organization Design	The system shall create large organization charts in format that is easy to read rather than creating multiple downline charts for readability.	Low			

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR15	Human Resources	Workforce Administration	Document Storage	The system shall include or shall be interfaced/integrated with a document storage solution.	High	Current system of storage is OnBase; however, for data entry of employee changes the supporting documentation should be upload with the requested change for the Auditor/Approver to review prior to authorizing the change in the system of record. Restricted access to docs with different levels of confidentiality.		
HR16	Human Resources	Workforce Administration	Integration	The system shall be interfaced/integrated with County third party letter development software (e.g. leaves of absence).	Low	Cority is the current system of records that is used by Return to work (RTW) staff to generate leave status letters		
HR17	Human Resources	Workforce Administration	Organization Management	The system shall track multiple supervisors and support a matrix reporting structure; it will support authority based responsibility.	Low			
HR18	Human Resources	Workforce Administration	Organization Management	The system shall provide secondary managers / leaders with access to their employee data, to track cost center manager and/or different leaders and to track hierarchy.	Low			
HR19	Human Resources	Workforce Administration	Organization Management	The system shall produce dynamic organization charts for online viewing, showing dotted line reporting relationships and contact details via org chart view.	Low			
HR20	Human Resources	Workforce Administration	Organization Management	The system shall maintain organizational history and allow organizational modeling (e.g., workforce analytics, organization design).	Low			
HR21	Human Resources	Workforce Administration	Organization Management	The system shall track special employment agreements and other special information. (e.g., certifications, licenses, immunizations) and to process employment events mid payroll period (i.e. transfers).	High			
HR22	Human Resources	Workforce Administration	Organization Management	The system shall perform mass updates through identification of employee group criteria (e.g., change of cost centers); mass updates shall utilize all the same business logic and validation rules as the equivalent single record online event, and should be able to trigger all the same downstream activities.	High			
HR23	Human Resources	Workforce Administration	Organization Management	The system shall allow for the automation of transfers to eliminate any situation that might require entering a termination and new hire, or reentering any employee information already existing in the database. It will notify payroll of transfers and the tax consequences.	High			
HR24	Human Resources	Workforce Administration	Organization Management	The system shall allow for an automated notification to cancel system security upon termination or when an employee moves to severance status.	Low			
HR25	Human Resources	Workforce Administration	Organization Management	The system shall apply data validations "up front" to prevent employees (and other users) from omitting required information relevant to the specific personal data transaction (e.g., effective date) or entering invalid data combinations (e.g., ZIP code vs. state).	High			
HR26	Human Resources	Workforce Administration	Organization Management	The system shall create retroactive personal data changes only in accordance with policy, business rules and regulations and with approval workflow.	High			

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR27	Human Resources	Workforce Administration	Organization Management	The system shall trigger checklist of things to consider related to the data change (e.g., marriage triggers notification to consider changing benefits).	Low			
HR28	Human Resources	Workforce Administration	Organization Management	The system shall use effective dates associated with personal data changes as criteria in business rules, eligibility logic and data validations.	High			
HR29	Human Resources	Workforce Administration	Organization Management	The system shall maintain audit trails of personal data changes.	High			
HR30	Human Resources	Workforce Administration	Organization Management	The system shall allow the automation of payroll and benefit changes arising from pending personal data transactions at the appropriate future date/processing cycle.	Low	Ability to do future dated transactions		
HR31	Human Resources	Workforce Administration	Organization Management	The system shall allow for the automation of payroll and benefit changes arising from retroactive human resources personal data transactions when allowed and/or notification to administrators of need for exception processing.	High			
HR32	Human Resources	Workforce Administration	Organization Management	The system shall track information with expiration dates or annual validation, trigger notifications prior to renewal and report past due instances (safety training update). Certifications, Licenses, Immunizations, Flu, etc.	Low			
HR33	Human Resources	Workforce Administration	Organization Management	The system shall track and maintain cost center data for multiple levels of responsibility (e.g. manager) and track multiple supervisors to an employee; a solid line supervisor and multiple dotted line supervisors.	Low			
HR34	Human Resources	Workforce Administration	Organization Management	The system shall track / report employees in multiple job descriptions (e.g., job shadowing) to include a supervisor to each job.	Low			
HR35	Human Resources	Workforce Administration	Organization Management	The system shall track multiple hire, termination, and rehire dates.	High			
HR36	Human Resources	Workforce Administration	Organization Management	The system shall add employment status codes and build rules/logic associated to the additional status codes and to capture an unlimited/defined number of pay types per user.	High			
HR37	Human Resources	Workforce Administration	Organization Management	The system shall create pending future-dated transactions and/or transactions with future-dated triggering elements (e.g., severance end date) and to initiate/track and report other employee event processes as appropriate (e.g., redeployment, termination, extension of leave).	Low			
HR38	Human Resources	Workforce Administration	Organization Management	The system shall identify rehires/reinstates and calculate/recalculate continuous service date and adjusted hire date, with provision for overrides.	Low			
HR39	Human Resources	Workforce Administration	Organization Management	The system shall maintain an employee in two or more cost centers and/or cost centers simultaneously and ability to do this with a person in both an employed and non-employed status	High			
HR40	Human Resources	Workforce Administration	Organization Management	The system shall automatically adjust appropriate eligibility dates or other fields based on length of leave.	High			
HR41	Human Resources	Workforce Administration	Organization Management	The system shall to integrate and maintain appropriate alignment between org structure and cost center between the HR and Finance ERP modules.	High			

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR42	Human Resources	Workforce Administration	Organization Management	The system shall automate notifications regarding the retrieval of company property (e.g., keys, ID cards) when employee terminates, is transferred, and completes the exit interview and for an automatic notification to cancel system security upon termination.	Low			
HR43	Human Resources	Workforce Administration	Organization Management	The system shall trigger payroll notification upon termination for pay-out as required.	Low			
HR44	Human Resources	Workforce Administration	Organization Management	The system shall trigger payroll notification for mid-pay period pay adjustment as required.	Low			
HR45	Human Resources	Workforce Administration	Organization Management	The system shall allow manager transaction initiation capabilities to apply to all subordinates within their purview, not just direct reports; it will allow for proxy and delegates.	Low			
HR46	Human Resources	Workforce Administration	Organization Management	The system shall allow manager view capabilities that apply to all subordinates within their purview, not just direct reports.	Low			
HR47	Human Resources	Workforce Administration	Organization Management	The system shall allow for select managers to view labor costs in aggregate, by pay component.	Low			
HR48	Human Resources	Workforce Administration	Organization Management	The system shall structure and track positions for 'one to many employees' and/or 'one to one'.	High	Dual Fill/Overfill		
HR49	Human Resources	Workforce Administration	Organization Management	The system shall be able to track "non-employees", including "contractors" or temporary workforce.	Low			
HR50	Human Resources	Workforce Administration	Organization Management	The system shall manage and track real time position vacancy data.	High			
HR51	Human Resources	Workforce Administration	Organization Management	The system shall capture the various bargaining units by Job Classification or Title Code.	High			
HR52	Human Resources	Workforce Administration	Organization Management	The system shall classify and track non employees such as (retirees, volunteers, contractors, commissioners etc.) so they can be paid by payroll.	High			
HR53	Human Resources	Workforce Administration	Organization Management	The system shall add historical requirements--access to and track history associated with position conversions.	High			
HR54	Human Resources	Workforce Administration	Organization Management	The system shall customize and adjust to modify positions / FTE control and to manage FTE count.	High			
HR55	Human Resources	Workforce Administration	Organization Management	The system shall identify and track funding sources of position (e.g., grant, foundation) and to assign attributes to a specific position, individual, etc.	High			
HR56	Human Resources	Workforce Administration	Organization Management	The system shall support productivity analysis and reporting.	Low			
HR57	Human Resources	Workforce Administration	Organization Management	The system shall automatically switch the exiting Manager's name to the exiting Manager's next level (or peer) when a manager transfers or terminates. Upon filling the Role, the system should automatically switch to the new Manager's name.	Low			
HR58	Human Resources	Workforce Administration	Organization Management	The system shall have a permanent, unique identifier for all Non-Employees created and assigned (similar to an employee number).	High			
HR59	Human Resources	Workforce Administration	Organization Management	The system shall allow a Non-Employee to be assigned to multiple roles (e.g., volunteer, contractor). The system shall consider the most restrictive role as the driver for fulfilling all on-boarding and on-going requirements.	High			

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR60	Human Resources	Workforce Administration	Organization Management	The system shall maintain policies online to provide continuous access to employees.	Low			
HR61	Human Resources	Workforce Administration	Organization Management	The system shall track policy and/or SOPs maintenance status and report progress to the respective review stakeholders.	Low			
HR62	Human Resources	Workforce Administration	Organization Management	The system shall allow policy maintenance/reporting and track the responsible owner for each policy.	Low			
HR63	Human Resources	Workforce Administration	Organization Management	The system shall allow employee to electronically acknowledge and authorize receipt and understanding of key policies.	Low			
HR64	Human Resources	Workforce Administration	Organization Management	The system shall store state disciplinary and grievance issues. Record multiple/various data elements regarding the employee and the issue.	Low			
HR65	Human Resources	Workforce Administration	Organization Management	The system shall record disciplinary actions to include drill down from multiple levels (employee, date, issue, location, etc.) into action details.	Low			
HR66	Human Resources	Workforce Administration	Organization Management	The system shall record disciplinary actions to include standard action types and multiple dates related to the action and actual and proposed penalties.	Low			
HR67	Human Resources	Workforce Administration	Organization Management	The system shall select and track grievant on a grievance (employee, group of employees, or class).	Low			
HR68	Human Resources	Workforce Administration	Organization Management	The system shall track the life of a grievance (initiation through process through action) and record a decision, capture/record the "life" of the case in the database, drill down on individual actors, actions and dates. This capability should include the ability to record all required follow-up steps and the time frame for completion.	Low			
HR69	Human Resources	Workforce Administration	Organization Management	The system shall create a grievance online through self-service and print a form; offer different forms based on union and grievance type and to view all grievances in a summary format.	Low			
HR70	Human Resources	Workforce Administration	Organization Management	The system shall track employee issue by type, by department, by business unit, etc. and maintain employee issue resolution job aid/guide and be auto populated on screen when employee issue type selected.	Low			
HR71	Human Resources	Workforce Administration	Organization Management	The system shall create employee issue reporting on each data field or combination of data fields (optimal flexibility), to restrict access by role to employee issue and labor relations grievance data and to track employee issue advisor(s) responsible for processing and resolving case.	Low			
HR72	Human Resources	Workforce Administration	Organization Management	The system shall maintain employee corrective action information, including different processes by group (e.g., steps of specific unions, exempt employees), step (e.g., 1st warning to termination to appeal), reason for action (e.g., tardiness, conduct) the date issued, results of appeal, and basic information for the employee at issue (e.g., job, supervisor).	Low			
HR73	Human Resources	Workforce Administration	Organization Management	The system shall allow for managers to create corrective action steps for their employees and for managers to attach documentation for every step in the corrective action process.	Low			
HR74	Human Resources	Workforce Administration	Organization Management	The system shall allow managers to view employee corrective actions in mass (list view) for their direct reports and downline.	Low			

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR75	Human Resources	Workforce Administration	Organization Management	The system shall identify whether an employee has a corrective action within the last year and is visible to recruiters in the employee's internal application.	Low			
HR76	Human Resources	Workforce Administration	Organization Management	The system shall have aggregated analytics available on Corrective Actions, reasons for actions, trends of the last year in number by step/job/group, etc. These analytics should be assessable for leaders for their entire downlines as well as HR.	Low			
HR77	Human Resources	Workforce Administration	Organization Management	The system shall capture important dates; employee departmental service date, service award eligibility date, and last work date.	High			
HR78	Human Resources	Workforce Administration	Organization Management	The system shall capture employee funding/budget control and work location.	High			
HR79	Human Resources	Workforce Administration	Organization Management	The system shall capture employee personal attributes, mailing address, emergency contact info.	High			
HR80	Human Resources	Workforce Administration	Organization Management	The system shall allow HR users to change/modify/correct SSN and upload documentation, with workflow for approvals.	High			
HR81	Human Resources	Workforce Administration	Organization Management	The system shall generate new hire profile with an Employee ID in a draft mode (prior to employee start date) to allow IT systems to create access to the employee when onboarded. The system shall clear out these records automatically at a defined threshold if the profile has not advanced into final stage of the workflow.	High			
HR82	Human Resources	Workforce Administration	Organization Management	The system shall be able to maintain employee license information, including the type of license, the date acquired, the date it expires, the issuing state and the license number. It shall allow license codes to be inactivated when no longer utilized.	Low			
HR83	Human Resources	Workforce Administration	Organization Management	The system shall be able to maintain employee certification information, including the type of certification, the date acquired, the date it expires, and the certification number (if applicable). It will allow certification codes to be inactivated when no longer utilized.	High			
HR84	Human Resources	Workforce Administration	Organization Management	The system shall make allow corrections to pending transactions without having to start from scratch and with appropriate approval workflow.	High			
HR85	Human Resources	Workforce Administration	Organization Management	The system shall allow all HR documents such as personnel action documents, position details attached to the employee and/or position records to be exported and auto imported to a specified folder in OnBase with a predefined workflow for approvals.	High			
HR86	Human Resources	Workforce Administration	Organization Management	The system shall capture employee performance rating along with review dates, for interim, merit, probation, mid-year review, annual/PIP review, deferred merit, extended probation review date, and allow for additional comments.	High	Performance Rating Values: as Meets, Exceeds, Does not meet (be able to easily search and report on it)		
HR87	Human Resources	Workforce Administration	Organization Management	The system shall capture employee secondary employment.	High			
HR88	Human Resources	Workforce Administration	Organization Management	The system shall capture expiration dates for employee temp promo, provisional appointment, y-rate, expected return from leave, at will-employment contract and employment authorization.	High			

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR89	Human Resources	Personnel Management	Employee Records	The system shall deliver specific full name formats (e.g., prefix, first, middle, surname, suffix, hyphens, lower case prefixes, special characters) and will track multiple races and ethnicities for each employee; write rules for when/if regulations change.	High			
HR90	Human Resources	Personnel Management	Employee Records	The system shall track the type of work permit, visa, and passport, including expiration dates.	High			
HR91	Human Resources	Personnel Management	Employee Records	The system shall manage and track employee relations (e.g., policy compliance, internal investigations, contract management employee counseling).	High			
HR92	Human Resources	Personnel Management	Employee Records	The system shall automate/track special employment agreements and other special information. (e.g., certificates, licenses, immunizations).	High			
HR93	Human Resources	Personnel Management	Employee Records	The system shall capture and provide for use of both nickname and/or preferred first name and to deliver specific address formats for employees, as well as emergency contacts, beneficiaries, etc.	High			
HR94	Human Resources	Personnel Management	Employee Records	The system shall send alerts/reminders with a report to HR for certain employee activities-new HR process level Processing. Ex: Employee status P (Pending Separation) and S (Final Separation)	High			
HR95	Human Resources	Personnel Management	Employee Records	The system shall create an employee record with all subsequent personnel actions (for new hire, terminations, salary adjustments etc.) and other employee attributes that affect employee's status and most importantly pay. System shall ensure business rules are applied and proper validations are in place to throw errors when actions on pay class or employee statuses are performed.	High			
HR96	Human Resources	Personnel Management	Employee Records	The system shall track the personnel action of rate increase due to pay policy changes with ability to exclude/include only certain statuses from displaying the pay rate increase. For specific statuses, rate increase do not apply and when viewing the pay history, system shall display only the last rate and not the rate increase.	High			
HR97	Human Resources	Personnel Management	Employee Records	The system shall track employee performance information (PIP) with details such as Performance action plan, begin and end dates, Leave time, PIP service hours/mins, PIP award percentage (configurable by system admin role), PIP process employee Dept, PIP process leave time hours/mins, Title/Sub title etc.	High	Currently a custom modification in CGI Advantage. Please state under the "Proposer's Notes" how this requirement will be addressed		
HR98	Human Resources	Personnel Management	Employee Records	The system shall allow users to enter information and generate the Performance Incentive Award Document, and create PIP leave time based on the information entered.	High	Currently a custom modification in CGI Advantage. Please state under the "Proposer's Notes" how this requirement will be addressed		
HR99	Human Resources	Personnel Management	Employee Records	The system shall be able to maintain employee certification information, including the type of certification, the date acquired, the date it expires, and the certification number (if applicable). Certification codes should be able to be inactivated when no longer utilized.	High			
HR100	Human Resources	Personnel Management	Employee Records	The system shall do mass updates (Ex: Salary increases, changes to positions etc.).	High			

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR101	Human Resources	Personnel Management	Employee Records	The system shall allow employees to accrue leave time based on their qualified service hours.	High			
HR102	Human Resources	Personnel Management	Employee Records	The system shall allow different leave accrual rates based on service hours and classifications.	High			
HR103	Human Resources	Personnel Management	Employee Records	The system shall allow for the setting of limits on how much leave time can be accrued or used based on different criteria.	High			
HR104	Human Resources	Personnel Management	Employee Records	The system shall support a variety of leave plans, including federal FMLA and state FMLA, Leaves of Absence (LOA), Military, Personal, Unpaid, Disability and Sickness leave. The system will track start and end dates, phases of each leave plan.	High			
HR105	Human Resources	Personnel Management	Employee Records	The system shall support different calendars for tracking leave (e.g., anniversary date, calendar year, rolling forward, rolling backward).	High			
HR106	Human Resources	Personnel Management	Employee Records	The system shall manage workers compensation benefits and leave administration.	High			
HR107	Human Resources	Personnel Management	Employee Records	The system shall trigger automatic employment events data updates and/or additional "transaction wizards" and enforce necessary downstream changes to all other modules (e.g., time and attendance, benefits, payroll, compensation)	High	Ex: Evals, retro pays, adjustments		
HR108	Human Resources	Personnel Management	Employee Records	The system shall allow for an automatic setup and update of employee records based on changes to personal data in the core human resources module (e.g., zip code) through real-time integration in the system.	High			
HR109	Human Resources	Personnel Management	Employee Records	The system shall calculate the FMLA and CFRA (California family rights act) to ensure eligibility.	Low			
HR110	Human Resources	Learning Management System	Integration	The system shall integrate/interface with Eureka (Cornerstone) to share job/role classification details.	High	Interface		
HR111	Human Resources	Learning Management System	Integration	The system shall integrate/interface with Eureka (Cornerstone) to share job history data for employees.	High	Interface		
HR112	Human Resources	Learning Management System	Integration	The system shall integrate/interface with Eureka (Cornerstone) to share department / organization role hierarchy to establish employee - supervisor relationship.	High			
HR113	Human Resources	Learning Management System	Integration	The system shall share relevant certification data (type, expiration date) with Eureka (Cornerstone) to facilitate reporting and learning paths for renewal.	High			
HR114	Human Resources	Learning Management System	Integration	The system shall integrate/interface with Eureka (Cornerstone) to share career/skill development paths.	High			
HR115	Human Resources	Payroll	Integration	The system shall integrate/interface with the County's OC TIME timecard tracking solution to gather employee time details.	High			
HR116	Human Resources	Payroll	Integration	The system shall send Paystub PDF load into ERMI (OnBase) every pay cycle.	High	Interface with OnBase		
HR117	Human Resources	Payroll	Integration	The system shall integrate/interface with HireTech (or current employee verification vendor) to share data and facilitate employee verification.	High			

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR118	Human Resources	Workforce Administration	Employee/Manager Self-Service	The system shall allow an employee to self-serve (ESS) with an online portal where an employee is allowed to change legal and preferred name in ESS, with workflow for approvals, and to update emergency contact information in ESS. The system will allow employees to be able to update phone number in ESS, including having multiple contact points as well as address data. The system must allow employees to see and update their own data, and Supervisors/Managers to update the staff reporting to them.	High			
HR119	Human Resources	Workforce Administration	Employee/Manager Self-Service	The system shall maintain email addresses in ESS, including a secondary email address and differentiate between home and work.	High			
HR120	Human Resources	Workforce Administration	Employee/Manager Self-Service	The system shall write rules for ESS/MSS to prevent users from omitting required information or entering invalid data (e.g., direct deposit routing number, address format), with external validations vs internal.	Low	MSS - Manager's self service		
HR121	Human Resources	Workforce Administration	Employee/Manager Self-Service	The system shall allow for terminated employees to access ESS for select information.	Low	Ability to update limited information identified by the County		
HR122	Human Resources	Workforce Administration	Employee/Manager Self-Service	The system shall allow for a manager to make corrections to pending transactions in MSS without starting from scratch with appropriate approval re-routing.	Low	Subsequent HR approval of the transaction in the workflow		
HR123	Human Resources	Workforce Administration	Employee/Manager Self-Service	The system shall allow employees to change SSN in ESS and upload documentation, with workflow for approvals.	Low	Subsequent HR approval of the transaction in the workflow		
HR124	Human Resources	Workforce Administration	Employee/Manager Self-Service	The system shall allow for an employee to change work location, building, floor, office number, in ESS and MSS, with workflow for approvals.	Low	Subsequent HR approval of the transaction in the workflow		
HR125	Human Resources	Workforce Administration	Employee/Manager Self-Service	The system shall attach validation/edits in general to ESS and MSS data entry fields to ensure overall data integrity.	High			
HR126	Human Resources	Workforce Administration	Employee/Manager Self-Service	The system shall maintain veterans and disability status in ESS.	High			
HR127	Human Resources	Workforce Administration	Employee/Manager Self-Service	The system shall save a transaction in progress so that an employee (ESS) or manager (MSS) may return to finish the transaction later.	Low			
HR128	Human Resources	Workforce Administration	Employee/Manager Self-Service	The system shall allow the viewing of employee profile in MSS and to view pending and future dated transactions in MSS.	High			
HR129	Human Resources	Workforce Administration	Employee/Manager Self-Service	The system shall ensure both ESS and MSS are mobile compatible.	Low			
HR130	Human Resources	Workforce Administration	Employee/Manager Self-Service	The system shall allow an employee to change DOB in ESS and upload documentation, with workflow for approvals.	Low	Subsequent HR approval of the transaction in the workflow		
HR131	Human Resources	Workforce Administration	Employee/Manager Self-Service	The system shall allow an employee to change gender in ESS, with workflow for approvals.	Low			
HR132	Human Resources	Workforce Administration	Employee/Manager Self-Service	The system shall have the ESS workflow escalated based on a specific calendar event (e.g., payroll cutoff).	Low	Rules and who to escalate to be defined by County		
HR133	Human Resources	Workforce Administration	Employee/Manager Self-Service	The system shall initiate promotions, transfers, reassignments, and terminations via MSS and to view pay rate change and job history in MSS.	High	MSS: Manager Self Service		

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR134	Human Resources	Workforce Administration	Employee/Manager Self-Service	The system shall provide ESS option for state tax withholding designations and other components of pay with rules "triggering" employee to complete state W4 when required by the resident state.	High			
HR135	Human Resources	Workforce Administration	Employee/Manager Self-Service	The system shall allow an employee to submit a request to update their Supervisor information, with workflow for approvals.	High			
HR136	Human Resources	Workforce Administration	Employee/Manager Self-Service	The system shall allow the addition and display the County wide or Department specific announcements on the employee portal.	Low	Paystub portal		
HR137	Human Resources	Workforce Administration	Employee/Manager Self-Service	The system shall link to MyOCBenefits (external system to ERP) application for employees to easily access and view the current benefits and cost plans.	High			
HR138	Human Resources	Payroll	Employee/Manager Self-Service	The system shall provide ESS for federal tax withholding modeling and changes; ability to view prior history/models before confirming W-4 selections.	High			
HR139	Human Resources	Payroll	Employee/Manager Self-Service	The system shall provide ESS / MSS for year-end tax report (W-2) access with rules to opt in / opt out of electronic W-2.	High			
HR140	Human Resources	Payroll	Employee/Manager Self-Service	The system shall provide an Administrator user to view the transactional history of W4, Employee contributions enrollment, and Supervisor changes.	High	Employee contributions enrollment Ex: United Way		
HR141	Human Resources	Payroll	Employee/Manager Self-Service	The system shall allow an employee to self-serve with an online portal for specifically paystub related details. Employee shall be able to view the pay stub history per pay period with proper pagination (most recent on the top and going back to 3 years). Summary of leave balances shall be displayed for employee to view per pay code.	High	Paystub portal		
HR142	Human Resources	Payroll	Employee/Manager Self-Service	The system shall report benefit costs (both employee and company costs/fringes) by plan, coverage, employee, etc.	High	Paystub portal		
HR143	Human Resources	Payroll	Employee/Manager Self-Service	The system shall house the reference documents provided by functional and payroll teams to be viewed as needed.	Low	Paystub portal		
HR144	Human Resources	Payroll	Employee/Manager Self-Service	The system shall allow employee to sign up and provide consent for receiving electronic W2 or withdraw consent.	High	Paystub portal		
HR145	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall determine appropriate pay based on hours and shift (multiple shift definitions and differentials, pay and payments) and to allow one time payments to be included in earnings.	High			
HR146	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall support other earnings and applies appropriate taxation rules for each pay code.	High			
HR147	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall handle retro pay by date entry to calculate correct pay amounts.	High			
HR148	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall support payment of non-qualified plan benefits whether as an annuity or as a lump sum.	High			
HR149	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall provide imputed income calculation for personal use of company car based on number of days use per month reported by employee; Include gross-up calculation.	Low			
HR150	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall support payment of lump sum amounts using the supplemental withholding, aggregate tax rate or applying withholding rates (W-4).	High			

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR151	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall allow lump sum payments to be included in regular pay slip or paid as separate pay slip (including OT payments).	High			
HR152	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall handle reimbursement for relocation, educational reimbursement and similar reimbursement items that have special taxation requirements.	High			
HR153	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall accept online or batch input for payments.	High			
HR154	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall include various lump sum payments (e.g., incentives, reimbursements, car allowances, quarterly payments) through regular payroll cycle & direct deposit.	High			
HR155	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall allow for special payments on an ongoing or additional pay basis.	High	Examples: Maybe lump sum bonus, relocation expenses, etc.		
HR156	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall support calculation of special pay based on earnings, hours, or accept amount to pay on input record and to provide pay stub description of all special pay types.	High			
HR157	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall allow separate accounting by pay type.	High			
HR158	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall allow for input of commission payments or calculation of commissions based on a percentage of base pay and/or other earnings types.	Low			
HR159	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall calculate pay according to statutory and County specific leave rules.	High			
HR160	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall allow for employee to be paid at varying hourly rates, based on job performed or work unit in which job is performed; input from time and labor system includes hours worked and rate applicable to those hours. It shall also allow overrides.	High			
HR161	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall compute additional pay differential for working at a specific task (e.g., hazard pay).	High			
HR162	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall compute additional pay differential for working on a specific project or activity through time charged in the time and attendance system. The system shall allow setting up time codes for projects and activities to facilitate the direct time charges for projects and activities.	High	Job codes		
HR163	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall track earnings by element (e.g., multiple rates, shift differentials) including flexibility on the maximum length of code and code description.	High	Tied to different pay codes.		
HR164	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall calculate all taxes based on earnings, pre and post-tax deductions and withholding rates. The system shall maintain and update tax rates for federal, state and local taxing authorities and not require Authority staff intervention.	High			
HR165	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall track deductions by type and dates - including flexibility on maximum length of code and code description.	High			
HR166	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall accumulate designated deductions by month, quarter, year and user defined periods.	High			

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR167	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall allow for automatic calculation for multi-period pay back of deduction amount (can vary based on employee situation).	High	Ex: Payback agreements on overpay		
HR168	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall override deduction frequency and support negative deduction.	High			
HR169	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall prioritize deductions when employee does not have enough earnings (e.g., put benefit deductions in arrears if pay is not sufficient to cover).	High			
HR170	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall allow adjustment of arrearage balances based on partial payments made by employee (e.g., partial payment of employee medical deduction while on leave).	High			
HR171	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall deduct flat amounts and percentages and support pretax deductions.	High			
HR172	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall maintain statutory and plan deduction limits and goal balances.	High			
HR173	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall allow full online viewing and reporting of election / deduction history.	High			
HR174	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall support deduction rules to take all, take partial, take partial to maximum, take partial and build arrears.	High			
HR175	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall allow for multiple loan repayment deductions, multiple charitable deductions, non-qualified plan deductions, court deductions, and to support national and local regulatory payroll requirements.	High			
HR176	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall provide gross-up routines that recognize all taxes and deductions based on employee's record.	Low	Gross-up is additional money an employer pays an employee to offset any additional income taxes (Social Security, Medicare, etc.) an employee would owe the IRS when that employee receives a company-provided cash benefit, such as relocation expenses.		
HR177	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall track employee earnings within Federal ID number.	High			
HR178	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall provide for adjustment to gross pay for non-cash compensation (to support imputed income).	High			
HR179	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall provide online check modeling to show gross to net and provide online adjustments to information after a trial payroll.	High			
HR180	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall provide online reversal / correction for incorrect pay slip (administrator only) and payroll run.	High			
HR181	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall provide on-demand process for final pay including all vacation due and recoupment of loans, tuition, etc.	High			
HR182	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall view manual checks for balance adjustments and void / reverse checks by role and to support the calculation and printing of manual checks.	High			
HR183	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall support role-based view capabilities.	High			
HR184	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall perform automatic retro calculations on effective dated transactions, to provide for batch balancing and edit capabilities and to support unattended batch processing.	High			

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR185	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall allow for verification of bank routing numbers for direct deposits and to generate pre-notes should employees be unable to enter their bank account information directly.	High			
HR186	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall support imputed income calculations on a monthly basis, and support the process for one-time overpayments to employees whereby the adjustment is made to the next pay cycle and if net pay is insufficient, for each pay slip thereafter until fully recovered.	High			
HR187	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall enable administrator to lock tax exemptions for tax garnishments.	High			
HR188	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall support use of positive and negative earnings and deduction elements, provide pre/post payroll balance procedures/reporting and generate payroll salary accruals; Include exceptions and supplemental wages.	High			
HR189	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall access / process current year while working in prior year, allow for system to be used and updated while payroll is being processed, and allow for an entire pay run to be backed out if found to be problematic.	High			
HR190	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall process effective dated changes, such as new hires, hourly to salary, salary to hourly, leave of absence, rehires, and termination.	High			
HR191	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall enable pay processing for employees who are in a non-active status (e.g., employees on leaves of absence or severance, terminated).	High			
HR192	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall maintain withholding exemptions for Federal and state/local to ensure compliance and to maintain accurate tax calculation and deduction requirements for all required tax authorities.	High			
HR193	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall support special payroll payments such as one time payments.	High	A special payroll payment is payment for unusual or non-periodical payouts, such as missed payments, leave encashment, bonuses, incentives, etc. Special payrolls have to be incorporated into the firms' payroll schedule. The payment can be done in the next cycle or before the next cycle.		
HR194	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall run final payroll calculations and generate a post-payroll file data (all payroll expenses) for payroll to reconcile and allow them to load this data file to FS module within the ERP tool.	High			
HR195	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall maintain accurate reporting formats and schedules for multi-jurisdictional tax authorities.	High			
HR196	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall maintain appropriate information for unemployment tax calculations and to forward tax information to 3rd party tax service provider to make tax payments on our behalf.	High			

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR197	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall automatically, and on an ongoing basis, balance taxes to the payroll. This capability will include the ability to automatically administer state and local reciprocity agreements based on employees home and work locations.	High			
HR198	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall process all employer payroll-related taxes and wages, produce monthly and quarterly tax balancing reports and to monitor limits on after-tax deductibles. The system shall support the electronic filing of payroll taxes and integrate with a third party tax filing vendor if selected by the County.	High			
HR199	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall manage tax tables and provide audit reporting proving reconciliation of actual to tax tables and to display number of withholding exemptions for Federal and State/Local on employee's pay advice. The system shall provide for rule and/or regulation changes without County staff intervention.	High			
HR200	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall reinstate the leave/health balances, service hours for rehired employees within a year of separation.	High			
HR201	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall move cumulative YTD amounts, as appropriate, when employees transfer from one pay group to another.	High			
HR202	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall calculate, accumulate and identify both employee and employer taxes including state and federal unemployment tax and include/exclude certain earnings numbers from tax and/or deduction calculations.	High			
HR203	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall allow for calculation of taxes to be performed differently based on different types of earnings (e.g., severance), provide for the necessary accumulators to support local and federal taxation requirements and to recognize state and local tax entities that do not allow pre-tax deductions.	High			
HR204	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall support local tax calculation and payment, different tax rate for residents and non-residents.	High			
HR205	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall calculate earned income credit.	High			
HR206	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall be flexible with defining, calculating and administering complex pay calculations to determine taxable vs. non-taxable bonuses that vary by individual taking into account multiple factors that may change from pay period to pay period.	High			
HR207	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall fully support year-end employee tax reporting requirements and generate employee tax statements on a scheduled basis.	High			
HR208	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall allow for online reprint or correction of employee tax statements and will be able to process through 3rd party for W-2 processing and to allow employees to request a replacement tax statement electronically.	High			
HR209	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall reconcile tax reports to tax forms in total for organization and also by individual employee and support reconciliation of corrected statement processing.	High			

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR210	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall allow online creation of checks to accommodate final payroll review, with full update of payroll information and to prepare payroll checks if required and transmit as a PDF to print.	High			
HR211	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall allow variance in which deductions are taken for off-cycle and to allow direct deposit of off cycle payment and notification to worker of completion and expectations.	High			
HR212	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall provide multiple direct deposit accounts for each employee (indicated maximum number), allow / disallow partial direct deposit and allow override of direct deposit to generate physical check. The system should be able to accommodate deposit accounts supporting multiple legal entities.	High			
HR213	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall allow multiple checks or multiple direct deposits or a combination of the two and to associate an earnings type to a check or specific direct deposit account.	High			
HR214	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall print paper checks.	High			
HR215	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall sort checks by multiple options (e.g. department, zip, work location).	High			
HR216	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall allow for configuration of pay stub and support pre-note requirement with ability to override for exceptions.	High			
HR217	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall turn on/off direct deposit payroll on second check option.	High			
HR218	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall account for protected leave when processing payroll.	High	Ex: Family leave		
HR219	Human Resources	Payroll	On-Cycle / Off-Cycle Payroll	The system shall include a workflow to complete a County specific payback agreement before overpayments are reclaimed by the County.	Low			
HR220	Human Resources	Payroll	Payroll Administration	The system shall receive requests to update payroll definitions, assess the request, maintain payroll for multiple legal entities and submit the changes for review through a workflow process.	High	Payroll for special districts		
HR221	Human Resources	Payroll	Payroll Administration	The system shall allow for pay codes to be defined in various ways, including "units", "dollars", or "time".	High			
HR222	Human Resources	Payroll	Payroll Administration	System must allow for the creation and tracking/calculating of fringe pays and fringe deductions based on either using scheduled hours or hours worked.	High			
HR223	Human Resources	Payroll	Payroll Administration	System shall allow pays that have different definition id's to roll up to the same pay category (i.e. a pay that is defined as based on "time" can roll up to the same pay category as a pay that is defined as "dollars".	High			
HR224	Human Resources	Payroll	Payroll Administration	The system shall identify payroll calendars that require management attention and review and then submit calendar items for review to department heads.	Low			
HR225	Human Resources	Payroll	Payroll Administration	The system shall draft the updated payroll calendar with the edits from users, secure approvals through a workflow process for approval and then publish the updated calendar with notifications to users.	Low			

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR226	Human Resources	Payroll	Payroll Administration	The system shall provide for both salaried (exempt and non-exempt) and hourly workers using a variety of user defined earnings types and to accumulate hours and dollars (by month, pay period, quarter, year, user defined) by earning type for designated earnings.	High			
HR227	Human Resources	Payroll	Payroll Administration	The system shall manage effective-dated earnings and a date driven system (e.g., future pay increase) and to provide special earnings codes (e.g., nontaxable earnings, insurance over \$50K).	High			
HR228	Human Resources	Payroll	Payroll Administration	System shall allow for multiple types of pay cycles including a biweekly regular payroll cycle, multiple supplemental payroll cycles, online check cycle and No Pay Calc cycles. System shall assign a unique number (Gross to net-GTN) for each pay cycle run.	High	Ability to search for details for each cycle by the cycle number and pay period		
HR229	Human Resources	Payroll	Payroll Administration	The system shall support payment of non-earning amounts due to employees through the payroll process (reimbursements).	High	Ex: Parking, Tuition, Travel		
HR230	Human Resources	Payroll	Payroll Administration	The system shall allow for time-period deductions (start and stop dates that includes future dates) specific number of pay periods, or ongoing deductions and to record these deduction start / stop dates (includes future dates). It shall apply deduction biweekly, monthly or for a specified time period.	High			
HR231	Human Resources	Payroll	Payroll Administration	The system shall manage effective-dated deductions with end dates for those that are only in force for a calendar year (e.g., FSA).	High			
HR232	Human Resources	Payroll	Payroll Administration	The system shall enter maximum limits, which may apply to accumulation of multiple deduction codes.	High			
HR233	Human Resources	Payroll	Payroll Administration	The system shall change selected deductions from pre-tax to after-tax when limit is reached (e.g., switch pre-tax 401(k) to after tax savings plan contribution) based on file from 401(k) provider.	High			
HR234	Human Resources	Payroll	Payroll Administration	System shall generate a matching employer deferred comp deductions for certain employees based on their enrollment in deferred comp, their classification, and their retirement plan. The amount of the matching percentage must be configurable.	High	Currently a custom modification in CGI Advantage. Please state under the "Proposer's Notes" how this requirement will be addressed		
HR235	Human Resources	Payroll	Payroll Administration	The system shall allow calculation of retirement rate either based on the employee's age at the time of entry (hire date less birth date which is tracked in months) or another date that could impact the retirement rate because the employee is buying back time from previous employment as an extra help employee, or the employee has worked at another county and is able to use the hours towards retirement.	High	Currently a custom modification in CGI Advantage. Please state under the "Proposer's Notes" how this requirement will be addressed		
HR236	Human Resources	Payroll	Payroll Administration	The system shall provide automated notification to employee and/or administrator when specified deduction limits are reached, or expected to be reached in the next payroll period.	Low			
HR237	Human Resources	Payroll	Payroll Administration	The system shall accumulate deduction amounts in arrears.	High			
HR238	Human Resources	Payroll	Payroll Administration	The system shall define deductions as enterprise-wide or by employee type. Provide warnings or errors at deduction entry time for missing or inappropriate deductions.	High			

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR239	Human Resources	Payroll	Payroll Administration	System's Employee Self Service (ESS) portal shall allow employees to enter direct deposit information.	High			
HR240	Human Resources	Payroll	Payroll Administration	Employee Self Service (ESS) portal will be available to separated employees and employees on leave to assist in payroll processing.	High			
HR241	Human Resources	Payroll	Payroll Administration	The system shall create a pay that can be included/excluded from Service Hours. (County's accruals are currently based on leave progressions and those leave progressions are based on employee service hours).	High			
HR242	Human Resources	Payroll	Payroll Administration	The system shall provide functionality to take a manual adjustments to employee service hours and transfer to a system document where this adjustment can be recorded and tracked.	High			
HR243	Human Resources	Payroll	Payroll Administration	The system shall limit the types of pay, benefits, deductions and leaves an employee can receive based on their classification. Based on the security roles, the system must also allow for override of pays, benefits/deductions, and leaves on a case by case basis.	High			
HR244	Human Resources	Payroll	Payroll Administration	The system shall designate whether compensation is taxable or non-taxable or considered earnable compensation for retirement purposes.	High			
HR245	Human Resources	Payroll	Payroll Administration	The system shall allow the set up of pay as a component of another pay (i.e. set up bilingual pay so that it is a component of Regular pay) so bilingual is automatically paid anytime regular pay is paid to the employee.	High			
HR246	Human Resources	Payroll	Retirement Administration	The system shall accommodate multiple retirement plans and options.	High			
HR247	Human Resources	Payroll	Payroll Administration	System shall contain override capability to allow calculation of retirement date based on the age of entry which shall be tracked in months, or another date that could impact the retirement date because the employee is buying back time from previous employment as an extra help employee, or the employee has worked at another county and is able to use the hours towards retirement.	High			
HR248	Human Resources	Payroll	Payroll Administration	The system shall auto-enroll employees in certain deductions based on their classification.	High			
HR249	Human Resources	Payroll	Payroll Administration	The system shall allow certain deductions to be restricted based on an employee's classification Ex: Union dues etc.	High			
HR250	Human Resources	Payroll	Payroll Administration	The system shall allow the set up of a pay so that it pays at a percentage of another pay, including 100% based on pay codes.	High	Ex: Annual leave pays out 100% of the regular hour pay, On-call pay is set to pay at 25% of the regular pay		
HR251	Human Resources	Payroll	Payroll Administration	The system shall allow for substitution of leaves (i.e. an employee posts leave time on their timecard, but doesn't have enough balances to cover, system will substitute with a different leave that is available).	High			

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR252	Human Resources	Payroll	Payroll Administration	The system shall allow ability to maintain customizable compensation hour (for COMP and FCOMP subject to FLSA laws) limits per title code and rep unit . System will allow multiple leave accrual buckets (COMP/FCOMP) to roll up to a single maximum limit and cash out any overages.	High	This custom modification was implemented in the current ERP (CGI Advantage) and is being used only for the Courts. Other County departments do not need this custom modification because they are using the newly deployed OC TIME (Workforce SaaS).		
HR253	Human Resources	Payroll	Payroll Administration	The system shall allow some agencies (rep units) in the County to customize the vacation accumulator thresholds before employee is allowed to use hours for vacation time.	High	Currently a custom modification in CGI Advantage. Please state under the "Proposer's Notes" how this requirement will be addressed		
HR254	Human Resources	Payroll	Payroll Administration	The system shall be able to flag the checks that were printed for employees who do not exercise EFT option with status "Outdated" when the checks are not cashed within 180 days. System shall also create transaction in General Ledger to transfer funds related to these outdated checks.	High	Currently a custom modification in CGI Advantage. Please state under the "Proposer's Notes" how this requirement will be addressed		
HR255	Human Resources	Payroll	Payroll Administration	The system shall allow users (based on security roles) to search on disbursed payroll checks and EFTs, view their status (cashed, outstanding, outdated) and the date that the check was cashed, or outdated. The search mechanism should include searching by different check register criteria and the results of the search should include all the check register data Ex: Check Number, Check Date, Employee ID, Employee Name, Check Amount, Check Disposition Date, Check Disposition.	High	Currently a custom modification in CGI Advantage. Please state under the "Proposer's Notes" how this requirement will be addressed		
HR256	Human Resources	Payroll	Payroll Administration	The system shall validate the workers compensation calculation for employees receiving workers compensation. Validation to ensure Safety employees receive 100% of their pay and Non-safety employees 80%. This validation is including the daily rate and supplemental rates set for the employees.	High	Currently a custom modification in CGI Advantage. Please state under the "Proposer's Notes" how this requirement will be addressed		
HR257	Human Resources	Payroll	Payroll Administration	The system shall generate a workers compensation document/report with employee details, title, salary, and compensation rates.	High	Currently a custom modification in CGI Advantage. Please state under the "Proposer's Notes" how this requirement will be addressed		
HR258	Human Resources	Payroll	Payroll Administration	The system shall integrate the PTO accrual within the core human resources module with automated PTO journal entries within the ledger for each cost center.	Low			
HR259	Human Resources	Payroll	Payroll Accounting Management	System shall track the account coding in both position and with employee details.	High			
HR260	Human Resources	Payroll	Payroll Accounting Management	The system shall allow users to create job charges allowing allocation of fringes, non productive time, and overhead to various job numbers using estimated burden and overhead rates. It shall use standard hourly rates when billing staff time with flexibility to create job charges for overtime hours that were worked, but not paid to the employee.	High	Currently a custom modification in CGI Advantage. Please state under the "Proposer's Notes" how this requirement will be addressed		
HR261	Human Resources	Payroll	Payroll Accounting Management	The system shall manage calendar dates but include the 13 accounting periods. It shall have control over the timing (fiscal month, or fiscal year) or where transactions should be expended.	High	Currently a custom modification in CGI Advantage. Please state under the "Proposer's Notes" how this requirement will be addressed		

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR262	Human Resources	Payroll	Payroll Accounting Management	The system shall accrue days worked in the month that are not paid until the following month. County's biweekly payroll requires accruals greater than 100% approximately 25% of the time considering monthly accounting books close on second day of the new month. It shall exclude one time payments and control what object codes to include in accruals.	High	Currently a custom modification in CGI Advantage. Please state under the "Proposer's Notes" how this requirement will be addressed		
HR263	Human Resources	Payroll	Reporting & Analytics	The system shall generate an annual wage statement in a predefined format for a selected employee and a date. The report shall display the salary totals for the employee for past 26 months from the selected date.	High			
HR264	Human Resources	Payroll	Reporting & Analytics	The system shall produce ad hoc reports of all payroll information (User-definable headings, columns, totals, and/or averaging across columns, count across columns, formatting borders and shading, summary reports, cross-tab reports, mailing labels, form letters, preprinted forms and access for other departments to be able to generate these requests).	High			
HR265	Human Resources	Payroll	Reporting & Analytics	The system shall provide reporting on both hours and dollars for each earnings type and report current as well as historical pay information.	High			
HR266	Human Resources	Payroll	Reporting & Analytics	The system shall support role based standard and ad hoc reports for both internal and external needs with security limits on viewing, printing, etc.	High			
HR267	Human Resources	Payroll	Reporting & Analytics	The system shall support electronic as well as paper distribution of reports and to create ad-hoc export files (e.g., Excel, PDF, .csv).	High			
HR268	Human Resources	Payroll	Reporting & Analytics	The system shall generate reports to compare Payroll and GL transactions, as well as 401k deductions.	High			
HR269	Human Resources	Payroll	Reporting & Analytics	The system shall generate payroll data that assists with time verification, and allow users to drill down into the report and download.	High			
HR270	Human Resources	Payroll	Reporting & Analytics	The system shall produce payroll check registers including current, YTD, and wage calculations (or date range) by individual and by element and selection criteria.	High			
HR271	Human Resources	Payroll	Reporting & Analytics	The system shall allow for payroll data to be integrated with a data analytics tool to facilitate analysis and data reconciliation efforts.	High			
HR272	Human Resources	Payroll	Reporting & Analytics	The system shall run pay period audits to reconcile the time sheet hours to scheduled hours.	High			
HR273	Human Resources	Payroll	Reporting & Analytics	The system shall generate a report for regular hours paid for all employees by selected rep unit in regular or supplemental pay cycles.	High			
HR274	Human Resources	Payroll	Reporting & Analytics	The system shall run statistics summary of all pay elements opening and closing balances for each department within a pay cycle.	High	Pay Elements- Pays, fringes, deductions		
HR275	Human Resources	Payroll	Reporting & Analytics	The system shall run various slices of payroll register/ check register reports.	High	Ex: Paid, outstanding, cancelled, check exceptions		

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR276	Human Resources	Payroll	Reporting & Analytics	The system shall generate pending payment inquiry in preparation of the payroll after time sheets are submitted by employees.	High			
HR277	Human Resources	Payroll	Reporting & Analytics	The system shall generate a summary of all deductions for each employee (FMLA, Fringes, Employee-Employer deductions, OCERS).	High			
HR278	Human Resources	Payroll	Reporting & Analytics	The system shall generate employee reimbursement details report (mileage and expense claims, educational reimbursement claims).	High			
HR279	Human Resources	Payroll	Reporting & Analytics	The system shall generate details of the retirement plans and matching employer contributions for each employee.	High	Summary by Plan and Tier, and separate by Wellness vs Non Wellness.		
HR280	Human Resources	Payroll	Reporting & Analytics	The system shall allow to view details on employees with workers comp pay.	High			
HR281	Human Resources	Payroll	Reporting & Analytics	The system shall run queries/ reports for state quarterly reporting (emp state wages, income tax etc.), W2 details, PRA compensation, employee compensation.	High			
HR282	Human Resources	Payroll	Reporting & Analytics	The system shall run queries/reports for payroll accounting such as employee accounting, fiscal YTD salary data, payroll expenses and accruals, labor distribution, payroll liabilities, etc.	High			
HR283	Human Resources	Payroll	Period End Reconciliation	The system shall run period reports for statutory deductions, balance report for other taxes, and run payroll reconciliation reports.	High			
HR284	Human Resources	Payroll	Period End Reconciliation	The system shall perform final review and identify any validation errors based on defined business rules before submitting data for payroll processing.	High			
HR285	Human Resources	Payroll	Period End Reconciliation	The system shall run year-end tax and payroll reconciliation report to generate year end employee earnings and tax statement. The system shall review and reconcile the results so that errors can be identified and corrected and to provide calendar and/or to do items as part of a manager dashboard.	High			
HR286	Human Resources	Payroll	Post Payroll Process	The system shall allow for automatic balancing of all earnings, deductions and taxes, to post journal entry to payroll subledger, and identify the remaining errors from on or off cycle payments.	High			
HR287	Human Resources	Payroll	Post Payroll Process	The system shall review and reconcile payments, research and correct pay discrepancies, alert County of payroll funding requirements, transmit to third party for updates, and be able to publish the pay slips.	Low			
HR288	Human Resources	Payroll	Post Payroll Process	The system shall process third party payments by reviewing and reconciling payments, alert Finance of third party payroll funding, and request the payment out of accounts payable.	Low			
HR289	Human Resources	Payroll	Post Payroll Process	The system shall provide recap/reconciliation reports, including number of checks, gross-to-net totals, deposit support	High			
HR290	Human Resources	Payroll	Post Payroll Process	The system shall electronically forward appropriate payroll information to general ledger and accounts payable for further processing. The system shall create an after the fact invoice in order to capture direct debits in AP (e.g., benefit vendors).	Low			
HR291	Human Resources	Payroll	Post Payroll Process	The system shall provide inquiry by payment number, regardless of type of payment.	High			

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR292	Human Resources	Payroll	Process Underpayments and Overpayments	The system shall run reports/ audits to identify underpayments and overpayments and to notify Payroll department of the underpayment/ overpayment so that underpayments are submitted to Payroll for disbursement.	Low			
HR293	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall automate forms administered in Health & Welfare Benefits (e.g., 401K form to be sent automatically to the vendor after completion).	Low			
HR294	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall notify the user of a change to benefits eligibility resulting from a change in key employer-owned data elements via email linking to enrollment site (e.g., change in employment status, change in scheduled hours), Alight.	High			
HR295	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall control the allowable benefit changes based on life event and regulations through integrating the system with the County's benefit vendor, Alight.	High			
HR296	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall input future dated transactions and display a summary of all historical transaction actions for an employee.	High	Should not impact the current process executions		
HR297	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall automatically terminate specified benefits based on specific changes in employment / eligibility status.	High			
HR298	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall enforce plan limits, such as contribution to HSA (Health Savings Account), FSA (Flexible Spending Account), and Deferred Comp and have the flexibility to take contributions pre and post-tax basis on individual elections.	High			
HR299	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall store, at minimum, benefit plan information that includes benefit plan identification, eligibility criteria (e.g., minimum job grade, length of service, union designation, age), eligibility date, eligibility hours (minimum hours), and eligibility earnings (base salary, benefits salary, YTD earnings).	High			
HR300	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall develop automated interfaces with all carriers and providers for each plan identified to transmit election / coverage data at the conclusion of the annual enrollment period.	High			
HR301	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall develop accurate and automated interfaces with all benefits and retirement vendors to ensure proper and timely eligibility, election, contribution, deduction, termination, COBRA and conversion information tracking.	High			
HR302	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall manage pre and post-tax benefit plans, assign benefits based on employee groups / rules and define criteria used to automate benefits processing.	High			
HR303	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall apply and change business rules associated with manager and employee initiated action to configure and trigger appropriate forms/letters to automatically advise carrier, managers, and other key stakeholders of leave beginnings and endings.	Low			
HR304	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall inquire and export benefits on data in various formats (e.g., Excel, csv, pdf) and to batch import or receive a real-time integration of employee benefit elections.	High			

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR305	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall allow benefits information to be interfaced and/or integrated with 3rd party vendors/software and to support automated inbound interfaces from multiple sources (e.g., 401K vendor, benefit vendors) and apply to employee earnings record/calculate appropriate pay.	High			
HR306	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall allow employees to submit an online health and benefits related forms Ex: fitness center memberships/enrollment.	Low			
HR307	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall track Medical Standard Codes with description and will allow the selection of more than one code. It shall allow validation of type of physicals associated with each job title.	High			
HR308	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall maintain (non-qualified plan) deferred compensation bonus election and apply to final payout.	Low			
HR309	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall determine employee eligibility (Employee shall be eligible for either RMLS or a grant) in the Retiree Medical Incentive Program (RMIP) based on age and years of service, and bargaining unit. It will accumulate by employee the RMIP qualified service hours and store for reference and calculation purposes. The system shall manually add or delete RMIP hours.	High	Currently a custom modification in CGI Advantage. Please state under the "Proposer's Notes" how this requirement will be addressed		
HR310	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall apply business rules (defined by the County) to qualify employee for retiree medical lump sum (RMLS) and calculate the lump sum amount. (The RMLS calculation is dependent on various Rep Unit groups, where each Rep Unit group has a calculation cutoff date, and also on the Tax Reporting (TAXR) entries. It shall use regular service hours for some employees as needed to calculate the RMIP/grant.)	High	Currently a custom modification in CGI Advantage. Please state under the "Proposer's Notes" how this requirement will be addressed		
HR311	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall adjust the employee RMIP service hours by zeroing out the RMIP hours when RMLS is calculated.	High	Currently a custom modification in CGI Advantage. Please state under the "Proposer's Notes" how this requirement will be addressed		
HR312	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall determine employee eligibility for the grant based on age, years of service(either regular service hours or RMIP hours), disability and bargaining unit.	High	Currently a custom modification in CGI Advantage. Please state under the "Proposer's Notes" how this requirement will be addressed		
HR313	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall apply business rules (defined by the County) to calculate the grant amount to be paid leveraging the RMIP service hours, dob, hire date, eligible buyback, retirement date, disability, genera vs safety.	High	Currently a custom modification in CGI Advantage. Please state under the "Proposer's Notes" how this requirement will be addressed		
HR314	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall allow the administrator to manually generate a RMLS amount or the grant amount, to display and update the employee's Retiree Medical Incentive Program and Grant details. The system shall include a user friendly screen where the user can enter(or search) the employee's ID, then press a button to calculate the RMIP, and the result shall be displayed.	High	Currently a custom modification in CGI Advantage. Please state under the "Proposer's Notes" how this requirement will be addressed		
HR315	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall allow specific roles to delete/ recalculate or override RMP/RMLS. The updates should reflect on the summary Benefit Payment Status document or Benefits Administration section.	High	Currently a custom modification in CGI Advantage. Please state under the "Proposer's Notes" how this requirement will be addressed		

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR316	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall bypass the employees RMIP eligibility calculation and stop accumulation of RMIP hours.	High	Currently a custom modification in CGI Advantage. Please state under the "Proposer's Notes" how this requirement will be addressed		
HR317	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall track the payment status of the RMLS when payments are made by payroll.	High	Currently a custom modification in CGI Advantage. Please state under the "Proposer's Notes" how this requirement will be addressed		
HR318	Human Resources	Benefits Administration	Health & Welfare Benefits Administration	The system shall indicate if the employee elected HRA(Health Reimbursement Arrangement) or freeze the grant.	High			
HR319	Human Resources	Benefits Administration	Reporting & Analytics	The system shall report benefit costs (both employee and company costs/fringes) by plan, coverage etc.	High			
HR320	Human Resources	Benefits Administration	Reporting & Analytics	The system shall maintain plan summaries and other information online.	High			
HR321	Human Resources	Benefits Administration	Reporting & Analytics	The system shall maintain historical data on former and non-employees with benefit coverage (e.g., retirees, spouses, separated employees).	High			
HR322	Human Resources	Benefits Administration	Reporting & Analytics	The system is able to run queries/reports of discrepancies, of all benefits(unemployment, salary continuance, health, dental, HCRA/DCRA, etc.).	High			
HR323	Human Resources	Benefits Administration	Reporting & Analytics	The system shall run queries/reports of eligibility changes; promotion, safety to non-safety, rehires, demotion, LOA, new hires, etc.	High			
HR324	Human Resources	Benefits Administration	Reporting & Analytics	The system shall run queries/report on summary of benefits deductions and employee contributions, such as health, dental, life, AD&D, 401a, deferred compensation, etc.	High			
HR325	Human Resources	Workforce Insights	Reporting & Analytics	The system shall provide standard system reports including EEO reporting, Time To Fill, Time To Hire, Long term disability (LTD) election report (including premium and benefit level), Age-based Life Insurance Report, and Detailed healthcare election report broken down by plan and coverage tier.	High			
HR326	Human Resources	Workforce Insights	Reporting & Analytics	The system shall provide a standard report related to people on leave, date of leave, type of leave, leave status (pending, etc.) and expected return date and trends in types of leave, age, service, etc. to assist in analyzing and implementing proactive programs and policies.	High			
HR327	Human Resources	Workforce Insights	Reporting & Analytics	The system shall provide analytics on where candidates are being sourced and accessing site and recruiting analytics by recruiter and by HR business partner.	Low			
HR328	Human Resources	Workforce Insights	Reporting & Analytics	The system shall provide an user defined configurable dashboard to see recruiting activity at a glance including the ability to see downline reporting for hiring managers (e.g., openings, status).	Low			
HR329	Human Resources	Workforce Insights	Reporting & Analytics	The system shall link FTE, turnover, and vacancy reports with other reports (budget).	High			
HR330	Human Resources	Workforce Insights	Reporting & Analytics	The system shall link, view, and manage between actuals and budgeted reports.	High			
HR331	Human Resources	Workforce Insights	Reporting & Analytics	The system shall develop future analysis (e.g., salary projections).	Low			

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR332	Human Resources	Workforce Insights	Reporting & Analytics	The system shall develop workforce implications.	Low			
HR333	Human Resources	Workforce Insights	Reporting & Analytics	The system shall develop business scenarios.	Low			
HR334	Human Resources	Workforce Insights	Reporting & Analytics	The system shall generate and manage workforce baselining and benchmarking.	Low			
HR335	Human Resources	Workforce Insights	Reporting & Analytics	The system shall conduct data requirement, perform data gather, collection, and perform data analysis and cleaning. The system shall model the data and model training.	High			
HR336	Human Resources	Workforce Insights	Reporting & Analytics	The system shall conduct tooling, input data, build data governance, build the criteria and build the analysis. The system shall validate against the hypothesis and check for raw outputs.	High			
HR337	Human Resources	Workforce Insights	Reporting & Analytics	The system shall review predictive model(s) periodically, assess performance and assess performance and accuracy of previous forecasts and identify need for improvement.	Low			
HR338	Human Resources	Workforce Insights	Reporting & Analytics	The system shall refresh criteria to train model and measure performance (e.g., metrics, rolling test periods), and generate new model structure(s).	Low			
HR339	Human Resources	Workforce Insights	Reporting & Analytics	The system shall look up an employee's current information to display current assignment, status, supervisor, and employee's contact information.	High			
HR340	Human Resources	Workforce Insights	Reporting & Analytics	The system shall provide several employee specific reports (ad hoc and canned) for various attributes leave dates, promotion expiration dates, EEO attributes, birthday date audit, bilingual code, payment history, job offer checklist, employee contact info, performance rating etc.	High			
HR341	Human Resources	Workforce Insights	Reporting & Analytics	The system shall have ability to generate canned and adhoc reports with details for reference related to Title code, rep units, pay rate, and department specific etc.	High			
HR342	Human Resources	Workforce Insights	Reporting & Analytics	The system shall have ability to generate canned and adhoc reports with details for all position related data. Examples - Position summary, position historical info, position details, master position information, position reclassification etc.	High			
HR343	Human Resources	Workforce Insights	Reporting & Analytics	The system shall have ability to create custom filters for searches and save them for future use. The system shall generate a report for the saved filter details within the user's profile, allowing users to audit and maintain their saved filters.	High			
HR344	Human Resources	Workforce Insights	Reporting & Analytics	The system shall forward/share the saved reports.	High			
HR345	Human Resources	Workforce Insights	Reporting & Analytics	The system shall have a position and employee dashboard.	High			
HR346	Human Resources	Workforce Insights	Reporting & Analytics	The system shall have a self-scheduling reporting feature. This feature will have security measures in place to consider users access role.	High			
HR347	Human Resources	Compensation Administration	Compensation Administration	The system shall allow roll-up for senior management review, analysis and approval with roll-up is based on management relationship (in reporting chain).	High			

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR348	Human Resources	Compensation Administration	Compensation Administration	The system shall allow senior management to review portions of their organization or groups of departments for analysis	High			
HR349	Human Resources	Compensation Administration	Compensation Administration	The system shall maintain user defined merit matrix and to determine merit increase based on performance rating or other user defined field and position in band and market range.	High			
HR350	Human Resources	Compensation Administration	Compensation Administration	The system shall enable supervisor to model various compensation adjustments and see impact on department budget.	Low			
HR351	Human Resources	Compensation Administration	Compensation Administration	The system shall allow for combination of percentage increase, overtime estimations, and include in calculation against budget.	High			
HR352	Human Resources	Compensation Administration	Compensation Administration	The system shall pend merit increase for employee on unpaid LOA and trigger increase to be effective on return to work date.	High			
HR353	Human Resources	Compensation Administration	Compensation Administration	The system shall allow authorized user to view of all compensation elements on an employee.	High			
HR354	Human Resources	Compensation Administration	Compensation Administration	The system shall allow compensation personnel to structure multiple separate salary increase plan types / multiple budgets which may vary from year to year.	High			
HR355	Human Resources	Compensation Administration	Compensation Administration	The system shall maintain incentive eligibility, target, mix and measures and final awards.	High			
HR356	Human Resources	Compensation Administration	Compensation Administration	The system shall update employee pay record after final approval of a performance increase or equity/market increase	High			
HR357	Human Resources	Compensation Administration	Compensation Administration	The system shall add/update salaries in batch mode and individual mode and to provide future dated salary changes.	High	Overlap with Payroll		
HR358	Human Resources	Compensation Administration	Compensation Administration	The system shall provide workflow for off cycle (ad hoc) salary change and reason(s) for change	High			
HR359	Human Resources	Compensation Administration	Compensation Administration	The system shall maintain allowances by type (e.g., meal, housing, transportation) and calculation method (e.g., percentage of base, flat amount).	High			
HR360	Human Resources	Compensation Administration	Compensation Administration	The system shall allow managers to recommend one-time payments and route for approval with supporting documentation attached.	High			
HR361	Human Resources	Compensation Administration	Compensation Administration	The system shall maintain position information, including job codes, grades, titles, market zone/band, incentive level, FLSA and workers' comp code.	High			
HR362	Human Resources	Compensation Administration	Compensation Administration	The system shall perform salary structure modeling and store benchmark salary data.	High			
HR363	Human Resources	Compensation Administration	Compensation Administration	The system shall calculate and record compensation ratios and salary positions.	High			
HR364	Human Resources	Compensation Administration	Compensation Administration	The system shall project and analyze salary information with report writing tools	High			
HR365	Human Resources	Human Resources	Reporting & Analytics	The system shall run data queries using various criteria, on-demand PDF versions of reports for all payroll and human resources data. The reports shall be available only to certain user roles with permissions.	High			
HR366	Human Resources	Human Resources	Reporting & Analytics	The system shall generate adhoc or canned reports for time & leave summaries (biweekly), time & leave rejected transactions.	High			
HR367	Human Resources	Human Resources	Reporting & Analytics	The system shall run a query/report to show the employee hours of service.	High			

HR-PAYROLL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
HR368	Human Resources	Human Resources	Reporting & Analytics	The system shall query/lookup all reference tables deductions, pay/leave events etc.	High			

PROCUREMENT REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
P01	Procurement	Procurement	Procurement System	The system shall define the organization, management, communication, and reporting structure (e.g. strategy, cadence), delineate organizational structure, reporting lines, inter-dependencies & relationships and help define role authority and accountability.	High			
P02	Procurement	Procurement	Procurement System	The system shall define the approach on identifying and outlining the types of competencies, skills and capabilities of resources (people and digital) required to support procurement. The system should be able to define the responsibilities and performance parameters of each role profile across the procurement organization.	High			
P03	Procurement	Procurement	Procurement System	The system shall identify the key risk areas and compliance requirements by assessing the risk environment and impacts (e.g., waste, abuse, fraud). The system should be able to prioritize and categorize risk and be able to support the development of mitigation strategies, such as identifying and preventing duplications, averting orders if no approved funds are available, identifying potential supplier risks, etc.	High	Vendor profile to illustrate issues and flag the risk for contracts/performance		
P04	Procurement	Procurement	Procurement System	The system shall establish a supplier through a mandatory process as defined by the County to ensure the supplier meets certain criteria, which may include but not limited to, regulatory, quality, manufacturing, risk, financial, legal and audit requirements. This process should be performed prior to proceeding with supplier relationship development and should support those suppliers that may be certified as a result of market exploration activity and/or potential production innovation opportunities (may not be flagged in the system as an approved supplier until later stage).	High			
P05	Procurement	Procurement	Procurement System	The system shall consider supplier risk assessment / risk mitigation planning, which either of these activities may trigger the certification process order for the Authority to complete their own due diligence / further investigation.	High			
P06	Procurement	Procurement	Procurement System	The system shall support the collaboration and sharing of documentation between the key stakeholder(s) and Procurement and support automated approval workflows.	High			
P07	Procurement	Procurement	Procurement System	The system shall replicate a previous event ("copy/paste") and the system provides the capability for users to create events / projects using Microsoft Office applications. This will apply across the entirety of the system, so requisitions, contract/encumbrance requests, solicitations, etc. should all have access to this functionality.	High	Copy Backwards feature: The County would like to be able to use their latest Contract to copy backward to a new requisition or solicitation.		

PROCUREMENT REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
P08	Procurement	Procurement	Procurement System	The system shall look up and drill down to contract information using contract number, vendor item number, manufacturer item number, Orange County item number, buyer ID, requester ID, and item description and provide reporting based on these same attributes along with dollar amounts and audit trails. The system will cross reference between approval and contract, contract and invoice, invoice and payment approval, and between contract and requisition.	High	Orange County item number- Internal number for specific business areas used in the County;		
P09	Procurement	Procurement	Procurement System	The system shall see full requisition to pay lifecycle with drill down reporting, track contract history, provide an audit of contract creation and changes (e.g., by user ID, date, timestamps) and support rebates with real-time speed. The system will produce this information one contract inquiry at a time and displayed where each line, (e.g., corresponding receipt, invoice, credit and payment etc.) is displayed in a user-friendly manner. The system will accommodate reporting for all procurement items (e.g., payment approval, requisition, contract, WF, Receipt, Invoice, and Payment).	High			
P10	Procurement	Procurement	Procurement System	The system shall provide both standard and user-defined ad hoc purchasing reports (e.g., contract lines processed/buyer, # and \$ amount of contracts, service line / department reporting) and create reconciliation reports. The system should allow end users to configure and view reports through self-service capabilities.	High			
P11	Procurement	Procurement	Procurement System	The system shall provide spend reporting and dashboard capabilities across vendors, cost centers, contracts, and different spend commodities to identify potential savings opportunities and aggregate, categorize, and normalize spend data based on user requirements.	High			
P12	Procurement	Procurement	Procurement System	The system shall have real-time operational metric reporting (e.g., spend managed by sourcing / buyer, number of contracts processed / buyer).	High	Buyer performance metrics; ties into requisitioning component too		
P13	Procurement	Procurement	Procurement System	The system shall interface with UPS / FedEx feed to bring in tracking information for end user viewing and tie POs to tracking numbers.	Low			
P14	Procurement	Procurement	Procurement System	The system shall support a workflow process that supports managing additions, deletions, and/or changes to the vendor master file	High	Ability to have audit trail of the changes to the vendor master file		
P15	Procurement	Procurement	Procurement System	The system shall allow end users to view reference information data such as contract information (Numbers, balances, expenses, expirations etc.) and allow users to export the results to excel.	High	Role based - read only users		

PROCUREMENT REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
P16	Procurement	Procurement	Procurement System	Access to the overall system shall be role-based, and allow for some users to view and approve only their department information, work, etc., while others can view and approve all Countywide information, work, documents, etc. The system will be agile and flexible to allow for easy changes to users access and ability to work on projects.	High			
P17	Procurement	Procurement	Procurement System	The system shall allow staff to set a percentage (generally 5%) amount that is retained/withheld from payment to a vendor until such time as the project is confirmed to have been completed	High	Retention payments		
P18	Procurement	Procurement	Procurement System	The system shall print out and/or generate pdf versions of various documents in a format that is acceptable to the County. This includes, but is not limited to, requisitions, encumbrance and contract documents, approvals, etc.	High			
P19	Procurement	Procurement	Procurement System	The system shall allow users to view documents in their 'draft' forms before finalizing and submitting for approval. This shall apply to all documents	High			
P20	Procurement	Procurement	Procurement System	The system shall generate a sequential procurement file folder number, ensuring that no duplicates are created/used. The file folder shall be able to be assigned/created early in the procurement process without the need to fully enter and complete the contract information at that time. System shall allow for multiple requisitions to be used for one procurement file folder, if needed.	High			
P21	Procurement	Procurement	Training Management System	The system shall provide a Training Management System, which can track training hours, opportunities, compliance, certification, etc. Users should be able to see in real time their remaining hours, courses taken, and other information.	High	All Procurement related training		
P22	Procurement	Procurement	Training Management System	The system's training module should allow for procurement related calendar of events to be added, maintained, and removed by appropriate staff. Users can select events, which can be added to their calendar (Outlook), and can be tracked and logged upon successful completion.	High			
P23	Procurement	Procurement	Training Management System	The system's training module shall allow for attachments to be uploaded and for information to be added, including links, descriptions, etc.	High			

PROCUREMENT REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
P24	Procurement	Procurement	Supplier Management	The system has the capability to provide a 'self-service' supplier portal so that suppliers can register to become a County vendor at any time, provide their LSB, DVBE, etc. certification, upload their insurance, etc. and these actions can follow County workflows to ensure successful completion. The system has the ability to confirm the request for a new supplier that is queued, set up a master data record and complete a new supplier request form/application that aligns with master data field. The system is able to complete any applicable on-boarding activities (as required). The supplier master data record captures all of the pre-defined attributes once and may be used across multiple systems within the business. The system is able to support the collaboration and sharing of documentation between key stakeholder(s) and Procurement.	High	The system shall support vendor-initiated portal sign up, provide a process for vendors to upload required forms (e.g., W-9), search of duplicate entries throughout vendor records, store multiple addresses and payment methods for each vendor, store vendor banking information for EFT transactions. The system should support automatic initiation of approval workflow from vendor creation and provide an authentication process before hitting workflow.		
P25	Procurement	Procurement	Supplier Management	The system shall define and measure the supplier performance criteria on a perpetual basis for the segmentation / tiering levels as defined by the County, and produce a scorecard that is agreed between all parties (e.g., key stakeholders, supplier, procurement staff) which includes, for example, service level agreements, tracking costs, targets, contractual requirements, and sustainability (long term decisions). The system shall create supplier performance scorecards for each category (e.g., basic, strategic) that will track vendor performance and provide system notifications to Orange County staff with low performance markings. The system shall set the frequency a supplier is monitored, which also depends on their tiering or volumes (e.g., Tier 1 suppliers / high volume suppliers are typically monitored on a more regular basis).	High	County wants to have a Vendor Performance Management tool, so we can easily see past and current performance metrics/data in order to make informed decisions. The system should be able to collect all supplier performance data and report on trends and other factors.		
P26	Procurement	Procurement	Supplier Management	The system shall allow users to view Countywide vendors with all details for them including contracts, background/compliance and view and view view a full D&B report. The system shall also provide an approval workflow for new vendor additions and interface with 3rd party vendor verification databases such as D&B, SAM.gov, as well as various State and Federal lists.	High	System should house and display all information related to a single vendor, with no need to navigate to other screens, applications, etc.		
P27	Procurement	Procurement	Supplier Management	The Supplier Management component shall allow vendors to receive and view contracts, submit and view electronic invoices, view payment status, add edit/upload catalog items in supplier portal, register for events and view the current and historical status of contracts, receipts, advance shipping notices (ASNs), and invoices.	High			
P28	Procurement	Procurement	Supplier Management	The system shall support a vendor frequently asked questions portal resource and accept and automatically route vendor inquiries based on inquiry type (e.g., Contract, receipt, invoice, payment).	High			

PROCUREMENT REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
P29	Procurement	Procurement	Supplier Management	The system shall provide a configurable flag in the vendor master file to reflect a vendor's status (e.g. potential, registered, removed), identify the type of vendor (e.g., contract, AP) and indicators for local and minority businesses.	High			
P30	Procurement	Procurement	Supplier Management	The system shall have ability to track information such as name, code, insurance, expiration dates etc. for the designated or specialized vendors who are not approved County	Low	JWA has contractors leasing real property or holding a license or permit to conduct activities on County property.		
P31	Procurement	Purchasing	Requisitioning	The system shall create requisitions for products, services and capital items, support punch-out with multiple vendors, default requisitioned information when end users complete a requisition, create requisitions in all payment item options, support multiple types of requisitions including non-purchase order requisitions (e.g., inventory issues, requests for internal services) and support the flow of requisitions into solicitations and/or contract creation and execution	High	Include tax calculations for CA into the requisition amount		
P32	Procurement	Purchasing	Requisitioning	Report: The system shall provide extensive workload management and reporting capability in order to help the requisition process. The system shall report on virtually every field captured in the system and provide various metrics/KPIs, search functionality, dashboards, management and/or staff reporting tools, etc. Reports shall be customizable and allow users to designate or save as a favorite.	High			
P33	Procurement	Purchasing	Requisitioning	The system has user-defined assignment of default values (e.g., accounting data, ship to/deliver to), capture notes and comments on requisitions that transmit to the contract.	High			
P34	Procurement	Purchasing	Requisitioning	The system shall attach documents, such as multiple quotes, approval documentation, sole source documentation, etc. to a requisition. Ability for attachment to flow to contract for buyer viewing, both universal and specific to a screen.	High			
P35	Procurement	Purchasing	Requisitioning	The system shall print out and/or generate pdf versions of the requisitions in a format that is acceptable to the County. The print out should capture all approvals, funding, specific County/process approvals or denials, the original request, amount, etc.	High			
P36	Procurement	Purchasing	Requisitioning	System shall support role-based access control throughout the requisition module and workflows	High	Complying to County defined validation rules for approval of the requisition		
P37	Procurement	Purchasing	Requisitioning	The system shall build custom required fields needed to complete a requisition with notifications to end users if they don't fill out, pull in last price paid for requisitioning, flag a requisition as a priority with corresponding facilitating workflow (e.g., not auto-routed, go to top of buyer's queue) and escalate a requisition approval to someone else of equal or higher level within a financial hierarchy.	High	Validation of required fields to submit the requisition		

PROCUREMENT REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
P38	Procurement	Purchasing	Requisitioning	The system shall identify / designate general ledger account per requisition line with split accounting options and leverage user-accessible drop down boxes or frequently used lists to support these assignments.	High	Funding/accounting details for the requisition		
P39	Procurement	Purchasing	Requisitioning	The system shall cancel/close requisitions or individual requisition lines.	High			
P40	Procurement	Purchasing	Requisitioning	The system shall upload lines into requisition from non-system source (e.g., Excel).	High			
P41	Procurement	Purchasing	Requisitioning	The system shall have an approval workflow for requisitions (e.g., escalation, delegation) that provides budget info to approvers, provide guided buying workflows as defined by certain requirements based on initial item selection and notifications, create/have customized workflow paths for certain requisition types based on business decision at both header and line level (e.g., contract type, requester delivery location, dollar threshold).	High			
P42	Procurement	Purchasing	Requisitioning	The system shall allow the requisition to dynamically re-evaluate the required approval flow based on changes made to a contract during the approval process (based on status per business needs), and provide different approval workflows by line item where there are multiple items on a contract.	High			
P43	Procurement	Purchasing	Requisitioning	The system shall limit the creation of a contract/encumbrance if there are any line items that have exceeded the approved budget, and to configure alerts if a contract/encumbrance is not automatically generated after the requisition has been submitted (e.g. insufficient funding).	High			
P44	Procurement	Purchasing	Requisitioning	The system shall record and approve partial or full receipts of goods or services via a workflow function and notification system, process a product return to vendor and update the contract and provide an audit of receiving data by user ID, date and timestamp.	High			
P45	Procurement	Purchasing	Requisitioning	The system shall receive advanced shipping notices (ASNs), communicate this information to users and provide an auto-notification when a receipt hasn't occurred (e.g., XX days after contract date). The system will be able to leverage a supplier HUB (portal) for these ASNs.	Low			
P46	Procurement	Purchasing	Requisitioning	The system shall automatically generate requisitions in advance of contract expirations based on user/department defined criteria (e.g. generate at 3/6/9/12 months out from current contract expiration). These automatic requisitions should pull the historical data and prepopulate as many fields as possible with this data to allow for efficient review and completion of these requests.	High			

PROCUREMENT REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
P47	Procurement	Purchasing	Requisitioning	The system shall be agile and flexible to allow for numerous customizations to be made by the County without the need to request changes to the source code. If changes to the code are needed, vendor should make updates on a timely schedule to ensure that the system continuously meets all the requirements of the County.	High			
P48	Procurement	Purchasing	Requisitioning	Requisition component shall capture additional, County-defined information (e.g., sole source information, contract increase, credit card requests and modifications, etc.) and employ various workflows throughout the approval process. System shall retain historical record of these actions and allow for easy search/report functionality	High			
P49	Procurement	Procurement	Contract Management	The system shall create and maintain contract and solicitation templates and leverage these templates for various workflows/scenarios based on the type of the template. System shall provide for role-based access to templates, so that only certain users have the ability to make edits.	High	Requisition, Contracts, Solicitation		
P50	Procurement	Procurement	Contract Management	System shall serve as a contract repository, housing all documents and allowing for search/report functionality on all required fields. System shall display contracts on a public-facing site, which would allow for outside users to download approved documents. The system will also support Optical Character Recognition (OCR) technology in order to search vendor documentation, search contracts (executed or not). Contract repository capability should support different types of actual executed contracts (e.g., purchase agreements, service agreements, NDAs, MSAs, ILAs, sponsorships, licensing, facility agreements, real estate, due diligence) and provide real time visibility of contract status.	High	System should sync up to cooperative contract applications (CoProcure) as well		
P51	Procurement	Procurement	Contract Management	The system shall create contracts, including functionality to make changes/edits, add a lines, flag as priority, cancel, build customized contracts, restore canceled contracts, create a contract to be paid and automate the creation of all types of contracts. The system shall establish appropriate encumbrances and sync up those encumbrances for modified or canceled contracts.	High			
P52	Procurement	Procurement	Contract Management	The system shall create different types of contracts to include standard, service, blanket, bill-only, repair, bill and replace, capital, and scheduled contracts. It shall have service and/or blanket contracts. The system will allow the referencing of another requisition/contract, allow users to edit the data before it moves through approval workflow, accommodate an automated approval for contract funds and show remaining contract funds with notifications for low funds.	High	Types of contracts - MA, PO, CT, RCA		
P53	Procurement	Procurement	Contract Management	The system shall note a product is back-ordered, notify buyers/end user requestors and automate back order substitutions from a contract acknowledgement.	Low			

PROCUREMENT REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
P54	Procurement	Procurement	Contract Management	The system shall allow attachment documents or URLs to contract/encumbrance at header or to specific line, from the requisition attachments or manually.	High			
P55	Procurement	Procurement	Contract Management	The system shall carry forward open items on the contract from one fiscal year to another, automate the fiscal year end contract roll over process and include a quality assurance process to ensure contract encumbrance roll over is successful.	High	Close all open/multiple encumbrances by user selection. System should allow for multiple/mass closures at a time		
P56	Procurement	Procurement	Contract Management	The system shall allow users to request administrative changes to contracts using a requisition, and for authorized personnel to modify contracts after they have been released. The system shall connect to the supplier (portal) and record and track the changes in the supplier record. The system shall send these contract changes as amendments to the vendor without resending the entire contract and to accept acknowledgments.	High	Amendments. The system shall make contract modifications to contracts and purchase orders. The system should be able to make and track changes to a contract via workflow both internally and externally with vendors (e.g., redlines with supplier/vendor).		
P57	Procurement	Procurement	Contract Management	The system shall create a contract from template language and terms/conditions within system (e.g., contract authoring capability), develop contracts that require complex service hierarchies, and support approval workflow for contracts (e.g., set up, change orders, closures). The system shall support electronic signatures for relevant signoff in accordance with expenditure approval policy or alternatively integrate with signature software.	High	Procurement utilizes DocuSign for electronic signatures, so system should be able to support that application if possible		
P58	Procurement	Procurement	Contract Management	The system shall create a procurement/supplier contract/catalog or contract off of a sourcing event/executed contract. The system shall house contract pricing internally in a contracts / item master / content management solution.	High			
P59	Procurement	Procurement	Contract Management	The system shall upload contract metadata from external files including header and line data and build standard comments for contracts to print on the contract (header or line)..	High			
P60	Procurement	Procurement	Contract Management	The system shall have parent/child contracts, (e.g., add subcontracts to Master Service Agreements) and set up / maintain different contract templates based on Commodities and Organizational Structure.	High			
P61	Procurement	Procurement	Contract Management	The system shall copy an agreement and support required contract fields (e.g., GPO, supplier, start date, manufacturer, supplier contract number, tier / pricing level, review date, expiration date at item / line level).	High			
P62	Procurement	Procurement	Contract Management	The system shall track and report on contract compliance (e.g., deliverables, milestones) and track payments to the prime contractors and sub-contractors to comply with regulatory requirements (e.g., SBE, WBE, MBE).	High			
P63	Procurement	Procurement	Contract Management	The system shall support staging of contracts to identify line items / tasks and associated funding requirements for traceability in the financial management module	High			

PROCUREMENT REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
P64	Procurement	Procurement	Contract Management	The system shall have contract workflow approval capabilities allowing for functional, legal and financial approvals based on dollar threshold, commodity based approval, amendments/ SOWs, or organizational based logic. This workflow shall support actions by third parties (vendors) who do not have direct system access.	High	Ability for vendors have limited access system to be part of the workflow/leverage a electronic signature tool for them to sign		
P65	Procurement	Procurement	Contract Management	The system shall load contracts and data from scans (OCR) for document management and share or segregate contracts across companies / secure access to document repository.	High			
P66	Procurement	Procurement	Contract Management	The system shall default payment terms on contract according to contract terms and auto-notify of expiration dates 30, 60, 90 days before expiration date.. The system shall initiate notifications 6 months in advance of expiration dates and set user-defined alert triggers (e.g., bond / insurance expiration, contractor meetings, close-out meetings).	High	System should have the flexibility to set up the notification date, as 6 months is not appropriate for all contracts and some might only need 3 while others 9. Staff should be allowed to edit and set the notifications		
P67	Procurement	Procurement	Contract Management	The system shall set a milestones in contract lifecycle and trigger notifications or actions based on these milestones (e.g., multi-year contracts).	High			
P68	Procurement	Procurement	Contract Management	The system shall switch product and tier pricing within a contract term for multi-year contracts, especially service contracts and set multiple pricing levels by contract items. The system shall establish and update contract tasks and milestones and to set trigger alerts based on these tasks and milestones.	High			
P69	Procurement	Procurement	Contract Management	The system shall track spend against a contract and/or a vendor by SKU and contract level and track contract spends, non-contract spend, discounts, service / service type and price breaks based on contract volumes. The system shall have a dashboard that shows work in queue (e.g. open sourcing events, # of open contracts that need to be approved, # of contracts/vendor, spend per each contract, when each contract will expire). The system shall perform analytics and reporting to pull contract reports that include contract type, contract name, description, expiration date information, and remaining contract funds at a minimum. The system shall aggregate spend and have procurement analytics that comprise dashboards with the ability to drill into procurement and payment transactions providing transparency and visibility of payments processed against contract purchase orders, etc.	High			
P70	Procurement	Procurement	Contract Management	The system shall see contracts and total spend across one supplier that has multiple divisions and multiple contracts with the County (e.g., contracts across divisions / departments), identify where the contracts reside, when they expire, what value those contracts are, and spend against those contracts.	High	Tied to Supplier Management request regarding contract		

PROCUREMENT REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
P71	Procurement	Procurement	Contract Management	The system shall have a formal close out process that tracks the contract closeout process and document the activities and approvals with a dynamic workflow system including notifications. The system shall allow users to attach files to the workflow process. Workflow should include notification / task completion activities for vendors outside of the County user base.	High			
P72	Procurement	Procurement	Contract Management	The system shall review contract payments, contract purchase orders and contract deliverables and the acceptance of the deliverables to ensure compliance.	High			
P73	Procurement	Procurement	Contract Management	The system shall support the track the return of any County items during contract close out, equipment, assets that are in the vendor's possession (e.g., computers, equipment, etc. that were paid for and owned by the County but reside at a Provider's clinic)	High			
P74	Procurement	Procurement	Contract Management	The system shall support a process that determines the checklist for exiting a contract. This process will ensure there is an agreed plan which, when executed, considers the contractual termination requirements, warranty claims post contract and completes the actions / activities as defined by a Contract Close Out checklist.	High			
P75	Procurement	Procurement	Contract Management	The system shall provide access to the closeout checklist and track through workflow process. The Contract Close Out checklist may include, but not be limited to off boarding workers, tooling, County managed inventory, Vendor Managed Inventory (VMI), and Work in progress (WIP). This checklist will facilitate key stakeholders from other functional areas to be actively engaged and vendors if needed.	High			
P76	Procurement	Procurement	Contract Management	The system shall close project contracts and project codes, validate deliverables against contract requirements and acceptance criteria, and produce and include project expenditures comparative reports at project closeout.	High			
P77	Procurement	Procurement	Contract Management	The system shall provide a notification process to alert users of the contract closeout process and is able to integrate in real-time with the roll over process to ensure that it is executed seamlessly.	High			
P78	Procurement	Procurement	Contract Management	The system shall support the steps performed at the end of each period, for example, all transactions must be accounted for and reconciled, and any errors resolved. After the new accounting period is opened, accounting distributions can be created and sub-ledger reconciliation reports can be sent.	High			
P79	Procurement	Procurement	Funding Source Management	The system shall serve as a funding source library and repository, housing all funding source documentation and requirements, and showing all contracts tied to a specific funding source, as well as tracking all expenditures and activities.	High			

PROCUREMENT REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
P80	Procurement	Procurement	Funding Source Management	System shall include extensive reporting and search capability within the module, allowing staff to report, track and search for any funding requirements, expenditures, cost reporting, etc.	High			
P81	Procurement	Procurement	Funding Source Management	The system shall integrate with or augment the Contract Management component, and house a terms and conditions library specific to each funding source. The system shall allow and enforce role-based access to terms and conditions, so that only certain users can make edits. When an appropriate funding source is selected, the applicable funding source terms and conditions should be included when building the contract	High	Ties to Contract Management piece		
P82	Procurement	Procurement	Bidding System	The system shall have extensive online capabilities surrounding the bidding component. The system shall be robust, allow for paper and electronic submittals, electronic evaluations, tabulations, notifications, etc. It will also have a robust reporting functionality and be able to monitor trends, notifications, supplier preference, etc. The system shall allow vendors and the public to easily search and view County solicitation opportunities, submit bid responses, upload documentation, and allow for fillable and/or electronic forms wherever possible	High			
P83	Procurement	Procurement	Bidding System	The system shall create and maintain solicitation templates and leverage these templates for various workflows/scenarios based on the type of the template. System shall provide for role-based access to templates, so that only certain users have the ability to make edits.	High			
P84	Procurement	Procurement	Bidding System	The system shall support e-sourcing/electronic solicitation processes (reference Request for Proposal (RFP), Request for Information (RFI), Request for Quote (RFQ), and Request for Bid (RFB)), provide system, user-configurable templates, post bids, perform Q&A, summarize responses and award vendors through a supplier portal.	High			
P85	Procurement	Procurement	Bidding System	The system shall allow vendors to respond to solicitation activities with dynamic pricing, add / upload attachments (e.g., specifications) as part of the solicitation (at header level and item level) without data size restrictions	High			
P86	Procurement	Procurement	Bidding System	The system shall edit start date / end date of the solicitation (e.g., RFX will close XX days after launch, RFX will close on specific date / time) and perform RFX optimization exercises, filtering, analysis across multiple vendors at the SKU level to determine potential savings.	High			
P87	Procurement	Procurement	Bidding System	System shall support fully electronic solicitation evaluations, which include the ability to post schedule of meetings, share and sign documents, create and share evaluation criteria, review and score proposals without knowledge of pricing, identify and record strengths and weaknesses, consensus scoring, documentation of notes, and automatic and custom email/system notifications.	High			

PROCUREMENT REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
P88	Procurement	Procurement	Bidding System	The system shall allow for electronic prequalifications, allowing vendors to apply for and maintain their prequalification questionnaire and documentation and submit across multiple solicitations.	High			
P89	Procurement	Procurement	Bidding System	The system shall automatically match and validate line items vendors submit as equivalent/equal during the solicitation process	Low			
P90	Procurement	Procurement	Bidding System	The system shall award vendors, notify them electronically and integrate (upload/update) awarded pricing electronically into ERP Item Master.	High			
P91	Procurement	Procurement	Bidding System	The system shall fully integrate with external sourcing systems to support solicitation activities (e.g., PlanetBids, GovWin, BidNet, state procurement registries).	High			
P92	Procurement	Procurement	Bidding System	The system shall be easy to use, both for County and for the vendor community, and shall prepopulate information from vendor profile and other sections as much as possible, to eliminate multiple entries of the same information (e.g., vendor address, contact information, general company info, etc. should be inferred and populated from profile. It shall check expiration date on items such as insurance and contractor license and prompt an update when needed). The system should allow vendors to set reminders (such as outlook/calendar events) for key events, such as job walks, Q&A deadline and close of bids.	High			
P93	Procurement	Procurement	Bidding System	The system shall be free for the public and vendor community to use and limit aggressive and intrusive requests for them to sign up, pay for features and/or options, and overall communication. System communication shall be relevant to vendors' business and be targeted.	High			
P94	Procurement	Procurement	Bidding System	The system allow for vendors to sign up, select services and/or items that they provide, navigate and look for bidding opportunities should be as straightforward as possible. Selection of services/items should utilize NAIC or similar classification system, and should try to remain high level so that notifications and communications remain relevant to vendors. Vendors will be able to easily update their settings. Vendors will be able to browse solicitation listings without signing up and only be prompted to sign up once they are going to submit a response	High			
P95	Procurement	Procurement	Bidding System	The system shall provide training tools and resources, such as videos and walkthroughs, which can be utilized by the County to easily train vendors on how to utilize the system	High			
P96	Procurement	Procurement	Bidding System	The system shall leverage bidding networks of other local/regional entities and continuously be looking to expand the vendor pool. It shall allow for County to automatically and/or manually invite parties that are not currently part of County network.	High			

PROCUREMENT REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
P97	Procurement	Procurement	Bidding System	The system shall allow for searching and downloading solicitations, scope of work/specification documents, other information from other entities.	Low	Functions as a solicitation library		
P98	Procurement	Procurement	Bidding System	The system shall provide robust reporting elements as part of the bidding system module. It shall provide dashboard with various KPIs/metrics, and should provide reporting on all data elements, including vendor response and download/viewing rates, supplier notification reports, new supplier additions, etc. The system shall query vendors in a simple manner to find out why they didn't submit a response to a bid.	High			
P99	Procurement	Procurement	Bidding System	The system shall allow for prime and subcontractors to engage and connect with one another on specific solicitations. Primes should be able to solicit subcontractors for opportunities related to the solicitation, and subcontractors can respond and document progress, payment and other updates.	Low			
P100	Procurement	Procurement	Bidding System	Bidding system should integrate with various 3rd party websites to verify contractor status, license, register public works projects, etc. (e.g. sam.gov, DIR, CSLB, caleprocure, etc.)	High			
P101	Procurement	Procurement	Petty Cash	The system shall manage, administer and reconcile a monthly revolving balance (petty cash) fund.	High			
P102	Procurement	Procurement	Petty Cash	The system shall record all transactions and maintain an audit trail of all transactions, modifications and updates.	High			
P103	Procurement	Procurement	Petty Cash	System should be able to print County bank checks and pull data from bank statements.	High			
P104	Procurement	Procurement	Petty Cash	The system shall track all locations and phases of the petty cash process (e.g., if a department has numerous offices with various amounts of funds, checks that have been issued but not yet cleared the bank, checks that are requesting replenishment, etc.)	High			
P105	Procurement	Procurement	Petty Cash	The system shall contain checks in place to ensure that checks cut to the same vendor/individual do not exceed \$1,000 per day (e.g. system should cross reference vendor name, address, etc. to ensure)	High			
P106	Procurement	Procurement	Petty Cash	The system shall contain a definable, rules-based workflow and be role based.	High			
P107	Procurement	Procurement	Petty Cash	The system shall integrate with County applications (Requisition) and import funding and other pertinent information.	High			
P108	Procurement	Procurement	Petty Cash	The system shall provide robust search and reporting functionality, allowing to report on all fields, phases and data elements.	High			
P109	Procurement	Procurement	Agenda Staff Report	The system shall integrate with County's Agenda Staff Report (ASR) system and send data to the system.	High			
P110	Procurement	Inventory/Asset Management	Inventory	The asset system shall be configurable and scalable in order to add/remove/change/delete users, locations, and assets, and also provide ability for multiple simultaneous users (e.g. 100 users)	High			

PROCUREMENT REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
P111	Procurement	Inventory/Asset Management	Inventory	System should allow for electronic approval routing, electronic signature capture, as needed, and data input should be supported by drop-down menus or lists with selection options to maintain consistency for selected fields. Calendar pop-ups for date fields.	High	Prepopulated list of values for the lists that can be managed by the system admin		
P112	Procurement	Inventory/Asset Management	Inventory	Utilize automatic identification technology, such as a barcode scanner or handheld portable computing device and which has the capacity to add, download and easily display data for assets to include each asset's inventory ID, department number, barcode tag, asset location code, model, manufacture, serial number, description, acquisition date, ownership, and last inventory date. System should allow for data entry of various fields, such as department name, tag, manufacturer, model, serial number, description, location code, acquisition date, purchase order number, and acquired cost, including uploading any images. Scanned assets may need to be placed in a queue for data updating, since all necessary data may not be available onsite when scanning.	High			
P113	Procurement	Inventory/Asset Management	Inventory	The system shall capture data offline while out at remote sites and upload/sync data to the system, and allow for corrections/updates to various data fields by staff in the field.	High			
P114	Procurement	Inventory/Asset Management	Inventory	The system shall print labels, such as barcode labels, through a dedicated printer.	High			
P115	Procurement	Inventory/Asset Management	Inventory	The system shall auto-generate sequential tag numbers, as well as the ability to create tag numbers manually, if needed. It shall include error messaging when an already existing tag number is identified.	High			
P116	Procurement	Inventory/Asset Management	Inventory	The system shall receive and customize alerts within the system as well as send alerts via e-mail and/or text.	High			
P117	Procurement	Inventory/Asset Management	Inventory	The system shall allow asset check-in and check-out, track loaner equipment, and archive assets that have been retired or have exceeded the expiration date. It shall trigger message and/or action so that staff can properly review and retire asset.	High			
P118	Procurement	Inventory/Asset Management	Inventory	The system shall provide definable, rules-based workflow for sequential, broadcast, and event-based approval routing and record distribution with flags, alerts, triggers, and actions based on defined events and thresholds. For example: If approval has not been received in 2 days, notify department.	High			
P119	Procurement	Inventory/Asset Management	Inventory	The system shall provide full audit trail capability and history: Date, time, who made the change, retain what was changed, and show new record. This includes performing data backups, data restoration, and data file reduction.	High			
P120	Procurement	Inventory/Asset Management	Inventory	The system shall support user-defined favorites (saved lists, queries, reports, bookmarks, etc.) for easy access to most used information	High			

PROCUREMENT REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
P121	Procurement	Inventory/Asset Management	Inventory	The system shall allow the modification of business rules with zero changes to source code, and ability to make system configurations without permission, intervention or assistance from the software vendor. (e.g., ability to pick a field where update should be made and have that field update across all like records).	High	Complying to the roles/permissions		
P122	Procurement	Inventory/Asset Management	Inventory	The system shall logically segment the system (both data and process) for different geographic or organizational regions within one system. It shall allow for visibility of a single department and the County as a whole, with the ability to search and display all assets, depending on user role. System should allow for departments to segment assets/inventory into respective programs as well.	High	Visibility for each Dept. vs. Countywide based on roles		
P123	Procurement	Inventory/Asset Management	Inventory	The system shall allow additions/updates of data elements, including various statuses throughout the life cycle, criticality/priority ranking, sub-assemblies, parts, conditions, maintenance/work records, failure history, etc., and report on all of these fields.	High			
P124	Procurement	Inventory/Asset Management	Inventory	The system shall provide a method to capture and manage equipment sustainment strategies to establish baselines for preventive maintenance, recurring work and other work, and costs at the equipment or functional location/position level.	High			
P125	Procurement	Inventory/Asset Management	Inventory	The system shall include functionality to create and manage job plans where tasks, labor, materials, services (Contractors), and tools can be defined to an appropriate level. Job plans shall store and manage equipment sustainment plans. The system shall be able to associate a job plan with a preventative maintenance or work order request, and shall contain version control in place to always show the most current job plan.	High			
P126	Procurement	Inventory/Asset Management	Inventory	The system shall provide a method to establish and maintain preventive maintenance definitions for equipment, functional locations, and routes, including frequency (time, meter, condition) for a work order to be generated, and also manual generation of work orders or automatically based on frequency/criteria.	High			
P127	Procurement	Inventory/Asset Management	Inventory	The system shall provide methods to support an equipment commissioning process within the system by way of initial equipment record creation and status management. It shall also mass load equipment data from spreadsheets, XML, or database connections.	High			
P128	Procurement	Inventory/Asset Management	Inventory	Reliability, Availability and Maintainability (RAM) Program - based on data, system shall perform reliability, availability and maintainability calculations for specified equipment. This includes performing Mean Time Between Failure (MTBF) calculations on equipment, as well as generating and maintaining/updating an equipment effectiveness index.	Low			

PROCUREMENT REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
P129	Procurement	Inventory/Asset Management	Inventory	The system shall provide side-by-side visual comparisons of an equipment from one inspection to another. For example: Visual comparison of a segment of pipe inspected and photographed in 2011 vs. inspected and photographed in 2007.	Low			
P130	Procurement	Inventory/Asset Management	Inventory	The system shall provide "dashboard" functionality for visualization of service request and work orders information and status; it will dynamically filter and sort based on criteria	High			
P131	Procurement	Inventory/Asset Management	Inventory	The system shall provide functionality to configure & establish/schedule pre-planned work such as preventive maintenance tasks, recurring work, and inspections and generate official work orders per schedule. This includes assigning work to various levels; crews, crafts, and down to individual labor/people, as well as assign work to contractors.	High			
P132	Procurement	Inventory/Asset Management	Inventory	The system shall integrate with AiM (3rd party application) and other County systems; (e.g., a submitted work order that requires a purchase should trigger a requisition in the appropriate system)	High			
P133	Procurement	Inventory/Asset Management	Inventory	The system shall forecast work of all types and priorities and clearly identify the different natures of the work, including planning-related reports, graphical planning tools, and visibility and reportability on work backlog, work type and priority. This includes metrics and KPIs as well.	High			
P134	Procurement	Inventory/Asset Management	Inventory	The system shall provide visibility into availability of staff, materials, services, contractors, equipment, and locations for scheduling purposes, and produce and manage a rolling 4-week schedule of all work, based upon data in the system.	Low			
P135	Procurement	Inventory/Asset Management	Inventory	The system shall receive, review, and manage work orders in the field via mobile capabilities. All work to be executed is available to view by all staff assigned to perform the work. Work order workflow shall be developed and configured to validate and enforce defined data standards, status processing, and business rules. In addition, staff can create follow-up work orders as needed via the system and/or mobile device(s) in the field, including entering actual hours, materials used, etc. during and after the work order is in an execution status.	High			
P136	Procurement	Inventory/Asset Management	Inventory	The system shall pull up as-built diagrams, image files, OEM manuals and work safety requirements associated with an equipment.	Low			
P137	Procurement	Inventory/Asset Management	Inventory	The system shall allow users to define and maintain a list of stock and non-stock items, including functionality to associate vendors with item records; increase/decrease inventory levels via transactions vs. manual entry; and perform physical counts and reconcile inventory processes, maintaining correct inventory levels.	High			

PROCUREMENT REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
P138	Procurement	Inventory/Asset Management	Inventory	The system has ability to search and report on all fields in the database, including user-defined fields, with ability to organize, summarize, sort, and sub-total in a variety of ways. This includes: Intuitive ad hoc queries for users with wild card search and drop-down lists. Search, sort, and set report parameters (such as date ranges); Reporting by date range and combinations of other parameters (For example: list all equipment purchased between November 2009 and May 2010); Reports to support equipment planning and the budgeting process (For example: FTE staff level planning to support desired service levels or costs to perform maintenance tasks); County-defined exception reporting. (For example: report on all emergency inventory items that are out of stock.). Users should be able to create and customize existing reports and system should export queries to MS Excel, CSV and Adobe pdf formats, at a minimum.	High			
P139	Procurement	Inventory/Asset Management	Inventory	The system shall provide application programming interface (API) support for interfacing with other County applications.	High			
P140	Procurement	Inventory/Asset Management	Inventory	The system shall maintain inventory master data with costing information (e.g., spare parts, retail transit cards, fuel), record inventory receipts and issuances, generate inventory differences and corrections for recording in general ledger, reconcile inventory levels between the system and external inventory management systems.	High			
P141	Procurement	Inventory/Asset Management	Inventory	The system shall manage inventory adjustments, link to procurement and Accounts Payable (e.g., purchases) and Accounts Receivable (e.g., transit card/pass sales, inventory reductions) for inventory related transactions.	High			
P142	Procurement	Inventory/Asset Management	Inventory	The system shall support physical inventory counts by location and sublocation, transfer inventory between locations, document differences and conversions to dollar value based on the fuel price for the very last day of the month so that the inventory subledger reconciles to the general ledger.	High			
P143	Procurement	Inventory/Asset Management	Interfaces	The system shall interface with external spare parts inventory systems (e.g., Infor) to provide real-time counts, including multiple locations and inventory adjustments.	Low			
P144	Procurement	Procurement	eCommerce	The system shall integrate/interface with an eCommerce product/catalog	Low			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB01	Finance	Accounts Receivable	Customer Set Up	The system shall set up customer profiles and accommodate information such as credit limits, payment terms, statement cycles, invoicing, discount information, finance charge amount limits and statements, dunning, and statements. The system shall be flexible enough to accommodate user defined attributes specific to individual customer accounts and to integrate in real-time with the processing Continuous Linked Settlement (CLS) application.	High	System needs to have the ability to have a master customer number (parent) for consolidated billings of the same customer in more than one Department (i.e. Dog license bill and false alarm bill).		
FB02	Finance	Accounts Receivable	Customer Set Up	The system shall allow the set up ad hoc customer accounts for unique situations, such as when customer is new or not new but has different information or terms than the profile established. The system shall accept new customer profiles from an interface file such as Excel that can be updated offline and uploaded for validation and approval.	High	Ability to make corrections to customer accounts and document reason for correction or attach a backup.		
FB03	Finance	Accounts Receivable	Customer Set Up	The system shall have workflow available for routing customer profile changes, invoices and remaining customer balances; workflow must be configurable based on organization, department, amount and account.	High			
FB04	Finance	Accounts Receivable	Billing Management	The system shall generate customer invoices based on the terms of the contract, (e.g., date, milestones, bulk buy discounts), time based invoices, contract billing, generate customer invoices based on an established processing time (e.g., 30 days), generate sales order invoices, and create recurring bills on a user-specified frequency where the amount may vary on each invoice.	High	Customers include JWA's tenants; JWA has various formulas to calculate invoice charges such as such as tiered-based percentage of gross receipts, activity-based (fee per landing, parking, operation, etc), and fixed-based such as rent by square footage.		
FB05	Finance	Accounts Receivable	Billing Management	The system shall automatically apply late fees(multiple predefined penalization rates and requirements). The system shall allow the setting of flat rate, percentage charge of amount owed, fee multiplied by amount of time (days/billing periods) overdue, simple interest, compounding interest, or charge using a combination of these. It shall apply multiple charges/fee types within same billing period.	High	Example of scheduling flexibility: Invoice 1st business day of the month for payment due last business day of the same month regardless of whether the month has 28, 29, 30, or 31 days. If the due date lands on a weekend/holiday, move the due date to the previous or next business day automatically.		
FB06	Finance	Accounts Receivable	Billing Management	The system has ability to maintain multiple facilities for a customer account. Each facility can have multiple permits (fee elements) for which the fee may vary by the type of permit. Ability for billing to identify the facility as the location and the permits being billed at the facility	High	Ability to do a consolidated invoice for a facility with itemized lines for all associated permits. The permit has a validity period and is billed/renewed annually. Ability to cross reference who has owned the permits at facilities, since facilities can change ownership.		

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB07	Finance	Accounts Receivable	Billing Management	System shall have the ability to accept an interface file such as Excel that can be updated offline and uploaded for validation and approval to generate recurring bills with varying amounts and frequencies. For example, generate bills based on job charges where amounts change each month to automatically be billed, within dollar limits or parameters. The system shall generate recurring bills should be able to discern appropriate account coding based on the input. The system will send backup documentation with invoices, such as Excel or PDF files that may contain details or summaries or copies of contract or Purchase Order or other supporting documentation to the customer.	High	System should have the ability to receive invoices in a flat file from a Department and then create either invoices or delinquent notices. File needs to have invoices linked to existing customer, but also create new customers if this is a new billing.		
FB08	Finance	Accounts Receivable	Billing Management	The system shall have workflow available for routing invoices for electronic approval and should have the ability to demonstrate the date that the invoice was sent to the customer. The system shall integrate sales order invoices with payable, receivables and inventory functionalities in real-time.	High			
FB09	Finance	Accounts Receivable	Billing Management	The system shall create and save invoice templates and allow modification of the invoice templates and automatically link to invoice profiles.	High			
FB10	Finance	Accounts Receivable	Billing Management	The system shall create and preview a draft invoice, assign invoice numbers automatically or manually at invoice creation, add notes and or text to a single invoice or a group of invoices, process a single manual invoice, generate consolidated invoices where single sponsors fund multiple awards, process milestone invoices, calculate encumbrances, and create general ledger accounting entries. The system shall search invoices, edit invoice numbering and text through workflow and include detailed notes during approval or rejection in workflow (so that notes included with the invoice will be visible to all users). The system shall check for duplicate invoice dates, invoice numbers and invoice text notes.	High	System have ability to generate a customized numbering convention of invoices based on type or program and billing elements and/or should be able to assign customer invoice prefix by department . For example, OCPW customer is currently PW123456. System should have the ability to receive in a flat file from a Department and then create either invoices or delinquent notices. File needs to have invoices linked to existing customer, but also create new customers if this is a new billing. Delinquent invoices should be able to be assignable to specific staff based on certain criteria (type of invoice, amount, bankruptcy). Accounts/bills should have ability to move predefined codes from current to delinquent to other options (bankruptcy/Franchise Tax Board), etc.		
FB11	Finance	Accounts Receivable	Billing Management	The system shall credit bill and reverse the original invoice, cancel invoice, copy invoices, reprint invoices, process sales order returns, send invoices electronically and identify electronic invoices not successfully transmitted, send email reminders to appropriate users when invoicing triggers are met, and upload external transactions from other source systems.	High	The system shall add a user defined finance charge for any invoice thirty days past due. Finance charge needs to appear on an invoice. The system shall display a separate security deposit balance for each account. Provide the ability to add debits and credits to this separate security deposit balance.		
FB12	Finance	Accounts Receivable	Billing Management	The system shall revise or modify fees on invoices, individually and in bulk.	High			
FB13	Finance	Accounts Receivable	Billing Management	The system shall create, preview, and print multiple invoices, consecutively (batches) or non-consecutively and to save to a designated repository to view or review offline.	High	Ability to print on special paper with perforations for payment stubs.		

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB14	Finance	Accounts Receivable	Billing Management	The system shall have an online portal that can be used for online payment by credit card/debit card and e-check (merchant provider separately obtained).	High	The system shall accept online payments and provide real time information to customers by giving them access to the site to view bill, balances and payment options such as paying online.		
FB15	Finance	Accounts Receivable	Billing Management	The system shall create, preview, print, and reprint individual monthly statements or consolidated customer statements and distribute these statements electronically.	High	Securely distribute by email, online or text option. Multiple options should be associated with customer (phone number, cell number, email, etc.)		
FB16	Finance	Accounts Receivable	Billing Management	System shall contain audit reports to identify users for each transaction. The system shall create, preview and print invoice financial history for audits or external use.	High			
FB17	Finance	Accounts Receivable	Billing Management	The system shall add memoranda on statements and ability to add attachment such as PDF, Word or Excel file with additional details or information.	High			
FB18	Finance	Accounts Receivable	Billing Management	The system shall notify customers via a batch email (ability to configure message in the system), when an invoice is generated and send email reminders of unpaid invoices to account owners.	High			
FB19	Finance	Accounts Receivable	Cash Applications	The system shall be a single source for processing Continuous Linked Settlement (CLS) prepayments (e.g., application fees), payments (e.g., checks, ACH), accept the various payment types (e.g., checks, cash, credit cards, direct deposit, one-time, repetitive), automatically update customer balances when the payment is received and create the general ledger accounting information. The system shall process and apply Lockbox files. The system shall allow the entry of detailed receipt transactions for cash collected and then can automatically apply the receipts against appropriate AR balances or invoices; this includes support of BAI file and data elements.	High			
FB20	Finance	Accounts Receivable	Cash Applications	The system shall automate the processing of all payment application scenarios (e.g., full payments, partial payments, overpayments, miscellaneous payments) and receipts not associated with a specific receivable (e.g., miscellaneous, non-AR cash), and customer / vendor netting. The system shall create chargebacks and credits, automatically apply payments to open items based on a user-specified set of system delivered rules (e.g., applying multiple invoices to open balance) and accommodate additional form of payment (e.g., manual check drop off, lockbox).	High	Ability to have an optional setting to hold customer receipt overpayments and apply to future bills, even if the future bills will not be consistent amounts.		
FB21	Finance	Accounts Receivable	Cash Applications	The system shall reconcile unapplied, misapplied and unidentified payments by recording and moving the deposit into a clarification account until it is resolved at a later time. The process is to be integrated with workflow that aligns with business needs.	High			
FB22	Finance	Accounts Receivable	Cash Applications	The system shall process unidentified receipts and apply unidentified receipts to customer accounts. The system shall have workflow available for supervisory approval and customer notification once the unidentified receipt is approved.	High			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB23	Finance	Accounts Receivable	Collections Management	The system shall perform collection activities according to business rules, manually match payments to open balances, perform escalation and follow ups and produce analytical reporting of this process.	High	Automatically hold/apply payables on vendors/customers that have overdue receivable balances.		
FB24	Finance	Accounts Receivable	Collections Management	The system shall allow the setting of alerts to notify users to call/follow up with debtors at configured intervals.	High			
FB25	Finance	Accounts Receivable	Collections Management	The system shall generate overdue letters to customers based on configuration settings (different number of days for AI (standard debtors), GI (governmental debtors), and accounts related to NSF checks, or on-demand for certain types of accounts, such as HS (health services) and HW (hazardous waste fees).	High			
FB26	Finance	Accounts Receivable	Collections Management	The system shall track customer communications using conversation functionality and document customer communication regarding an invoice and associate it with the specific invoice.	High			
FB27	Finance	Accounts Receivable	Collections Management	The system shall flag accounts for the tax intercept program and generate a file (including revised based on payments) to be provided to State as part of the tax intercept program, whereby the State could intercept any lotto winnings or state income tax refunds for accounts determined by County.	High			
FB28	Finance	Accounts Receivable	Collections Management	The system shall generate different types of reports (aging, collection activity by collection officer/dates, productivity reports (number of calls etc.)	High			
FB29	Finance	Accounts Receivable	Collections Management	The system shall generate reports or return query results of invoices billed, paid, or voided within a user-defined timeframe	High			
FB30	Finance	Accounts Receivable	Collections Management	The system shall allow users to view aged customer account balances with the aging periods defined by the users.	High	Certain collections information should be available if possible to be reviewed by Department owning the invoice to assist in answering taxpayer questions.		
FB31	Finance	Accounts Receivable	Collections Management	The system shall allow the collection officer to set up/customize payment plan options for the debtor.				
FB32	Finance	Accounts Receivable	Collections Management	The system shall be capable of sending data (notes, original information, fees, etc.) to an external collection agency.	High	System shall have ability to generate a file to send to the Franchise Tax Board. System needs to secure access to PII info, such as SSN or Tax ID.		
FB33	Finance	Accounts Receivable	Reporting & Analytics	The system shall run user-friendly queries, set up customer reports and allow for scheduling of various reports with different filter options including dates (i.e. month-end reports).	High	Customer and Billing details		
FB34	Finance	Accounts Receivable	Reporting & Analytics	The system shall track revenue from the various fee elements	High	Ability to assign an "identifier" or "code" to each fee that would tie back to a specific revenue source		
FB35	Finance	Accounts Receivable	Reporting & Analytics	The system shall track past ownership at the permit and at the facility level.	High	Cross reference who has owned the permits at facilities, since facilities can change ownership. Example: Disney buys Knotts Berry Farm, now those facilities are moved to the Disney ownership, they are issued new permits at that facility for the same operations that the Knott's ownership had.		

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB36	Finance	Accounts Receivable	Reporting & Analytics	The system shall generate reports or return query results of invoices billed, paid, or voided within a user-defined timeframe through standard inquiry pages and reports that include detailed information for all payments within a deposit. The system shall provide an end user tool to select customer information, billing data, and receivables data based on various user defined criteria.	High	Departments should be able to run reports for invoices owned by them with ability to review accounts for discharge of accountability and outstanding balances.		
FB37	Finance	Accounts Receivable	Reporting & Analytics	The system shall perform an user-defined aging analysis of outstanding accounts receivable based upon user-defined aging buckets (e.g., 30, 60, 90, 120, greater than 120 days) using the original invoice date and current system date, a Days Sales Outstanding (DSO) report, an aging report by customer, and a revenue analysis.	High			
FB38	Finance	Accounts Receivable	Reporting & Analytics	The system shall prepare revenue forecasting & analysis reports that can be forwarded electronically and include a workflow for the approval of these reports.	High			
FB39	Finance	Accounts Receivable	Reporting & Analytics	The system shall track Accounts Receivable and Revenue KPIs based on business rules, and generate KPI reports, analytics and graphical presentations that can be uploaded to the dashboard reporting tool.	High	TTC Department customers should have ability to review status of collections and revenues generated for a desired Department.		
FB40	Finance	Accounts Receivable	Reporting & Analytics	The system shall generate account posting reports for reconciliation purposes.	High	Accounting & budget transactions		
FB41	Finance	Accounts Receivable	Reporting & Analytics	The system shall generate revenue reports (revenue activity summary) from payments received.	High	Revenue budget to actuals and Actual YTD		
FB42	Finance	Accounts Receivable	Integration	The system shall integrate in real-time with sales transactions, with accounts payable to process refunds (e.g., unidentified receipts), other relevant modules (e.g., Cash, GL, AP, BI, Projects), outside banking platforms and file sharing exchanges. This integration should be able to support bulk retail sales, vendor consignment, and usage based billing. This includes support of BAI file and data elements.	High			
FB43	Finance	Accounts Receivable	Integration	The system shall integrate with Authorize.net to record and apply credit card transactions as payment for open receivables.	High	Ability to interface with several certified payment gateways.		
FB44	Finance	Accounts Receivable	Integration	The system shall accept customer, receivable, and billing data from other County AR subsystems.	High	The system has ability for upload from the external systems; Ex: OC Public Works cashiering or land management systems and with OC Treasurer AR subsystems.		
FB45	Finance	Accounts Payable	AP	The system shall track fuel receipts/ consumption in gallons of fuel based on PO committed amounts that get priced at daily fuel prices and still support three-way matching for payment.	High	Overlap with AR		
FB46	Finance	Accounts Payable	AP	The system shall send match (3 way, PO, Receiver, Invoice) exception notifications to designated users and will allow those users to document and view exception comments on a shared page / document.	Low			
FB47	Finance	Accounts Payable	AP	The system shall support or apply vendor credits towards existing purchase order, requisition or current invoice due.	High			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB48	Finance	Accounts Payable	Invoice Processing & Payment	The system shall receive, validate, approve and post invoices that would include budget checking of funds prior to payment with override capability, and tracking of grant and project withdrawals. The system shall support the ability to match the payables supporting documents (e.g., purchase requests converted to purchase orders), purchase order, voucher, receipt document (including fuel receipts) using three way matching, track retainage through general ledger codes that can be offset when payments are processed and book intercompany transactions automatically. The system shall add scan/ images of documents (including utilizing Optimal Character Recognition OCR) with the entry of an invoice, payment and other data entry points, support free form text fields and show as paid with payment cleared date.	High	Ability to post payments individually or through a bulk or batch process. Ability to assign batch numbers for payment processing		
FB49	Finance	Accounts Payable	Invoice Processing & Payment	The system shall manage invoice exceptions including the ability to flag a fund or vendor so that no payments can be disbursed and to manage accruals as receipts/invoices are entered but not paid.	High			
FB50	Finance	Accounts Payable	Invoice Processing & Payment	The system shall consolidate invoices for payment and generate a payment file including ACH and wire payment files and the AP accounting entries to be distributed to the general ledger. The system shall generate Payee Positive Pay files in standard bank formats and generate a stop action for staff review and confirmation of the consolidation before routing for workflow approval.	High			
FB51	Finance	Accounts Payable	Invoice Processing & Payment	The system shall allow electronic invoice acceptance and posting via the vendor portal, XML, EDI, web services or other technology, including electronic signatures, and integrate with bank systems to provide access to banking records in real-time.	High			
FB52	Finance	Accounts Payable	Invoice Processing & Payment	The system shall allow for Return to Vendor (RTV) requests to be staged in the AP voucher data and supports invoice one-step reversals, cancellation or reversal of payments and unidentified receipts in a single step.	Low	The system should still support rejection of invoices back to internal submitter.		
FB53	Finance	Accounts Payable	Invoice Processing & Payment	The system shall attach/view multiple document images to the check request record with drill down capability to initial source transaction/document and to support document imaging with an ability to attach electronic documents for review. The system shall restrict access to view attachments based on user access control or handling codes.	High			
FB54	Finance	Accounts Payable	Invoice Processing & Payment	The system shall check for duplicate invoices for invoice number and supplier (vendor) identification (ID) number and will support invoice inquiries using multiple filter attributes. The system shall support the business rules and edits that guide invoice validation prior to submittal and inquiries through self-service for vendors or employees (e.g., invoice payment status available on vendor portal).	High			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB55	Finance	Accounts Payable	Invoice Processing & Payment	The system shall define a user definable accounting template to default standard transaction accounting such as accounts payable, freight, sales tax, and discount accounts and the calculation of net due date, discount due date, and discount amounts.	High			
FB56	Finance	Accounts Payable	Invoice Processing & Payment	The system shall allow global defaulted payment terms that could be driven from the invoice date (e.g., payment methods, payment bank accounts) and supports discounts, down payments, partial payments and payments being held.	High			
FB57	Finance	Accounts Payable	Invoice Processing & Payment	The system shall receive invoices through a drop box or a central repository area; track status; and allow users to assign or re-route invoices to different processors. It shall show real-time processing status and generate statistics reports based on the processing data.	High			
FB58	Finance	Accounts Payable	Invoice Processing & Payment	The system shall audit petty cash payments and replenish revolving funds. The system shall flag 1099 reportable transactions and include them in the IRS file.	High			
FB59	Finance	Accounts Payable	IRS Reporting	The system shall generate all 1099 forms and IRS files (e.g., MISC, INT, S) compliant with current and on-going IRS standards, either in mass or on demand. This shall include system-generated 1099 forms that are editable and/or adjustable. The system shall also make changes to the original 1099 transactions, and issue amended 1099 forms.	High			
FB60	Finance	Accounts Payable	Vendor Administration	The system shall allow to place the vendor on hold or prevent a payment be disbursed to a particular vendor or sets of vendors.	High			
FB61	Finance	Accounts Payable	Vendor Administration	The system shall store multiple TIN's in the system (EIN/SSN) due to different regulations in Federal and State. For sole proprietor, Federal allows EIN but State requires SSN. The system shall separate the Fed TIN output for 1099 reporting from the State TIN output for EDD reporting.	High			
FB62	Finance	Accounts Payable	Vendor Administration	The system shall store sales permit number, TINs, banking information, and payment history at the vendor profile level; mask or show confidential information such as Bank Accounts or TINs based on user access control.	High			
FB63	Finance	Accounts Payable	Vendor Administration	The system shall workflow approval of vendor profile creations and modifications. If vendor self services is utilized, then the system shall route the profile approval more than once to different users.	High			
FB64	Finance	Accounts Payable	Vendor Administration	The system shall separate payee details from IRS 1099/1042/590 reporting requirement either through Headquarter vs. non-Headquarter concept or another technology.	High			
FB65	Finance	Accounts Payable	Vendor Administration	The system shall automatically assess tax withholding amount based on data input (such as sales permit on file or not) at the vendor profile level without manual calculation and assessment at each payment processing.	High			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB66	Finance	Accounts Payable	Vendor Administration	The system shall attach supporting documents or images, such as W9 or bank letters, to vendor profile updates. The system shall allow or deny view access based on user access control.	High			
FB67	Finance	Accounts Payable	Travel & Expense	The system shall pay expenses via AP with workflow options (e.g., apply rules / logic-based rules and route expenses differently) and expense entry method using installation / setup options. The system shall support a dynamic workflow configuration process that allows authorized business users to make changes in business rules (e.g., dollar thresholds, approvers) that can then be approved.	High			
FB68	Finance	Accounts Payable	Travel & Expense	The system shall support advance payments for travel, automate the recording of expenses and expenditure liabilities at receipt, and close accounts payable subledger independently of other subledgers or general ledger (include the true-up of actual travel expenses and return of excess advance funds). A set of workflow processes that are configurable based on organization, department, amount and account should be available to support the routing of invoices for electronic approval.	High			
FB69	Finance	Accounts Payable	Reporting & Analytics	The system shall access and configure standard and ad hoc Accounts Payable (AP) reporting, such as Trial Balance, Open Payables, Aging, Cash Requirements, AP Exception, Match Audit, Pre-Check Register, 1099s, Payment Register, Invoices on Hold Report, Invoices paid for a vendor or multiple vendors during a specific time frame including payment information, GL account information, purchase order number, and historical workload measure per processor. This reporting shall include the generation of vendor notifications for ACH payments including payment advice slips.	High			
FB70	Finance	Accounts Payable	Reporting & Analytics	The system shall generate on-demand reports that support spend reporting and analysis (e.g., account totals by Journal ID, AP/GL Open Liabilities, Supplier Open Liabilities, RNI (received but not invoiced), released and unreleased invoices, payments created during a specific Pay Run Date--Check Register) and to support service level agreement (SLA) reporting and analysis.	High			
FB71	Finance	Accounts Payable	Reporting & Analytics	The system shall generate a reconciliation report to match the payee information imported into the system (from bank text files) to the account information on the system.	High			
FB72	Finance	Accounts Payable	Reporting & Analytics	The system shall run queries/reports on Check Register Details (Paid, Stale Dated, Cancelled, Issued, Reissued).	High			
FB73	Finance	Accounts Payable	P Card Administration	The system shall manage procurement card (P Card) set up, P Card expenditure business rules, administration and reporting. The system shall allow users to reconcile, accept or deny certain transactions and/or make partial payments. It shall also handle attachments and record GL posting at the transactional level. It shall make payments, and integrate transaction details and paid/unpaid status with the credit card company.	High			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB74	Finance	Accounts Payable	P Card Administration	The system shall identify or tag which credit card transaction is subject to 1099 reporting or use tax. Remit the 1099 reportable transactions upstream to generate 1099 forms and include in IRS file.	High			
FB75	Finance	Accounts Payable	Check Writing	The system shall cancel, hold/modify, duplicate, reprint a check. It shall change disbursement status when check is cleared, stale, or reissued.	High			
FB76	Finance	Accounts Payable	Check Writing	The system shall synchronize the check/ACH/direct debit/wire status and pay images with the bank; and show cancelled checks images, tracking reference number for ACH/ACH debit/Wire in real time. The system shall allow to place checks on hold after they are disbursed.	High			
FB77	Finance	Accounts Payable	Check Writing	The system shall workflow disbursement for approval, attach/view multiple document images, and support various disbursement handling codes.	High			
FB78	Finance	Accounts Payable	Check Writing	The system shall allows straight through processing with the bank on ALL disbursement types, including checks, ACHs, and especially for wires, and direct debits.	High			
FB79	Finance	Accounts Payable	Check Writing	The system shall handle mail inserts electronically and process them automatically as part of the disbursement output.	High			
FB80	Finance	Accounts Payable	Trust Payments	The system shall interface/integrate with various sub-systems to facilitate, track and record trust payments. Tracking includes notification to the receiving and incoming Departments about the payment status and/or file status. Trust payments are monies that the County holds in trust and must pay out at a future date or obligated event The system shall support trust payments that will not be executed against POs or vendors, but individuals, non-profits, or other local entities. The system shall support various tax reporting related to trust payments (such as 1099 forms).	High			
FB81	Finance	Accounts Payable	Trust Payments	The system shall workflow payments for approval, attach/view multiple document images, and support various handling codes for disbursement. It shall contain an approval process that is different from invoice processing.	High			
FB82	Finance	Accounts Payable	Trust Payments	The system shall track processing status; allow users to modify or view real-time status; and integrate with bank for pay status and images.	High			
FB83	Finance	Accounts Payable	Trust Payments	The system shall allow Trust Payments configuration to be different from A/P, meaning that Trust shall not be limited to the (A/P) 3-way matching rules and shall not be subject to the same segregation of duties established for A/P. Trust shall have more flexibility in vendor setup and disbursement as its fiduciary requirements are different from vendor payments.	High			
FB84	Finance	Cash Applications	Payment Processing	The system shall be a single source for processing one-time and repetitive payments (e.g., checks, bank transfers, wire transfers, lockboxes, external system integrations), automatically updating customer balances when the payment is received and creating the accounting information to be passed to the general ledger in real-time.	High			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB85	Finance	Cash Applications	Payment Processing	The system shall automate the journal entries upon invoicing / receipt of payment and create tagging rules with override capability by user, bank account, or overall system to direct where the cash transactions are posted to the general ledger.	High			
FB86	Finance	Cash Applications	Payment Processing	The system shall attach and link documents to miscellaneous cash transactions and record / deposit unidentified payments to a clarification account for later application.	High			
FB87	Finance	Cash Applications	Payment Processing	The system shall book accruals at month-end for cash transactions that occur at the beginning of the following month.	High			
FB88	Finance	Cash Applications	Payment Integration	The system shall integrate cash management and the Accounts Receivable module with other relevant modules in real-time (e.g., Cash, General Ledger, Accounts Payable, BI, Grants, Projects).	High			
FB89	Finance	Cash Applications	Payment Integration	The system shall integrate in real-time with point of sales systems to enable automated cash reconciliations.	Low			
FB90	Finance	Cash Applications	Reconcile Payments	The system shall allow users to query the cash receipt source and receipt class.	High			
FB91	Finance	Cash Applications	Reconcile Payments	The system shall perform automated three way match reconciliations between the general ledger and bank account through a daily reconciliation process and to match up credit card fund receipts to reports/information obtained from the credit card merchant provider's system.	High			
FB92	Finance	Cash Applications	Reconcile Payments	The system shall support the automated preparation and completion of the monthly bank reconciliation after month-end close is completed with user-defined reconciliation reports available for this process.	High			
FB93	Finance	Cash Applications	Payment Processing	The system shall automatically post all transfers to a system cash worksheet, with identification numbers for tracking and reconciliation purposes. This system cash sheet shall facilitate reconciliation of wire and ACH transactions back to the system.	Low			
FB94	Finance	Cash Applications	Payment Processing	The system shall provide security procedures for funds transfer initiation input, approval, release and alert notifications for funds transfers pending approval, arriving wire transfers, or rejected wire transfers.	Low			
FB95	Finance	Cash Applications	Payment Processing	The system shall provide a list of daily, weekly, monthly wire transfers including dates, general ledger numbers, account names, support documentation, amount of funds that can be exported.	High	Ability to interface with a 3rd party application - Quantum used by Treasurer to Fed Ref number, date sent, etc. to help the ERP generate a report		
FB96	Finance	Cash Applications	Reconcile Payments	The system shall interface with core account reconciliation systems to upload the reconciliation work directly into the system. The system shall support bank and cash reconciliations (e.g. reconciliation tool).	High			
FB97	Finance	Project Management and Accounting	Execute, Control and Monitor Project	The system shall capture multiple change orders, grants and funds transfers within a project, make adjustments to reimbursement payments, and to support adjustments to reimbursement payments due to the funding source.	Low			
FB98	Finance	Project Management and Accounting	Execute, Control and Monitor Project	The system shall capture and track previous task orders, capture unspent budget dollars from the previous fiscal year and transition to the next fiscal year.	Low			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB99	Finance	Project Management and Accounting	Execute, Control and Monitor Project	The system shall track and maintain project /grant budget and actual data at the project and general ledger levels and record obligations or federal funds as a result of awards. The system shall provide cash flows for current and future years.	Low			
FB100	Finance	Project Management and Accounting	Execute, Control and Monitor Project	The system shall allow project status change after all costs are booked.	Low			
FB101	Finance	Project Management and Accounting	Capitalize and Close Project	The system shall track the project closeout process and document the activities and approvals with a dynamic workflow system.	High			
FB102	Finance	Projects and Portfolio Management	Project Initiating	The system shall create monthly/yearly budgets for a project.	Low			
FB103	Finance	Budget	Budget Planning and Forecasting	The system shall link budgeting models with specific financial targets and dollar amounts from the strategic/financial plan by divisions, departments, service lines, cost centers, and standard other cost categories so that the budget can be used for comparison against actual results.	High			
FB104	Finance	Budget	Budget Planning and Forecasting	The system shall copy volumes, rates, and amounts from prior years or other scenarios, and refresh budget forecasts for revenue, workforce, capital project, expense, balance sheet & cash flow changes, including the analysis of multiple budget scenarios simultaneously and loading of headcount "targets" and "vacancy factors."	High			
FB105	Finance	Budget	Budget Planning and Forecasting	The system shall use advanced modeling tools (e.g. linear regression, user-defined formula and bell curves) and business rules engine functionality that can pre-populate or seed these budgeting models.	High			
FB106	Finance	Budget	Budget Planning and Forecasting	The system shall track the progress of a project and prioritize projects based on various budget indicators.	High			
FB107	Finance	Budget	Budget Planning and Forecasting	The system shall allow users to enter narrative information when submitting budgets or budget change requests. These narrative information data fields must be configurable to support the fields use for different types of budget requests.	High			
FB108	Finance	Budget	Budget Planning and Forecasting	The system shall have allow the use of salary and benefits data (current and historical costs) to assist in building budgets	High			
FB109	Finance	Budget	Budget Development	The system shall support departmental / user budget development that provides user-friendly input processes (e.g., budget input forms with Excel-like data entry), and allocate budget across cost centers, service lines, divisions, departments, other standard cost categories, projects and grants based on new or updated revenue projections / salary projections / budget figures.	High			
FB110	Finance	Budget	Budget Development	The system shall allow for itemization of an accounting line (e.g. to itemize equipment purchases by description, quantity, price, posting time period etc.) on the budget input forms	High			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB111	Finance	Budget	Budget Planning and Forecasting	The system will create up to 20 years forecasts for budgets, capital & IT projects, and long-term strategic planning.	High			
FB112	Finance	Budget	Budget Development	The system shall allow users to leverage existing templates or create budget input forms for various types of requests (e.g. base budget, capital/IT project, budget adjustment, new program, etc.)	High	Ability to		
FB113	Finance	Budget	Budget Development	The system shall allow users to upload budget from an Excel file into a budget input form.	High			
FB114	Finance	Budget	Budget Development	The system shall create budget input forms at different levels (e.g. Countywide, department, division, organizational unit, etc.).	High			
FB115	Finance	Budget	Budget Development	The system shall create budget input forms for various types of requests (e.g. base budget, capital/IT project, budget adjustment, new program, etc.).	High			
FB116	Finance	Budget	Budget Development	The system shall allow budget data input forms to capture detailed accounting lines input at defined levels, such as fund, department, division, organizational unit, budget object and sub-object.	High			
FB117	Finance	Budget	Budget Development	The system shall allow budget request forms to add one or more documentation tabs to capture narrative information related to a budget request based on prompts and also limit access to various sections of data / documentation tabs on the form.	High			
FB118	Finance	Budget	Budget Development	The system budget input forms shall allow admin users to include/exclude tabs for input of budget data, position data and/or documentation narratives based on type of budget request.	High			
FB119	Finance	Budget	Budget Development	The system shall allow the relabeling of tabs on the budget form for input of budget data, position data and/or documentation narratives based on type of budget request.	High			
FB120	Finance	Budget	Budget Development	The system shall prepopulate data into budget input forms. For example, in budget input forms, data for current year modified budget would be preloaded into one column in a budget form for comparison/reference to facilitate the users input of the upcoming fiscal year budget into a separate column.	High			
FB121	Finance	Budget	Budget Development	The system budget input forms support the ability to enter multi-year (up to 20 years) forecasts for budgets, capital & IT projects, and long-term strategic planning.	High			
FB122	Finance	Budget	Budget Development	The system shall allow users to attach supporting documents (e.g. Excel, Word, PDF, images, etc.) to budget input forms.	High			
FB123	Finance	Budget	Budget Development	The systems shall allow the input, tracking and documenting of performance measures against budget.	High			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB124	Finance	Budget	Budget Development	The system shall allow users to enter requests within budget forms for position additions and deletions by cost center, classification, step, start/end date, and FTE to calculate salary and benefit costs utilizing projected salary and benefit data utilized by the system's salaries and benefits forecasting module.	High			
FB125	Finance	Budget	Budget Development	The system shall allow users to save a budget input form as a draft.	High			
FB126	Finance	Budget	Budget Development	The system shall support incremental, variable / fixed and zero based budgeting approaches.	High			
FB127	Finance	Budget	Budget Development	The system shall allow authorized users to adjust budgets and budget line items and set up budget limits during budget development, with accompanying workflow approvals and notifications.	High			
FB128	Finance	Budget	Budget Development	The system shall generate and manage multi-year budgets that may be saved and stored for future use and analysis or for strategic financial planning, including the ability to generate multiple simultaneous "budget scenarios" and "what if" analysis.	High			
FB129	Finance	Budget	Budget Development	The system shall allow the copying of budget forms created by users to new budget forms maintaining all input, budget data and narrative data.	High			
FB130	Finance	Budget	Budget Development	The system shall allow moving budget forms to different stages for adjustment of requests which allows for data and narrative input at each stage to be maintained, so that changes at each stage may be tracked.	High			
FB131	Finance	Budget	Budget Development	The system shall allow to group/rank departmental budget requests together to form a final budget package.	High			
FB132	Finance	Budget	Budget Development	The system shall allow end users and department heads (budget managers) to review preliminary budgets online within designated workflow.	High			
FB133	Finance	Budget	Budget Management and Monitoring	The system shall track the current status of budget vs. actuals from the budget inception date to fiscal year-end, establish budget limits on account categories (e.g., salary/benefit lines, operational support lines, projects), track changes to budget (e.g., time/date of change, person making change) for up to 5 years after event, provide an audit log of changes, and require justification when changes are made manually by user over a certain dollar or %.	High			
FB134	Finance	Budget	Budget Management and Monitoring	The system shall allow users to enter narrative information when submitting budgets or budget change requests within system budget forms. These narrative information data fields must be configurable to support the fields use for different types of budget requests, which may include free text fields and dropdown lists.	High			
FB135	Finance	Budget	Budget Management and Monitoring	The system shall track and manage encumbrance and reserve amounts (including amounts that may cross a fiscal year).	High			
FB136	Finance	Budget	Budget Management and Monitoring	The system shall track fund balances, cost allocation models for operating costs and revenue, and FTE charts.	High			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB137	Finance	Budget	Budget Management and Monitoring	The system shall track revenues, expenditures and positions and periodically roll-up actual, projected and budget data for assessment/monitoring.	High			
FB138	Finance	Budget	Budget Management and Monitoring	The system shall provide multiple calculation methodologies for statistical, real, nominal (revenue and expenditure) account budget monitoring and "forecasting".	High			
FB139	Finance	Budget	Budget Management and Monitoring	The system shall allow the creation of configurable real-time dashboard that displays the actual expense & revenues vs budgeted.	High			
FB140	Finance	Budget	Budget Integration	The system shall have a seamless integration in real-time to other systems / applications across the business environment (e.g., finance, project management, HR, and Payroll)	High			
FB141	Finance	Budget	Budget Reporting	The system shall have free form text fields that can be defined on objects (e.g. chart of account elements, benefit codes, time periods etc.) for summarizing and grouping data for reporting.	High			
FB142	Finance	Budget	Budget Reporting	The system shall define hierarchical relationships for objects codes to establish rollups for reporting.	High			
FB143	Finance	Budget	Budget Reporting	The system shall provide real-time configurable queries that allow the user to review/validate budget input balances, projected year-end actuals, budget to actual/projected variances, etc. System queries would also be able to produce worksheets with the following information: - Prior Year Actuals - Current Year Adopted Fiscal Year Budget - Current Year Modified Fiscal Year Budget - Projected Current Fiscal Year Budget - Upcoming Fiscal Year Budget - Calculated Models for Variance Columns - Calculated Rows for Budget Balances	High			
FB144	Finance	Budget	Budget Reporting	The system query functionality shall perform queries on all budget data or salary and benefit data stored in database tables.	High			
FB145	Finance	Budget	Budget Reporting	The system queries shall allow a drill down to view line item data to see details and audit trail information.	High			
FB146	Finance	Budget	Budget Reporting	The system shall allow the reports, queries and underlying data to be exportable to Microsoft Excel and integrate with business intelligence reporting tools.	High			
FB147	Finance	Budget	Budget Reporting	The system allow the restriction of query views based on user security/profile.	High			
FB148	Finance	Budget	Budget Reporting	The system shall provide a mid-cycle projection reporting tool to determine how the month and the year will end, based on various assumptions and allow management to perform what-if-analysis to determine where budget adjustments are required for departments towards fiscal year-end due to insufficient appropriations.	High			
FB149	Finance	Budget	Budget Reporting	The system shall allow to drill down from high-level overall budget vs actuals, for current and historical data, into budget object categories, then into budget object details and then into cost centers, and then into the lowest detail level for populated data.	High			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB150	Finance	Budget	Budget Reporting	The system shall generate monthly progress reports in the system that can be electronically routed for review.	High			
FB151	Finance	Budget	Budget Reporting	The system shall create configurable real-time dashboard for which visibility is restricted by role, and displays actual vs. budgeted results for any area and provides the ability to filter/drill down and restricted based on the user's role and security profile.	High			
FB152	Finance	Budget	Budget Reporting	The system shall capture desired information that can be extracted into reports used to generate structured budget documents that can also be published online.	High			
FB153	Finance	Budget	Budget Reporting	The system shall produce reports at any level of detail (e.g. division, fund, cost center, account, etc.).	High			
FB154	Finance	Budget	Budget Reporting	The system shall integrate with 3rd party business intelligence reporting tools such as SAP BusinessObjects, Tableau etc.	High			
FB155	Finance	Budget	Capital Budget Planning and Forecasting	The system shall allow for designated users to manage, monitor, and support the Capital Budget request process on a single, unified platform through an easy-to-use single point of entry interface with simple data entry capabilities for Capital Budget Requests (Identify, Define, Estimate, Prioritize, etc.), including "what if" analysis, capital project lists and prioritizations.	High			
FB156	Finance	Budget	Capital Budget Planning and Forecasting	The system shall track actual capital spending by project vs. budget from inception date, configure business rules for capital vs. non-capital assets (e.g., strategic vs. routine), enter up-to-date project forecasts and provide analytic features to manage Capital Budgeting (e.g. real-time metrics and reports, configurable dashboards)	High			
FB157	Finance	Budget	Capital Budget Planning and Forecasting	The system shall provide a capital budgeting system with a single point of entry for all annual capital budgeting requests that is integrated in real-time with the Operating Budget and Long Range Planning that includes multi-year periods (e.g. 5-20 years).	High			
FB158	Finance	Budget	Capital Budget Planning and Forecasting	The system shall have budgets available for more than one year (carry forward) and support multi-year budgets and multi-funding pools.	High			
FB159	Finance	Budget	Capital Budget Planning and Forecasting	The system shall allow users to prioritize and rank projects based on user-defined criteria.	High			
FB160	Finance	Budget	Capital Budget Planning and Forecasting	The system shall track capital projects according to the funding sources of the project (pay-as-you-go, bond, reserves, other)	High			
FB161	Finance	Budget	Capital Budget Planning and Forecasting	The system shall allow the creation of custom and free-text fields (e.g. recurring, continuing, complete, new, etc.) to capture project information	High			
FB162	Finance	Budget	Capital Budget Planning and Forecasting	The system shall provide users to identify individual projects as part of a larger overarching project.	High			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB163	Finance	Budget	Salaries and Benefits Forecasting	The system shall forecast multi-fiscal year salaries and employee benefits data for budget and strategic financial planning for up to 5 years	High			
FB164	Finance	Budget	Salaries and Benefits Forecasting	The system shall integrate with the HR\Payroll modules to utilize actual position and employee benefit HR\Payroll data, which includes the following: - Budgeted and incumbent classification - Position and Employee FTE - Position organizational unit, fund, department - Employee name and ID - Employee salary\step, salary table, and grade - Benefit codes for employee retirement plan, health plan, dental plan, premium pays, etc.	High			
FB165	Finance	Budget	Salaries and Benefits Forecasting	The system shall project estimated salaries and benefits over multiple years using projected multi-year salary tables and benefits rates.	High			
FB166	Finance	Budget	Salaries and Benefits Forecasting	The system shall forecast changes in percent cost benefits (ex: retirement, unemployment, Medicare etc.)	High			
FB167	Finance	Budget	Salaries and Benefits Forecasting	The system shall factor-in business rules such as step and non-step merit based salary increases for filled and vacant positions, COLA adjustments and vacancy factors\salary savings while doing salaries and benefits forecasts	High			
FB168	Finance	Budget	Salaries and Benefits Forecasting	The system shall allow the salaries and benefits forecasts to be posted to baseline budgets for budget development and strategic financial planning.	High			
FB169	Finance	Budget	Salaries and Benefits Forecasting	The system shall project salaries and benefits based on specific groups (e.g. bargaining units, classifications, common benefits, etc.).	High			
FB170	Finance	Budget	Salaries and Benefits Forecasting	The system shall post salary projection results to pre-defined time period(s).	High			
FB171	Finance	Budget	Salaries and Benefits Forecasting	The system shall allocate the salary and benefits of a position or employee to various cost centers.	High			
FB172	Finance	Budget	Salaries and Benefits Forecasting	The system shall spread salaries and benefits on an annual, monthly or per pay period basis.	High			
FB173	Finance	Budget	Salaries and Benefits Forecasting	The system shall support "What-if" analysis scenarios for salaries and benefits forecasts and allows for comparison of various scenarios related to labor negotiations or other human-resource decision points.	High			
FB174	Finance	Budget	Security and Workflow	The system shall allow the configuration of access control by restricting the user's ability to view, adjust and submit changes only for those departmental budget codes, budget objects, and position information to which they have access	High			
FB175	Finance	Budget	Security and Workflow	The system design shall include a hierarchal structure for the approval of requests and modifications made to the budget by approved/delegated users in various departments. (workflow)	High			
FB176	Finance	Budget	Security and Workflow	The system shall allow the restriction of users\departments ability to view, access and\or edit data throughout the various budget cycles.	High	Ability to turn on/off certain functional areas for end users based on the budget cycle allowing budget analysts to still have access to edit		
FB177	Finance	Budget	Security and Workflow	The system shall prohibit multiple users from updating the same budget input form simultaneously.	High			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB178	Finance	Budget	Security and Workflow	The system shall allow maintenance and view of an audit-trail function of all changes made during budget development. Audit-trail information should include: User IDs, Date, Time, Type of Change, etc.	High			
FB179	Finance	Budget	Security and Workflow	The system shall accommodate multiple-users (100+) working simultaneously to input, edit and view data/information for various components of the budget throughout the budget development cycle. The system shall ensure multiple users cannot update the same budget form simultaneously	High			
FB180	Finance	Budget	Security and Workflow	The system shall communicate key information (i.e. announcements, budget calendar, instructions, alerts, and reminders) to all system users via e-mail and worklist widgets on user homepage.	High			
FB181	Finance	Budget	System Administration	The system shall allow export/import of data to/from using spreadsheets through system front-end or system tables using SQL stored procedures. Data includes chart of accounts elements, positions, employees, benefits, salary tables and actuals/budget (e.g. expenditures, revenues, encumbrances and reserves) for multiple time periods.	High			
FB182	Finance	Budget	System Administration	The system shall provide a simple common file structure for import/export through the system front-end.	High			
FB183	Finance	Budget	System Administration	The system shall allow for the configuration/customization of user interface (e.g. pages, fields, forms, etc.) without code based programming.	High			
FB184	Finance	Budget	System Administration	The system shall allow the rollover of specific or all budget forms, etc. to prepare system for new fiscal year, including the ability to keep, delete or copy into a different time period, budget form, etc.	High			
FB185	Finance	Budget	System Administration	The system shall allow rollover of data in time periods from multiple time periods into a single time period for aggregation.	High			
FB186	Finance	Budget	System Administration	The system shall have the capability of setting up system macros to run batch jobs to automate the running of system processes.	High			
FB187	Finance	Budget	System Administration	The system shall allow administrators to manually import or export data to and from SBFS-related tables on the front-end interface or other data (within 2 hours or less) for SBFS execution. This ensures the smooth execution of the SBFS process without delays. These tables encompass a wide range of data like employee details, position, employee benefit, unemployment rate, retirement rate, classification, position assignment, supplemental Pays, compensation rate, fix cost, percentage cost and more.	High	The County's current core Budget system offers a user-friendly common file structure for import and export operations via the system's front-end. However, the file import and validation are time consuming and impact the business process, hence County avails the database connection feature (ODBC or SQL/Oracle connections to db) in PB along with applications like Access, Word, and Excel to generate the SBFS file timely. If the new ERP system does not meet the requirement on the left, County will need an alternative solution or similar to what is being done currently.		
FB188	Finance	Budget	Integration	System shall integrate with ERP payroll module to gather payroll data to facilitate budget analysis	High			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB189	Finance	Planning	Review & Develop Strategic Plan	The system shall have ability to perform strategic analysis by aggregating and organizing data that is spread across independent departments and provide processes for the review & refinement of stakeholder expectations. The system should be able to set multi-year targets and a long range (20 year) financial plan derived from the strategic plan.	High			
FB190	Finance	General Ledger	System Governance	The system shall retain a common chart of account structure for use in consolidated reporting, track changes to the chart of accounts, store reasons for the change, maintain records of historical chart of accounts and provide shortcuts for data entry of chart of account information. The system shall incorporate attributes determined by Orange County (e.g., subledger accounts that should not be posted manually), and the system shall block an account for posting. The system shall have multiple/unlimited user defined categories within the master data.	High	The system should be able to accommodate the accounting structure of other local entities such as school districts or special districts that are required to deposit in OC Treasury. They accounting structure is different from County's. COA structure, it should have rollups to accommodate financial reporting (i.e. fund type, fund class) and budget (i.e. activities and function).		
FB191	Finance	General Ledger	System Governance	The system shall allow County to configure a budget structure specific to County business (as part of elements in the chart of accounts). The system shall establish budgetary controls over appropriations and revenues within the chart of accounts. It shall allow County to assign an "identifier" or "code" to each fee that would tie back to a specific revenue source.	High			
FB192	Finance	General Ledger	System Governance	The system shall prevent deficit fund balance or cash in any funds established in chart of accounts.	High			
FB193	Finance	General Ledger	System Governance	The system shall post journal entries automatically based on subledger transaction type and other criteria as determined by Orange County. The system shall allow users to create validation rules for posting transaction at the header and detail level, as well as create substitution rules accordingly. Additional rules for subledger posting shall also be configurable to automatic posting. The system shall meet regulatory requirements, including other guidelines for accounting, within the chart of accounts structure, provide approval capabilities for establishing chart of account values and initiate workflow approval for any new segments.	High			
FB194	Finance	General Ledger	System Governance	The system shall support the governmental basis of accounting (e.g., cash basis, budget basis, modified accrual basis, accrual basis) and maintain data capture and reporting standards to meet new GASB statements at their effective date per GASB.	High			
FB195	Finance	General Ledger	System Governance	The system shall provide "invoiced not received" reporting for exception matching and "receipts not invoiced" reporting for accruals.	High	AP lookback		

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB196	Finance	General Ledger	Cost Accounting	The system shall setup a chart of account element (task order) to capture, track and summarize cost. The chart of account element shall be a minimum of 8 characters (task order) and have additional fields and rollups that can be used to summarize and identify work performed. The chart of account (task order) element can also be setup as billable or non-billable. If the task order is billable, a seller line and buyer(s) lines will be setup to automate billing per schedule (daily, weekly, monthly). If the reimbursement is within the department, then buyer/seller lines will be setup to post as an internal reimbursement (aka cost apply). If reimbursement is between departments, then buyer/seller will be setup to post as internal sale.	High			
FB197	Finance	General Ledger	Cost Accounting	The system shall setup an internal cost rate for equipment usage. Each equipment is assigned to an equipment class and each equipment class is assigned a rate. The usage units (miles or hours) are entered on a document and the documents are input for an internal costing process that calculates the cost and posts the cost to a ledger for reporting and billing purposes. The internal costing process will run on a scheduled basis.	High			
FB198	Finance	General Ledger	Cost Accounting	The system shall provision for an Equipment card template for users to download, then allow the import of the completed template/excel file back into the system.	High	Currently County uses SQL to pull data into template and that gets emailed to OCPW service areas who then send the filled in excel files to load into the system		
FB199	Finance	General Ledger	Cost Accounting	The system shall generate queries/reports on Job Billing details based on several criteria, expense and revenue transactions per job number.	High			
FB200	Finance	General Ledger	Cost Accounting	The system shall run reports/queries for Job Summary summarized by job number roll ups.	High			
FB201	Finance	General Ledger	Cost Accounting	The system shall run reports/queries for all cost allocation transactions - list all journal entries from cost allocation process.	High			
FB202	Finance	General Ledger	Cost Accounting	The system shall run reports/queries for all equipment usage and billing details.	High			
FB203	Finance	General Ledger	Technical Accounting	The system shall support encumbrance accounting during the procurement cycle (pre-encumbrance, encumbrance, expenditure/expense)	High			
FB204	Finance	General Ledger	Technical Accounting	The system shall provide for flexible closing rules based upon specific accounting segments (chart of accounts elements e.g., fund, dept. and budget control)	High			
FB205	Finance	General Ledger	Technical Accounting	The system shall provide real-time integration between AP and GL, AR and GL, Fixed Assets and GL, Project Management and GL, Grants Management and GL, Inventory and GL, Cash Management / Treasury and GL and the Payroll module and GL.	High			
FB206	Finance	General Ledger	Period End Reporting	The system shall create reconciliation reports for data feeds from other systems (e.g., banking systems, credit card payment processors), support and balance intercompany reconciliations and automate account reconciliations. The system shall support auto reconciliation of accounts and supporting workflow.	High			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB207	Finance	General Ledger	Period End Reporting	The system shall prepare external reports like the Period 13 income statement for financial statements. The system shall run multi-year trial balances.	High			
FB208	Finance	General Ledger	Period End Reporting	The system shall run pre-defined materiality thresholds for use in variance analysis reports and compare financial data across ledgers with delivered variance reporting.	High			
FB209	Finance	General Ledger	Period End Reporting	The system shall produce configurable management reports for standard variance analysis, run rate/trend analysis, and actual compared to prior month and support configurable attributes for the purposes of tracking and generating financial reports.	High			
FB210	Finance	General Ledger	Period End Reporting	The system shall allow users to perform quick user created system queries through ad hoc reporting by selecting values from multiple dimensions (self-service analytics). User access is limited to data sets (e.g., departments, operating units) based on security rules.	High			
FB211	Finance	General Ledger	Period End Reporting	The system shall have subtotals on reports, show only subtotal on reports, generate a report by business unit with deficits, configure and group general ledger accounts from one COA section to another for reporting purposes, run financial statements at any period of time for any fiscal year including current fiscal year, distribute financial reports to a pre-defined distribution list and automatically e-mail or notify of year-to-date financials to departments / executive management.	High			
FB212	Finance	General Ledger	Period End Reporting	The system shall provide the following financial statements: Detailed Trial Balance, Consolidated Financial Statements, Chart of Accounts Reports, General Ledger Reports, Income Statements with a user defined start and end date, Revenue Reports, Cash Flow Reports and Balance Sheets. The system should also be able to produce basic statements of the Annual Comprehensive Financial Report (ACFR) and external reports like the Period 13 income statement for financial statements. The system is able to produce ending account balance by period for all reports.	High	The system should be able to interface the basic financial statements to a stand alone or internally developed ACFR software. The ACFR consists of the Introductory Section, MD&A, Basic Financial Statements, Notes to the Financial Statements, RSI, Supplemental Information and Statistical Section		
FB213	Finance	General Ledger	Period End Reporting	The system shall inquire on journal entries using a delivered page and to inquire on specific ledgers for ledger activity and balances. The system shall create and manage a period-end close calendar and checklist with task dependencies (including hotlinks and drill-down capabilities to see dependencies) with the ability for escalation that is part of the workflow. The calendar can be viewed comprehensively. The system shall produce driven dates that can be reported in a dashboard or by email. The system shall track changes made by user.	High			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB214	Finance	General Ledger	Period End Close	The system shall accrue expenditures and revenues and allow the user to enter a reversal date if the accrual needs to be reversed. For expenditure accruals the system shall automatically infer the next business date in the reversal date field. If the accrual needs to be reversed, the system shall reverse the accrual and automatically submit reversal in the new fiscal year. The system shall allow the referencing of the vendor code and encumbrance, if applicable and validate the vendor and encumbrance along with the accounting string. If the accounting string on the accrual does not match the encumbrance accounting string, the system will throw an error. For encumbered expenditure accruals, the system shall infer the budget fiscal year of the encumbrance referenced and reverse the accrual in the new fiscal year and retain the budget fiscal year of the accrual.	High			
FB215	Finance	General Ledger	General Ledger Close	The system shall support fiscal year adjusting period outside of core 12 month fiscal cycle (e.g., 13 periods).	High			
FB216	Finance	General Ledger	General Ledger Close	The system shall allow user to view "available balance" of any revenue, expenditure, or expense GL account (including unposted, posted, encumbered, and year-to-date).	High			
FB217	Finance	General Ledger	General Ledger Close	The system shall compare amounts in the general ledger accounts with the amounts in the related subsidiary records and create reports for those accounts that are out of balance. The system shall also provide an option to not allow for ledgers / sub-ledgers to be out of balance and validate a chart of account string for all financial transactions..	High			
FB218	Finance	General Ledger	General Ledger Close	The system shall create and capture audit trails on additions / changes / deletions of financial transactions based on user defined key fields (configurable to organizational specifications).	High			
FB219	Finance	General Ledger	General Ledger Close	The system shall accommodate prior period and prior year adjustments, with the ability to secure and lock down these adjustments. Users shall be able to update Retained Earnings / Fund Balance Equity and re-run the close process.	High			
FB220	Finance	General Ledger	General Ledger Close	The system shall allocate General Ledger account balances to non-General Ledger attributes (e.g. interest income to multiple investments), allow the user to define a default allocation method that will be applied to all transactions in the allocation pool, derive allocation calculations using sub-ledger data points, validate allocation calculations through multi-step process, and retain allocation maintenance tasks in the system (e.g., update allocations, rerun allocations).	High			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB221	Finance	General Ledger	General Ledger Close	The system shall create allocations of the cost pools that can be recorded down to any segment of the Chart of Accounts and then create journal entries automatically as result of these allocations and execute an allocation based on specified dates, and programmatically generate allocations based on percentages or statistics (i.e. headcount or revenue) or custom user defined criteria.	High			
FB222	Finance	General Ledger	General Ledger Close	The system shall generate year-end closing entries which zero out all revenue and expense/expenditure accounts and changes to encumbrances, posts the net loss / gain to net position/fund balance, and carries forward this balance as the beginning balance on balance sheet accounts for the next fiscal year.	High			
FB223	Finance	General Ledger	Pre Close Activities	The system shall perform on-line "drill downs" from general ledger summary balances to detail transactions and referenced documents.	High			
FB224	Finance	General Ledger	Pre Close Activities	The system shall close modules/ledgers (including multiple ledgers simultaneously) at pre-defined times while others remain open for period processing (e.g., close AP prior to closing GL) and to process manual journal entry adjustments to any open accounting period. The system shall manage the month-end close process so that account balances at month end are balanced and adjusted and reports produced that are representative of the County's true financial position.	High			
FB225	Finance	General Ledger	Pre Close Activities	The system shall automatically create balancing journal entries by business unit, audit journal transactions by person, date, and time, enter journal entries by statistical accounts/codes, provide comments detailing the error at transaction line level for lines in error in a journal (transaction attributes),	High			
FB226	Finance	General Ledger	Pre Close Activities	The system shall allow for journal entries to be reversed (e.g., posted in error), journal entries to be deleted if not posted to the general ledger accordingly, and prevent journal entries from being deleted if the journal entry has been posted to the general ledger. The system shall validate journal entries for accuracy as they are entered based on business rules.	High	The system should also have the ability to reject cash entries due to insufficient cash. Also, to reject entries if the accounting line has insufficient budget (Object (budget) category level).		
FB227	Finance	General Ledger	Pre Close Activities	The system shall provide users with notifications when there are journal entries pending for their review.	High			
FB228	Finance	General Ledger	Pre Close Activities	The system shall automatically initiate, monitor, notify, reroute and secure approval of transactions within the JE approval workflow based on business rules (e.g., journal entry type, specified amount, relevant manager. The journal entry should post after the final approval. These workflows shall enforce approval hierarchy, allow reclassification requests for journals already posted and automatically escalate JE approval workflow based on time periods or other business rules. This workflow shall provide journal entry approvals notifications by email and via worklist.	High	JE-Journal Entry		

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB229	Finance	General Ledger	Pre Close Activities	The system shall upload journal entries from flat files or from spreadsheets (e.g., Excel) subject to the same validation requirements. The system shall provide templates that support copy and paste capabilities.	High			
FB230	Finance	General Ledger	Pre Close Activities	The system shall save JEs in a pending status, save documents descriptions and JE initiators within the JE, attach supporting documents and notes, copy JEs from current / prior period JEs and to accept JE requests from users outside of the designated departments. The system shall provide users access to attachments before JE's have been approved to post. The system shall post JEs with a reference number to allow for cross referencing when the JE is regarding a grant and support journal entry categories to sort entries or search entries under specific identifiers.	High			
FB231	Finance	General Ledger	Pre Close Activities	The system shall support journal entry (JE) processing including manual JEs, recurring JEs, automatically recorded JEs, top-side JEs, JE allocations based on specific dates, JE reversals and auto-reversals, JE templates and JE scheduling, and requires both debit/credit for each journal entry (e.g., preventing one-sided entries). Journal entry capabilities shall also include statutory entries.	High			
FB232	Finance	General Ledger	Pre Close Activities	The system shall determine which journal entries have not been interfaced and posted from the sub modules to the general ledger (GL).	High			
FB233	Finance	General Ledger	Reporting & Analytics	The system shall run queries and General Ledger Reports depicting all detailed transactional activity for all accounting transaction types (sliced by Dept, fund, fund type, object type) including comparison of current year and prior year expenses/revenues.	High			
FB234	Finance	General Ledger	Reporting & Analytics	The system shall perform quick queries to view and export the chart of accounts details to excel as reference information.	High			
FB235	Finance	General Ledger	Reporting & Analytics	The system shall run queries/reports to view cash transaction listing at year end.	High			
FB236	Finance	General Ledger	Reporting & Analytics	The system has ability to run queries/reports on Summary Trial Balance by Fund/Fund Type.	High			
FB237	Finance	General Ledger	Reporting & Analytics	The system shall generate customized canned reports in a specific format (defined by County) to meet business needs. Ex: ACFR working trial balances.	High			
FB238	Finance	General Ledger	Reporting & Analytics	The system shall run queries/reports to view Encumbrance Summary/transaction details including balances	High			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB239	Finance	Fixed Assets	Asset Creation	The system shall create a fixed asset, assign a unique asset number to a single item or multiple items purchased, perform cost adjustments, split single asset between multiple funds and departments, establish a location and category and perform other standard fixed asset accounting procedures (e.g., depreciation, retirement, disposition, transfer). The system shall accumulate all costs of a project, create an asset or multiple assets from these costs (e.g., a transit center can have IT equipment, amenities, station, security equipment groups with different GL accounts), split costs between different fixed assets, associate all capitalized costs with the construction or purchase/acquisition of an asset (e.g., capitalized assets at project completion) and capture related accounting transactions for posting to the general ledger.	High			
FB240	Finance	Fixed Assets	Asset Creation	The system shall consolidate multiple expenditure lines into a single asset or conversely to split a single expenditure line into multiple assets during the real-time integration from either the procure to pay or project costing processes into assets when creating a new asset. The system shall capitalize non-asset spend on the General Ledger to an asset and provide / display them within project category codes.	High	System High the ability to serve as an Asset Management System for the County. Have the ability to track capital, as well as controlled assets (they are not capital assets), and be easy to use, navigate, report on, etc. System should allow for a "Restricted Use" designation for items that are reserved, procured and/or set aside for a specific use, etc. System needs to be flexible to meet the needs of all County departments and operate within different settings. Should track full life cycle - from req to surplus (disposition)		
FB241	Finance	Fixed Assets	Asset Creation	The system shall transfer asset invoice/expense claims from Accounts Payable directly to an asset (if in service) or to an asset shell (if not placed in service) with subsidiary ledger (subledger) transactions flowing from subledger to the GL, create the asset and acquire asset (from asset clearing to asset balance sheet account). The system shall transfer project related invoices directly into a balance sheet account so costs can be accumulated or to an asset shell.	High	The system has ability to input thresholds for different capital asset categories (for instance, equipment has a \$5K capitalized threshold, whereas land is \$0), in order for the System to identify any capital asset invoice over the threshold amount to transfer		
FB242	Finance	Fixed Assets	Asset Creation	The system shall identify if a new asset is a replacement for an existing asset and create a parent asset with multiple child assets linked to it through a message indicator prompted by the system (predictive tool), asking the end-user to confirm if the asset is a new or a replacement. (e.g., building with other assets like HVAC systems).	High			
FB243	Finance	Fixed Assets	Asset Creation	The system shall track and differentiate between purchased assets and leased assets and to track the funding sources (e.g., bonds, grant sources) used for these purchases.	High	The system shall create various asset groups and asset types.		

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB244	Finance	Fixed Assets	Asset Creation	The system shall provide real-time integration from other system modules (e.g., Projects, Grants, Accounts Payable, Procurement, AR, etc.) as well from other external applications as necessary. This integration shall allow the creation of a new asset, the deposition of an asset, or to add additional costs to an existing asset at any time during the project or grant life cycle.	High	This integration should include a linkage of right-to-use assets (leased assets) with their respective contract, so there is a notification when the contract is modified or new encumbrances are submitted. Integration to link revenues received for the sale of assets (disposed assets) using a specific code and asset ID (ability to view complete details of the asset)		
FB245	Finance	Fixed Assets	Asset Creation	The system shall allow entering in service date any time during the fiscal year, regardless if the period is open or closed.	High			
FB246	Finance	Fixed Assets	Depreciation, Retirement, Impairment & Adjustments	The system shall calculate depreciation or amortization (for leases and intangible assets) based upon the asset profile, depreciation method (e.g., straight-line), useful life and process preliminary or final depreciation through on-line/on demand or batch processes that charges depreciation automatically to cost centers or owner departments in the general ledger. The system shall also be able to align depreciation rates with statutory rates and in compliance with regulations/MOUs. The system shall perform a depreciation simulation and have one-step reversals.	High	System High the ability to establish useful life in months not whole years.		
FB247	Finance	Fixed Assets	Depreciation, Retirement, Impairment & Adjustments	The system shall define a standard depreciation area in support of varying depreciation requirements (e.g., GAAP) and forecast / simulate depreciation expense, using various depreciation conventions, by asset types.	High	System High the ability to establish useful life in months not whole years.		
FB248	Finance	Fixed Assets	Depreciation, Retirement, Impairment & Adjustments	The system shall use system templates to support asset transfer between departments (cost centers) and to track and reconcile assets with scannable asset tag numbers (e.g., RFID) printed from the system based on class.	Low			
FB249	Finance	Fixed Assets	Depreciation, Retirement, Impairment & Adjustments	The system shall compute the gain/loss associated with a disposal/trade-in.	High			
FB250	Finance	Fixed Assets	Depreciation, Retirement, Impairment & Adjustments	The system shall reinstate and retire assets, including tracking of asset disposal.	High			
FB251	Finance	Fixed Assets	Depreciation, Retirement, Impairment & Adjustments	The system shall provide automatic posting of general ledger journal entries, post asset accounting entries with required approvals secured through workflow and post general ledger journal entries once fixed asset write-down has been calculated and approval granted. The automated posting capabilities for general ledger journal entries should include transactions based on a write-down calculation and required approvals. The system shall provide alert notifications through workflow and incorporate error notifications as well.	High	The system shall have ability to correct approved entries during the open FY, and keep an audit trail.		

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB252	Finance	Fixed Assets	Depreciation, Retirement, Impairment & Adjustments	The system shall track an asset at the location level so that any asset ownership transfers are reflected in the General Ledger and the asset location is tracked in the Fixed Asset Module. The system shall track any asset movements by fixed asset, by location and by date with the history of the movement of assets retained in the system that can also accommodate gain/loss calculations if required.	High	Location field shall be required during asset creation		
FB253	Finance	Fixed Assets	Depreciation, Retirement, Impairment & Adjustments	The system shall create a schedule and integrate lease payments through Accounts Payable in real-time.	High			
FB254	Finance	Fixed Assets	Depreciation, Retirement, Impairment & Adjustments	The system shall categorize codes for asset disposition, retire an asset containing multiple asset components with individual asset numbers and track disposal values.	High			
FB255	Finance	Fixed Assets	Depreciation, Retirement, Impairment & Adjustments	The system shall provide automated identification of assets at end of useful lives and ready for retirement including an approval process supported by report / query generation capability (e.g., verification of assets ready to be retired) that includes a notification on the status of the asset based on the asset type (e.g., pending action).	High			
FB256	Finance	Fixed Assets	Depreciation, Retirement, Impairment & Adjustments	The system shall conduct specific transactions on a large group of assets such as recategorization, retirement and to track and retire assets on a mass scale by distinguishing assets by asset class.	High			
FB257	Finance	Fixed Assets	Depreciation, Retirement, Impairment & Adjustments	The system shall provide identifiable asset records to match asset to be retired and a calculation tool to determine net book value.	High			
FB258	Finance	Fixed Assets	Depreciation, Retirement, Impairment & Adjustments	The system shall provide system template forms to standardize manual asset retirement requests from business units that do not require access to the fixed assets module.	Low	The system should have the ability to upload fixed asset forms.		
FB259	Finance	Fixed Assets	Depreciation, Retirement, Impairment & Adjustments	The system shall create accounting entries for additions, adjustments, impairments and transfers with required approvals and to account for any cash on Sale of Disposed/Retired Assets.	High			
FB260	Finance	Fixed Assets	Depreciation, Retirement, Impairment & Adjustments	The system shall provide identifiable asset records to match asset to be impaired and calculation tools to assess fair market value of the asset to be impaired.	Low			
FB261	Finance	Fixed Assets	Depreciation, Retirement, Impairment & Adjustments	The system shall transfer assets from one fund to another (e.g., restricted, non-restricted) with cumulative depreciation records to flow to these funds.	High	The system needs to have the ability to transfer assets from Governmental funds to Enterprise funds and be able to calculate a gain/loss and capital contribution (if there is one).		
FB262	Finance	Fixed Assets	Asset Creation	The system shall account for fixed assets that are fully depreciated, but still need to be shown internally	High			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB263	Finance	Fixed Assets	Asset Creation	The system shall provide standard templates and on-line inquiry for the fixed assets sub-ledger that provides life-to-date balances and transactions based on project / asset start and end dates. These templates shall allow users to easily update or add information to meet reporting requirements.	High			
FB264	Finance	Fixed Assets	Period End Close	The system shall close the Fixed Asset subsidiary module to the General Ledger module electronically at the user and transaction levels and to automatically generate a gain / (loss) transaction based on the changed status of any assets.	High	Comply with GASB 34; For proprietary funds, the gain/loss transaction should post directly to the proprietary funds; however with governmental funds, it hits a holding fixed asset account, since we don't recognize capital asset activities for governmental funds on a modified accrual basis.		
FB265	Finance	Fixed Assets	Period End Close	The system shall support full compliance with GASB 34 fixed assets reporting (audit support and financial statement schedules) and roll forward balances / perform year-end close while tracking multi-year expenditures.	High	Full compliance with GASB 34 means that the system has capability to account for capital assets on a different basis of accounting for proprietary funds vs. governmental funds.		
FB266	Finance	Fixed Assets	Reporting & Analytics	The system shall allow the designated user to report / query off project hierarchy. The system shall be able to support this capability in the fixed assets module as well as in the project management and accounting module.	Low			
FB267	Finance	Fixed Assets	Reporting & Analytics	The system shall produce standard asset management reports (both "as reported" and "pro forma") that can be sorted and filtered by one or more designated user defined criteria (e.g., Asset Details By Location, Asset Acquisition, Asset Net Book Value, Statement of Changes in Net Assets, Balance Sheet, Income Statement, actual/planned Project Reports).	High			
FB268	Finance	Fixed Assets	Reporting & Analytics	The system shall produce fixed asset reports for leased assets that include lease holding information, lease expirations, and asset retirements / end of service and disclosure requirements for GASB 87, 94 and 96.	High			
FB269	Finance	Fixed Assets	System Governance	The system shall maintain fixed asset records that include a description of the property, a serial number and/or other identification number, the source of funding for the property, who holds title, asset designated users (in addition to recording property custodian), the acquisition date, the cost of the property, electronic document attachment (including images) and percentage of Federal participation in the project costs for the Federal award under which the property was acquired..	High	The system shall search assets by various categories or indicators. Similar to fixed asset creation.		
FB270	Finance	Fixed Assets	System Governance	The system shall record an audit trail of all changes made to asset records, recording designated user ID and date.	High			
FB271	Finance	Fixed Assets	System Governance	The system shall perform online entry and maintenance of fixed asset records. Changes shall be properly accounted for in the Asset Management module and the GL.	High			
FB272	Finance	Fixed Assets	System Governance	The system shall allow the designated user to assign an active/inactive status to an activity to a chart of account element (Org element /P-unit).	High	It should integrate with GL to disallow posting to inactive P-units.		
FB273	Finance	Fixed Assets	System Governance	The system shall link fixed assets to a project with the dynamic tables in the background and to ensure that status changes and closing of the Project so accommodated that all fixed asset costs are booked,	Low			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB274	Finance	Fixed Assets	Reporting & Analytics	The system shall generate and publish as-of-date reports (e.g., Fixed Assets Register, Depreciation, Additions, Disposals, Sales, Changes etc.) at any given time, and export these reports as an Excel spreadsheet.	High	Ability to export to excel		
FB275	Finance	Projects and Portfolio Management	Project Initiating	The system shall create standardized, automated project proposals with corresponding data, content and business rules that can be approved converted into active projects through auditable workflow processes throughout the project management / lifecycle.	Low			
FB276	Finance	Projects and Portfolio Management	Project Initiating	The system shall create and manage project proposals across fiscal years supporting a variety of project types such as capital, operating and work-orders (non-capital expenditures).	Low			
FB277	Finance	Projects and Portfolio Management	Project Initiating	The system shall create project proposals that can assign multiple projects to a grant and multiple grants to a project.	Low			
FB278	Finance	Projects and Portfolio Management	Project Initiating	The system shall forecast annual capital and operating costs (budget) for a project that includes project forecasts created along fiscal year or other than fiscal year basis.	Low			
FB279	Finance	Projects and Portfolio Management	Project Initiating	The system shall create custom project checklists.	Low			
FB280	Finance	Projects and Portfolio Management	Project Initiating	The system shall assign multiple projects to a grant and multiple grants to a project. The system shall post multi-level budget targets and long range (20 year) financial plans in the relevant sections of the system.	Low			
FB281	Finance	Projects and Portfolio Management	Project Initiating	The system shall identify multiple funds, funding sources, expenditure types, and fixed assets for each project. The system shall produce detail cost tracking.	Low			
FB282	Finance	Projects and Portfolio Management	Project Initiating	The system shall identify key project dates (e.g., start, Notice to Proceed, milestones, go-live, substantial completion).	Low			
FB283	Finance	Projects and Portfolio Management	Project Initiating	The system shall create and maintain activity codes and generate a pre-defined project activity list to better track depreciation and costs per department.	Low			
FB284	Finance	Projects and Portfolio Management	Project Initiating	The system shall rank and provide portfolio project prioritization for projects, programs and proposals on one or more sets of criteria for program or portfolio optimization on demand throughout the year.	Low			
FB285	Finance	Projects and Portfolio Management	Project Initiating	The system shall provide analysis and prioritization activities that includes user-defined drivers, prioritization of drivers, and analyzation by drivers.	Low			
FB286	Finance	Projects and Portfolio Management	Project Initiating	The system shall choose some or all of the portfolio projects to be analyzed by budget constraints (e.g. by current fiscal year, five-year CIP, funding resource).	Low			
FB287	Finance	Projects and Portfolio Management	Project Initiating	The system shall define dependencies among projects and programs, for example, project X may only be selected if project Y is selected.	Low			
FB288	Finance	Projects and Portfolio Management	Project Initiating	The system shall create what-if scenario planning and analysis to support decision making.	Low			
FB289	Finance	Projects and Portfolio Management	Project Initiating	The system shall manage resource planning.	Low			
FB290	Finance	Projects and Portfolio Management	Project Initiating	The system shall include ad hoc on-demand queries along with reporting and dashboards as part of this prioritization capability.	Low			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB291	Finance	Projects and Portfolio Management	Project Initiating	The system shall support project risk assessment and risk mitigation planning, including the quantification of project risk.	Low			
FB292	Finance	Projects and Portfolio Management	Project Initiating	The system shall group projects into programs and have projects associated with multiple programs.	Low			
FB293	Finance	Projects and Portfolio Management	Project Initiating	The system shall group projects into a portfolio.	Low			
FB294	Finance	Projects and Portfolio Management	Project Initiating	The system shall adjust project processes based on the size and/or type of the project (e.g., total project amount, project length).	Low			
FB295	Finance	Projects and Portfolio Management	Project Initiating	The system shall accommodate the project budget being an amendment to the organization budget with proper approval and documented project approval steps.	Low			
FB296	Finance	Projects and Portfolio Management	Project Planning	The system shall support the development of a project management plan that includes: a scope management plan, a project team / resource management plan, a schedule management plan that includes creation of a work breakdown structure (WBS), a budget / financial management plan that references the detailed schedule and milestone payment plan, a communications management plan, a risk management plan, a procurement plan, a document control plan, a quality management plan that includes establishment of system components and integration test plan, system metrics and metric checklists, and an operations maintenance plan.	Low			
FB297	Finance	Projects and Portfolio Management	Project Planning	The system shall establish project communications processes (included in the communications plan in the project management plan) that would include the stakeholder register (established in Initiating), project kick off and documentation and auditable workflow for stakeholder acceptance for the project charter and roles and responsibilities.	Low			
FB298	Finance	Projects and Portfolio Management	Project Planning	The system shall execute procurement through Notice to Proceed, create requisitions for capital items that will automatically be created in the financial module, manage contract performance and capture contract number, contracting entity, bid results, awards details, contract bid terms, retainage by contractor, start / end dates, and associated account numbers (e.g., general ledger, banks, and sync with all modules accordingly.)	Low			
FB299	Finance	Projects and Portfolio Management	Project Execution	The system shall integrate project execution through project work, work performance reporting, status reporting, management reporting, scheduling and documenting of project meetings.	Low			
FB300	Finance	Projects and Portfolio Management	Project Execution	The system shall integrate project execution through creation, review, and finalization of a transition / migration plan and support and maintenance plan.	Low			
FB301	Finance	Projects and Portfolio Management	Project Execution	The system shall track the status of each project (e.g., proposed, open, closed, postponed, or in closing) and manage CIP, grant funded CIP, bond funded CIP, and non-CIP projects including milestones, payment milestones, schedules, risks, resources, action issues and items logs, test failure reports, and their financial schedules.	Low			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB302	Finance	Projects and Portfolio Management	Project Execution	The system shall create and maintain an organizational hierarchy within the PPM tool or through integration to external directories.	Low			
FB303	Finance	Projects and Portfolio Management	Project Execution	The system shall track and manage project dependencies to other projects and programs.	Low			
FB304	Finance	Projects and Portfolio Management	Project Execution	The system shall contain project scheduling to include cost load / Estimates At Completion, actual costs, remaining costs, encumbrances, fiscal month, fiscal quarter, fiscal year, % complete, start, finish, actual start, actual finish, predecessors, successors critical path, Gantt charts, PERT charts, manual or auto scheduling.	Low			
FB305	Finance	Projects and Portfolio Management	Project Execution	The system shall include project scheduling to include integration of Orange County resource pool by name, title, department, hourly cost, and credentials.	Low			
FB306	Finance	Projects and Portfolio Management	Project Execution	The system shall include project costing to define and modify project cost estimates and update cost data via manual input or integration	Low			
FB307	Finance	Projects and Portfolio Management	Project Execution	The system shall leverage user-configured project checklists, capture and track previous task orders, capture unspent budget dollars from the previous fiscal year and automatically roll over to the next fiscal year.	Low			
FB308	Finance	Projects and Portfolio Management	Project Execution	The system shall provide stage gate approvals to transition to the next fiscal year.	Low			
FB309	Finance	Projects and Portfolio Management	Project Execution	The system shall provide historical data for projects and programs from inception date.	Low			
FB310	Finance	Projects and Portfolio Management	Project Execution	The system shall capture multiple change orders, grants and funds transfers within a project, make adjustments to reimbursement payments, and to support adjustments to reimbursement payments due to organizational change and change in the grants reimbursements process leveraged by budget adjustment templates.	Low			
FB311	Finance	Projects and Portfolio Management	Project Execution	The system shall facilitate their use of external vendors by allowing external users to provide data including task and status updates to schedule, risks, action items and issues list.	Low			
FB312	Finance	Projects and Portfolio Management	Project Execution	The system shall track and maintain project budget and actual data in real time at the project and general ledger levels, record obligations or federal funds as a result of awards, track "hard costs," support budget adjustments, estimate replacement cycle costs and track committed funds for the project (both actual expenditures and future commitments).	Low			
FB313	Finance	Projects and Portfolio Management	Project Execution	The system shall calculate and allocate overhead costs evenly or based on pre-defined user criteria and automatically calculate a pre-determined overhead rate/burden for capital invoices.	Low			
FB314	Finance	Projects and Portfolio Management	Project Execution	The system shall automatically track status throughout the development life cycle, maintain project and grant budget and actual data at the project and general ledger levels and support automated reporting of project status to responsible official(s), department heads, and staff, and view and drill down into project budget historical data.	Low			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB315	Finance	Projects and Portfolio Management	Project Execution	The system shall provide flexible methods for reporting status back to the project manager to make it efficient for people to update the system without having to directly access the system, e.g. Outlook task, email, web.	Low			
FB316	Finance	Projects and Portfolio Management	Project Execution	The system shall support project resource management through task assignments.	Low			
FB317	Finance	Projects and Portfolio Management	Project Execution	The system shall provide user configurable notifications in workflow that notifies the user(s) that are responsible for the next action.	Low			
FB318	Finance	Projects and Portfolio Management	Project Execution	The system shall administer the change management process, capture multiple change requests that include the requestor, description, need by date, criticality of change, change impact, whether and how it impacts scope, schedule, budget, grants and funds transfers for a project, funds identified for those contracts where it is not anticipated, value of the contract will be expended, adjustments made to reimbursement payments based on input from external vendors (e.g., other), and adjustments made to reimbursement payments due to organizational change and change in the projects reimbursements process.	Low			
FB319	Finance	Projects and Portfolio Management	Project Execution	The system shall provide workflow with an audit trail for the review, approval, and procurement and financial execution of the change request and provides auditable workflow for approval of changes and fund transfers.	Low			
FB320	Finance	Projects and Portfolio Management	Project Monitoring & Controlling	The system shall provide high-level project tracking where detailed tracking is not required.	Low			
FB321	Finance	Projects and Portfolio Management	Project Monitoring & Controlling	The system shall track project progress payments and budget reconciliations including reconciliations with all system modules.	Low			
FB322	Finance	Projects and Portfolio Management	Project Monitoring & Controlling	The system shall track project related contract transactions, contract modifications and contract change orders.	Low			
FB323	Finance	Projects and Portfolio Management	Project Monitoring & Controlling	The system shall allow users to interact with others working on projects using a "social" user interface. This may support alerting team members to information or events that may interest them.	Low			
FB324	Finance	Projects and Portfolio Management	Project Closing	The system shall automate the project closeout checklist and store closeout data within the system; ability to provide access to users to view and edit the closeout checklists during the closeout process.	Low			
FB325	Finance	Projects and Portfolio Management	Project Closing	The system shall close project purchase orders and project codes, validate deliverables against contract requirements and acceptance criteria, and produce and include project expenditures comparative reports at project closeout.	Low			
FB326	Finance	Projects and Portfolio Management	Project Closing	The system shall process final project invoices, close projects and contracts in all system modules, document lessons learned and secure contract closing authorization documents.	Low			
FB327	Finance	Projects and Portfolio Management	Project Closing	The system shall track the project closeout process and document the activities and approvals with a dynamic workflow system.	Low			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB328	Finance	Projects and Portfolio Management	Reporting & Analytics	The system shall provide calculated Percentage of Completion (PoC) and support reporting of equipment charges (organization owned or rented).	Low			
FB329	Finance	Projects and Portfolio Management	Reporting & Analytics	The system shall track and report on projects completed or expected to be completed in the next year by user defined periods (e.g. monthly, quarterly, yearly). Ability to accommodate the viewing of projects by award or award by projects.	Low			
FB330	Finance	Projects and Portfolio Management	Reporting & Analytics	The system shall produce and include project expenditures comparative reports at project closeout.	Low			
FB331	Finance	Projects and Portfolio Management	Data Migration and Linking	The system shall provide for the migration of all project data that resides in current systems including financial information / transactions.	Low			
FB332	Finance	Project Management and Accounting	Project Creation & Approval	The system shall capture contract number, contracting entity, awards details, start / end dates, associated account numbers (e.g., general ledger, banks) and to create projects across fiscal years supporting a variety of project types such as capital, work-orders (non-capital expenditures) that are approved through workflow processes.	High			
FB333	Finance	Project Management and Accounting	Project Creation & Approval	The system shall identify key project dates (e.g., start, milestones), generate a pre-defined project activity list to better track depreciation and costs per department/components, assign resources (e.g., vendors, personnel, equipment, activities), assign responsible officials, create and maintain activity codes for tracking, identify and link multiple funds, funding sources, expenditure types and fixed assets for each project, and link multiple projects. The system shall monitor progress by time and budget, as well as make the necessary changes in Project Master Data.	High			
FB334	Finance	Project Management and Accounting	Project Creation & Approval	The system shall create a budget or support linking of a budget from the budget management functionality for a project, track the budget vs. actuals from the inception date, create a project forecast along fiscal year or other than fiscal year basis, create budgets for a project (e.g., monthly, fiscal year, calendar year, custom period), create custom project checklists, and support assignment of multiple projects to a grant and multiple grants to a project.	High			
FB335	Finance	Project Management and Accounting	Project Creation & Approval	The system shall include a seamless real-time integration to other systems / applications (e.g., inventory systems, financial asset management systems, time management, timesheets, task management, resource scheduling systems) and to other external Orange County systems	High			
FB336	Finance	Project Management and Accounting	Execute, Control and Monitor Project	The system shall track contractors (through procurement), capital labor costs in real time and provide a "roll up view" for annual reporting purposes, and track committed funds for the project (both expenditures and future commitments). Include the creation of phases for a project and tracking the project through the phases during its life cycle.	High			

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB337	Finance	Project Management and Accounting	Execute, Control and Monitor Project	The system shall calculate and allocate overhead costs evenly or from pre-defined user criteria, and manage CIP, grant funded CIP, bond funded CIP, and non-CIP projects including milestones, schedules and their financial schedules.	High	CIP- Capital Improvement Projects; If possible automatically calculate a pre-determined overhead rate / burden for capital invoices		
FB338	Finance	Travel and Expense	Integration	The system shall generate a reimbursements file for employee or non-employees (e.g., contractors). The reimbursement file for employees shall interface with the HR/Payroll system. The file for non-employees would reference a vendor code and be processed and paid out of the finance system.	Low	If the requirements within the employee reimbursement tab and ability to generate a reimbursement file are not available in the new ERP, then the reimbursement file will need to be interfaced with the County's current solution, OC METER, and non-employees will continue to be paid from the Finance system.		
FB339	Finance	Travel and Expense	Reporting & Analytics	The system shall generate a recurring report that shows the details and summary for expense report transactions.	High	Expense budget to actuals and Actual YTD		
FB340	Finance	Travel and Expense	Reporting & Analytics	The system shall allow employees to query on the status of their pending travel reimbursements (including status of workflow approval) and view expense report details and status in a display-only mode.	High			
FB341	Finance	Travel and Expense	P-Card Administration	The system shall manage P-Card set up, P-Card expenditure business rules, administration and reporting and the capability to validate GL account, expense type and budget at the time of entry.	High			
FB342	Finance	Travel and Expense	P-Card Administration	The system shall approve and reconcile P card transactions and to provide P-Card transaction analysis	High			
FB343	Finance	Travel and Expense	P-Card Administration	The system shall integrate real-time with P-Card provider to automatically import and reconcile card transactions and expenses	Low			
FB344	Finance	Project Management and Accounting	Manage Project Billing and Revenue	The system shall generate invoices based on calendar, milestone or material / labor rates and generate grant reimbursements during the fiscal year.	Low	Each department has different protocol re- submittal of claim reimbursement to different Federal /State agency and not every dept fund their construction projects through federal/state grants. For instance, the Airport recovers their costs for airport improvements through rates that they charge to airlines, and they do not invoice those airlines.		
FB345	Finance	Project Management and Accounting	Period End Close, Reporting and Analytics	The system shall exclude/include invoice detail data elements, allowable charges and overhead for specific or all invoices.	Low			
FB346	Finance	Project Management and Accounting	Period End Close, Reporting and Analytics	The system shall establish and manage retainage on project invoices through a workflow process, calculate the remaining retainage balance and apply it to the last payment on the task order, and review unbilled project expenditures.	High	This retainage withholding is applicable to construction projects/contracts and most departments will apply it the last payment. Need to update AP process above to exclude retainage for construction invoices or else we maybe doubling up on retainage withholding.		
FB347	Finance	Project Management and Accounting	Period End Close, Reporting and Analytics	The system shall automate project billing and revenue forecast to integrate with the project system draw down process.	High	Typically construction invoices are paid first, before departments can compile costs (including S&EB, indirect costs, other S&S) related to a particular construction project for reimbursement from federal/state grants.		

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB348	Finance	Project Management and Accounting	Capitalize and Close Project	The system shall track and generate a report that details cumulative costs to date, detailed cost categories, outstanding invoices due based on user-defined criteria (e.g., pre-defined time period, project, contractors, partners) to support reimbursements due or charges for services.	High			
FB349	Finance	Project Management and Accounting	Manage Project Billing and Revenue	The system shall report on grant activity by general ledger account(s), review unbilled project expenditures, including intercompany billings, and report on projects by award or award by projects. The system shall include user-defined views and ad hoc reporting.	High			
FB350	Finance	Project Management and Accounting	Manage Project Billing and Revenue	The system shall support user-defined project analytics, including a Earned Value Analysis (EVA), forecasts and scenario analysis.	Low			
FB351	Finance	Project Management and Accounting	Period End Close, Reporting and Analytics	The system shall allow the designated user to report/query off project hierarchy.	High			
FB352	Finance	Project Management and Accounting	Period End Close, Reporting and Analytics	The system shall close project purchase orders and project codes, validate deliverables against contract requirements and acceptance criteria, and produce and include project expenditures comparative reports at project closeout.	High			
FB353	Finance	Project Management and Accounting	Period End Close, Reporting and Analytics	The system shall record and track all capitalized costs and create assets before and during project completion through real-time integration with the Fixed Assets module. The system shall project capital plan prioritizations (e.g., spending scenarios), and formulate financial constraints.	High			
FB354	Finance	Project Management and Accounting	Capitalize and Close Project	The system shall record and track OPEX and budget actuals for projects.	High	OPEX: Operational expenses		
FB355	Finance	Grants Management	Grant Applications	The system shall identify available grant funding, support the preparation of grant applications and track grant application proposal status per funding source. The system shall set-up a pre-award budget and provide Project Manager input through workflow. The system shall provide a grant award notification to a pre-defined group of users (e.g., grant accountant, grant initiator) and integrate with third parties.	High			
FB356	Finance	Grants Management	Award Set up	The system shall set up the grant by establishing the grantor, creating the award template, creating a robust account structure to support Award / Project / Activity information with greater detail that what will be provided to the general ledger, entering the award details and allowing the allocation of cost share percentages, which can be a fixed amount or a percentage . The system shall categorize grants according to the terms and conditions of the grant award.	High			
FB357	Finance	Grants Management	Award Set up	The system shall set up pass through grants and identify the subrecipients of the grant. The system shall track all grant expenses that are 100% local share, but that are a part of the total grant award.	High	Ability to identify the sub recipients of the grant		

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB358	Finance	Grants Management	Award Set up	The system shall calculate indirect costs associated with the grant and assign those costs to the grant for reimbursement or claiming.	Low			
FB359	Finance	Grants Management	Award Set up	The system shall design a grants-specific accounting distribution that is captured in a standard way throughout all transaction entry pages (e.g., purchase order entry, journal entry, supplier invoice entry) that is based on a fixed dollar amount or a percentage.	High			
FB360	Finance	Grants Management	Award Set up	The system shall allow for salary and effort allocations to sponsored projects as well as to operational departments entered by defined users and allows for appropriate approval process flows to activate those allocations.	Low			
FB361	Finance	Grants Management	Award Management	The system shall review and post all Subledger transactions, review transactions, projects and grant coding when reviewing expenditures and posting to the general ledger (including when corrections need to be made) and take corrective actions within the source system.	High			
FB362	Finance	Grants Management	Award Management	The system shall attach supporting documentation or a link to each award and provide access for each user for visibility to the documentation.	High			
FB363	Finance	Grants Management	Award Management	The system shall support an annual or multi-year funding allocation process that allows for both expenditures and budgets to carry-over from a prior budget period.	High			
FB364	Finance	Grants Management	Award Management	The system shall add new contract lines to a contract, update the contract amount on a contract, make administrative changes to a contract, automatically process amendments, and allow movement of resources between grants, activities, or budgets.	High			
FB365	Finance	Grants Management	Award Management	The system shall track and differentiate between purchased assets and leased assets and track the funding sources (e.g., bonds, grants, other sources) used for these purchases.	High			
FB366	Finance	Grants Management	Manage Billing and Revenue	The system shall integrate grant billing approvals and request for reimbursements with the functionality in the procurement department, including the ability to track billing and costs by grant funding source and by codes that are specific to each grant agency. The system shall separate specific costs in project billing to distribute across multiple grants and identify unallowable costs.	High			
FB367	Finance	Grants Management	Manage Billing and Revenue	The system shall generate invoices for grant sponsors leveraging sponsor templates and to produce a Letter of Credit draw that can also store previously billed amounts.	Low			
FB368	Finance	Grants Management	Manage Billing and Revenue	The system shall make the automated calculation and subsequent processing of facilities and administration (F&A) overhead charges for awards/projects so that F&A rates and rate basis can be accessed by award with effective dates and with all historical changes available online. The system shall automate grant receipts to open receivables related to grants at the moment that transactions are imported.	Low	Countywide Cost Allocation Plan has identification of various types of indirect cost (i.e. accounting, space cost, HR, utilities, etc.)		

FINANCE-BUDGET REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
FB369	Finance	Grants Management	Manage Billing and Revenue	The system shall manage all grant billings through the system that can be approved through a configurable workflow process and generate postings for the general ledger.	High			
FB370	Finance	Grants Management	Reporting & Analytics	The system shall track allowable activities and costs related to any federal grant award during the fiscal year to support the Schedule of Expenditures of Federal Awards (SEFA).	High			
FB371	Finance	Grants Management	Reporting & Analytics	The system shall provide a full range of user-defined grant reports to include a Grants Summary Report (Budget, Commitments, Spend), Revenue and Expense Report for each grant / award, Milestone Report, Grant Receivable Aging Report, Detailed Grant Trial Balance Report, and Obligations and Unliquidated Obligations Report. These reporting capabilities should align with grant requirements set by the grantor (e.g., other, FFR, other entities).	High			
FB372	Finance	Grants Management	Reporting & Analytics	The system shall integrate in real-time with other source systems (e.g., Accounts Payable, Payroll/HR, Pre-Award System) to support standard and ad-hoc reporting needs.	High			
FB373	Finance	Grants Management	Reporting & Analytics	The system shall set up tolerances to identify expenditures that experience an overrun or underrun. The system is able to provide access to external auditors to review underrun and overrun amounts.	Low			
FB374	Finance	Grants Management	Reporting & Analytics	The system shall allow users to create custom queries, reconciliation reports, and exception reports.	High			
FB375	Finance	Grants Management	Grant Close Out	The system shall develop an Award Closeout Checklist that can be partially automated and provide an efficient close out of an Award / Project / Activity by role and/or user.	High			
FB376	Finance	Grants Management	Integration	The system shall provide a reimbursement draw down process that would also accommodate reimbursements from the Federal grantor systems.	Low			
FB377	Finance	Grants Management	Integration	The system shall integrate in real-time with the other relevant application modules (e.g., Procurement, Accounts Payable, General Ledger, Fixed Assets, Projects, Expense Management, Contracts, Billing, Accounts Receivable, Time Entry, Payroll, HR, Non-Employee management systems). The system shall process changes to obligations / encumbrances (e.g., purchase orders balances related to grants), and utilize workflow to obtain approval of grant funded transactions and federal clauses.	High			

GENERAL-TECHNICAL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
GT01	General	Technical Overlay	Platform	The Contractor shall provide a cloud based Software as a Service (SaaS) system that is scalable to meet the growing needs of Orange County . This includes compatibility with multiple browsers (i.e. Edge, Chrome, Firefox, Safari etc.).	High	All Contractor -hosted infrastructure shall be secured in a manner acceptable to the County in accordance to County security and usage policies		
GT02	General	Technical Overlay	Access and Security	The Contractor's solution shall allow County users to access the Application via the Internet using a secure protocol such as HTTPS and support multi-factor authentication (MFA).	High			
GT03	General	Technical Overlay	Access and Security	The system shall integrate with the County's Active Directory System using Security Assertion Markup Language (SAML) for single sign-on, as well as allow alternative options without single sign-on to provision for access to Non-County Users (i.e. interns, contractors).	High			
GT04	General	Technical Overlay	Access and Security	The system shall automatically feed Active Directory updates based on attributes (e.g., phone, email) to the system and control and manage role-level authorization through the ERP system separate from Active Directory.	High			
GT05	General	Technical Overlay	Access and Security	The system has the ability for administrators to delegate administration capabilities and to grant particular administrative privileges to another user.	High			
GT06	General	Technical Overlay	Access and Security	The system shall support role based access for authorization and to delegate these authorization policies. These authorization capabilities should include entitlement management that allows the creation and management of groups or roles and automated governance and approval around role creation and configuration.	High			
GT07	General	Technical Overlay	Access and Security	The system shall create business roles to allow users to pull components of the application together for easy navigation and searching.	High			
GT08	General	Technical Overlay	Access and Security	The system shall allow the system admin to designate the access permissions to each role to specific functions/features/fields/tables in all modules.	High			
GT09	General	Technical Overlay	Access and Security	The system shall allow role conflicts to be defined and checked in the system when a user is requesting role(s). The system shall allow the system administrator to override role conflict(s) when needed.	High	The system has ability to query the conflict exceptions made by the system admin		
GT10	General	Technical Overlay	Access and Security	The system shall allow users to submit a request for access to the system which shall have an approval workflow. It will provide access to configure requirements for specific role(s) (i.e. attach signature card, justification)	High			
GT11	General	Technical Overlay	Access and Security	The system shall allow authorized users to capture scanned documents of wet signatures and encrypt them for security reasons	High			
GT12	General	Technical Overlay	Access and Security	The system shall allow authorized roles with appropriate permissions to retrieve wet signature cards on file to validate/audit the signatures when received.	High			
GT13	General	Technical Overlay	Access and Security	The system shall allow configuration of user certification/acknowledgement on specific modules/functional areas. It will allow users to certify/acknowledge their actions in the system.	High			

GENERAL-TECHNICAL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
GT14	General	Technical Overlay	Access and Security	The system will satisfy the requirement of Security and Privacy controls defined in NIST 800-53 revisions 4 or 5, and adapt to later versions as released. The Contractor shall cooperate with any County on-site audit or penetration test of the ERP System.	High	The system shall provide for a security incident management process that includes notification of successful or in-process cyber-attacks or breaches. These security processes should include 3rd party ethical hacking for vulnerability detection.		
GT15	General	Technical Overlay	Access and Security	The system shall facilitate audits of the hosting environment or to have an acceptable independent third party audit the hosting environment.	High			
GT16	General	Technical Overlay	Access and Security	The system shall require Multifactor authentication (MFA) for access to production systems and provide access to administrative audit logs to capture data such as User ID management, system startup/shutdown, data exports, use of privileged access (including 3rd party vendor support), logins / logoffs, audit parameter changes, and access to individual elements of either PII or PHI.	High	MFA is required for accessing the system		
GT17	General	Technical Overlay	Access and Security	The system shall secure APIs and open interfaces with different keys for different tenants / instances / environments.	High	The Solution must satisfy the requirement of Security and Privacy controls defined in NIST 800-53 revisions 4 or 5, and adapt to later versions as released.		
GT18	General	Technical Overlay	Access and Security	The system shall encrypt all data in motion (DIM) between the hosting environment and end users with minimum AES 256-bit encryption (HTTPS or SSL).	High	The Solution must satisfy the requirement of Security and Privacy controls defined in NIST 800-53 revisions 4 or 5, and adapt to later versions as released. SSL is depreciated		
GT19	General	Technical Overlay	Access and Security	The system shall encrypt all data at rest (DAR) in different levels (e.g., physical disk, field level).	High	The Solution must satisfy the requirement of Security and Privacy controls defined in NIST 800-53 revisions 4 or 5, and adapt to later versions as released. SSL is depreciated Updates will be required to maintain compliance with industry standards.		
GT20	General	Technical Overlay	Access and Security	The system shall protect from malware and various forms of attack that may enter via external communication and exchanges of data (e.g., phishing, adware, worms).	High	The Solution must satisfy the requirement of Security and Privacy controls defined in NIST 800-53 revisions 4 or 5, and adapt to later versions as released.		
GT21	General	Technical Overlay	Access and Security	The system shall provide a Web interface or API in which an administrator can create, manage, and delete user accounts (e.g., account list methods) and a batch interface or API that can import user management (create, change, delete) via text, CSV or XML file.	High	The Solution must satisfy the requirement of Security and Privacy controls defined in NIST 800-53 revisions 4 or 5, and adapt to later versions as released.		
GT22	General	Technical Overlay	Access and Security	The system shall lock user accounts after a certain number of unsuccessful login attempts with this capability configurable by an administrator. This capability should also include logging a user out after a period of inactivity (timeout) with no impact on any background jobs (processes) that may have been launched by the user if the system automatically ends the inactive user's session.	High	The system shall lock user account based on their HR profile status (i.e., on leave or separated status). Home - User's Department. Foreign: Other County Departments		

GENERAL-TECHNICAL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
GT23	General	Technical Overlay	Access and Security	The system shall secure data by field (e.g., only select users can see PII fields) and by group (e.g., managers in a particular department can see only their department's data or hierarchical groups (e.g., directors can see data for all their managers' departments). Ability to set appropriate access to the user's Home department, Foreign department(s) and/or Countywide.	High	•Field Level Security Configuration - Ability of configure/restrict access to any component(s) within the application resource (field/page/tab/document). Ability to mask/hide PII information based on security roles/documents by field/tab/page. •The system shall secure by group (e.g., managers in a particular department can see only their department's data or hierarchical groups).		
GT24	General	Technical Overlay	Access and Security	Workflow - The system shall allow configuration of the approval workflow based on requested role/departments	High			
GT25	General	Technical Overlay	Workflow	The system shall customize the levels of approval/rejection in the workflow engine specific to each ERP module/business process or across the entire ERP system	High			
GT26	General	Technical Overlay	Workflow	The system shall initiate and track the approval process through a common workflow engine across all ERP modules, assign different levels of approval for the same user, maintain separation of duties related to workflow approval processes by flag, set workflow business rules (e.g., user, role, department, thresholds, percentage argument, numerical argument, escalation, proxy, single vs. parallel approval paths, user-defined criteria), and allow temporary status changes of users (e.g., unavailable due to vacation time). Workflow capability should also include workflows that are activated/triggered / kicked off based on the event relevant to that workflow (e.g., hold applied to an AP invoice, a GL journal adjustment entered).	High	Ability to configure document approval workflow based on departments/units. Ability for certain workflows to be activated/triggered based on a field/specific components on document(s).		
GT27	General	Technical Overlay	Workflow	The system shall provide multiple methods for end users to approve a workflow (e.g., system, e-mail, mobile application, website) and to automatically send e-mail notices to the initiator of a request to notify them of the approval/rejection.	High			
GT28	General	Technical Overlay	Workflow	The system shall allow end users/approvers to add comments when taking action on the workflow.	High			
GT29	General	Technical Overlay	Workflow	The system shall automatically send push notices (e.g., e-mail, smartphone) to approvers to inform them that they have a request that requires attention, provide notification templates that are configurable and personalizable, and allow users to view summary statistics about all workflow activity. The system will be able to insert notes and links to go through workflow.	High	Ability to schedule automatic or on demand notifications and configure the frequency for automation		
GT30	General	Technical Overlay	Workflow	The system shall either lock or change workflow data after a workflow is initiated (e.g., adjust / add a cost center on an in-flight workflow) for specific workflow scenarios.	Low			
GT31	General	Technical Overlay	Workflow	The system shall allow users the viewing of outstanding workflow transactions in various states such as pending or complete (e.g., dashboards) and to review the status of the workflow at any given point so that users are able to drill down and identify any issues along the workflow path.	High			
GT32	General	Technical Overlay	Workflow	The system shall initiate a workflow in the ERP system via an API interface or a RESTful call with authentication required (e.g., inbound interactions initiated outside of the ERP system).	High			

GENERAL-TECHNICAL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
GT33	General	Technical Overlay	Workflow	The system shall re-route workflow assignments based on pre-defined rules, allow configurable notifications (via email and visible on the user's view of the system), and attach relevant documents to the workflow process.	High			
GT34	General	Technical Overlay	Workflow	The system shall allow a workflow administrator to cancel pending / in-flight workflows (e.g., employee leaves the County and the position is not filled).	High			
GT35	General	Technical Overlay	Workflow	The system shall change workflow data after a workflow is initiated (e.g., adjust / add a cost center on an in-flight workflow).	Low			
GT36	General	Technical Overlay	Workflow	The system shall select the data elements that are to be audited and capture all modifications to date for those data fields through the use of audit trails. In addition, users to view the complete audit trail in a comprehensible format	High			
GT37	General	Technical Overlay	Access and Security	The system shall audit the user activity through use of audit trails and be able to generate a summary/detailed report of the audit details. Ability to view the last modified by and last modified date fields on every page.	High			
GT38	General	Technical Overlay	Access and Security	The system shall enable or disable the audit trail feature for specific business areas	High			
GT39	General	Technical Overlay	Access and Security	The system shall maintain the date, time and user information that data was last changed that also documents original value and new value.	High			
GT40	General	Technical Overlay	Access and Security	The system shall create a separate home page for each business role with links to access assigned system functional pages, dashboards and information.	High			
GT41	General	Technical Overlay	Access and Security	The system shall query document/transaction statistic (e.g. aging, status).(number of days for each state)	High			
GT42	General	Technical Overlay	Usability	The system shall query a snapshot of separation and transfer list at any point in time.(check in HR - for transfer/onboard/separation)	High			
GT43	General	Technical Overlay	Usability	The system shall provide a simple and intuitive user interface with readable text such that a user with 20/20 eyesight or corrected vision can read the text in ambient lighting from a distance of 6 inches to 24 inches.	High	ADA compliance		
GT44	General	Technical Overlay	Usability	The system shall allow enhanced searches based on multiple criteria, and to use a wildcard in search across the system's search screens. This will include a universal search option for users to search the system based on key words or phrases.	High			
GT45	General	Technical Overlay	Usability	The system shall allow user to sort search results and shall control the number of records viewed in search results (e.g. 20, 100, 500, 1000, etc.).	High			
GT46	General	Technical Overlay	Usability	The system shall save or flag favorite recent searches.	High			
GT47	General	Technical Overlay	Usability	The system shall embed documents such as Standard Operating Procedures (SOPs) and policies within the system that can be accessed by end users.	High			
GT48	General	Technical Overlay	Usability	The system shall provide the flexibility to operate on the current smartphone platforms (e.g., iOS, Android) without interrupting the system's normal operation while safeguarding the storage of any sensitive data locally on the device (e.g. PHI, PII, IP).	High			

GENERAL-TECHNICAL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
GT49	General	Technical Overlay	User Interface	The system shall auto calculate numerical fields and display subtotals and totals when possible, provide reconciliation tools for all transactions and processes, accommodate the use of split / multiple screens, provide drop down boxes and "pick lists" for data selection and "jump" to the appropriate initial letter that the user types, when a user is navigating or searching an alphabetized list.	High			
GT50	General	Technical Overlay	User Interface	The system shall allow the system admin to configure the fields to be hidden, moved, or relabeled within documents and pages based on business rules/access levels.	High			
GT51	General	Technical Overlay	User Interface	The system shall securely display forms for viewing and printing, provide data validation on entry, provide spell check on any editable fields, provide drill-down access on all screens to source transactions, records and attachments based on security permissions.	High			
GT52	General	Technical Overlay	User Interface	The system shall provide links to associated modules from any display screen to minimize backing out of one screen to access another, with appropriate security.	High	Ability to open multiple windows.		
GT53	General	Technical Overlay	User Interface	The system shall allow/require users to electronically sign specific documents using mechanisms appropriate to the document (e.g. user PIN, typing the word "ACCEPT") and recognize the presence or absence of electronic signatures where required.	High			
GT54	General	Technical Overlay	User Interface	The system shall attach files to records in the solution and export system data with appropriate security.	High			
GT55	General	Technical Overlay	User Interface	The system shall provide system templates that are easily definable and customizable by users, are able to sort any field, can hide fields, add calculations, and use / adjust colors for emphasis.	Low			
GT56	General	Technical Overlay	User Interface	The system shall provide help support to a general user, including any context-sensitive help or capability to include custom content or outside links.	High	Ability to provide screen and field level help for users, which can be easily edited by system administrators.		
GT57	General	Technical Overlay	User Interface	The system shall provide a daily snapshot of data files from the core modules written to external systems such as ERMI (On Base)	High			
GT58	General	Technical Overlay	User Interface	The system shall validate input of data as applicable into the system to ensure referential integrity. Provide comprehensible error messages on any validation errors.	High			
GT59	General	Technical Overlay	Reporting & Analytics	The system shall generate a user roles report with details on access levels/permissions	High			
GT60	General	Technical Overlay	Reporting & Analytics	The system shall generate, print, attach and forward standard reporting templates and provide access to detailed report information through on screen report interactive drill-down from within reports. End users should be able to add annotations (e.g. notes or instructions added to draw attention to a particular aspect) to system reports. Printing capabilities should include the ability to print directly from the ERP system to printers located on the network and transmit soft copies of documents to end users for browser-based printing. The system should be able to provide report writer tool functionality to create charts, visual presentations, and style for example.	High			

GENERAL-TECHNICAL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
GT61	General	Technical Overlay	Reporting & Analytics	The system shall generate, print, attach and forward standard reporting templates and provide access to detailed report information through on screen report interactive drill-down from within reports. The system should be able to direct output to a number of formats including PDF, XLS, PPT and XML.	High			
GT62	General	Technical Overlay	Reporting & Analytics	The system shall leverage commercially available report writers with access to data for in-house report customization for comprehensive and intuitive report creation that does not require super user or IT support.	High			
GT63	General	Technical Overlay	Reporting & Analytics	The system shall support point and click lookup (e.g., from requisition to report or vice-versa, from employee to organization or vice-versa).	High	This is very important; the system needs to be able to report on a multitude of fields and datapoints and allow for future reporting without requiring IT support.		
GT64	General	Technical Overlay	Reporting & Analytics	The system shall run and query registers (e.g., payroll, checks, requisitions), generate reports based on varying financial views (e.g., cash, actual) and support up to \$999,999,999.99 figures for reporting.	High			
GT65	General	Technical Overlay	Reporting & Analytics	The system shall allow users to generate, print, attach and forward ad hoc reports and queries in real time on any captured field (without a report writer) with appropriate security. That does not require any support intervention. This capability should include the ability to use system labels as report labels.	High			
GT66	General	Technical Overlay	Reporting & Analytics	The system shall load data into reports / dashboards from multiple applications to provide cross-application reports and to support reporting on an "as of" date for all reports.	High			
GT67	General	Technical Overlay	Reporting & Analytics	The system shall apply security restrictions that apply to data displayed on application pages to system reports automatically (e.g., manager cannot view employee data outside of their department due to security restrictions, and that restrictions applies for any reports run against that same data).	High	This is very important as well, as the County has many different applications/systems.		
GT68	General	Technical Overlay	Reporting & Analytics	The system shall delegate reporting capabilities from one user to another (e.g., manager to administrator) so that these delegated data rights can be used to run reports that contain data based on the delegating user.	High			
GT69	General	Technical Overlay	Reporting & Analytics	The system shall include drill-down links in reports such that the user can click on aggregate data to see the underlying details with these drill-down capabilities created by end users.	High			
GT70	General	Technical Overlay	Reporting & Analytics	The system shall perform analytical trending and recognize data patterns, generate variance analysis reports and support predictive modeling.	High			
GT71	General	Technical Overlay	Reporting & Analytics	The system shall archive and purge reports through an automated process.	High	This is a requested feature, at least for Procurement, to help support purchasing decisions as well as policy and procedures		
GT72	General	Technical Overlay	Reporting & Analytics	The system shall provide standard user dashboards that can be customized, provide dashboard set-up options for each user role, capture sequential field editing, be able to filter as well, and allow users to drag and drop dashboard items onto tiles. The system will provide some dashboards natively and the option to add new dashboards.	High			

GENERAL-TECHNICAL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
GT73	General	Technical Overlay	Reporting & Analytics	The system shall load data into dashboards from multiple applications to provide cross-application views and reports and support multiple user views of configurable data (e.g., data lists, data graphs, calendar items, to-do items, workflow items).	High			
GT74	General	Technical Overlay	Reporting & Analytics	The system shall support real time inbound and outbound integrations including intra-application integrations between different ERP modules and web based integrations that can integrate disparate cloud and on-premise applications (e.g., project management tools, human resources applications). These capabilities should include web services and APIs to push and pull data (e.g., RESTful, HTTP, SOAP).	High			
GT75	General	Technical Overlay	Reporting & Analytics	The system shall allow users to create custom queries, reconciliation reports, and exception reports (based on County requirements).	High			
GT76	General	Technical Overlay	Reporting & Analytics	The system shall generate reports with a unique QR code that helps interface with ERMI (OnBase)	High	Mostly Financial reports have the QR code		
GT77	General	Technical Overlay	Integration	The system shall support integrations through flexible file formats and application integration tools that can invoke web services	High			
GT78	General	Technical Overlay	Integration	The system shall provide file-based loaders for large imports of data, spreadsheet loaders (e.g., Excel) and reporting tools that support exports through different file formats.	High	For all modules in ERP		
GT79	General	Technical Overlay	Integration	The system shall provide secure integration (e.g., provider-hosted SFTP server, subscriber-hosted SFTP server, PGP encryption, integration gateway).	High			
GT80	General	Technical Overlay	Integration	The system shall integrate with productivity tools / desktop applications (e.g., Microsoft Outlook) including both web-based and desktop versions of these applications.	High			
GT81	General	Technical Overlay	Integration	The system shall integrate with banking institutions and support the NACHA file format, addenda records for ACH transfers, and the Federal Electronic Data Interchange (FEDI).	High			
GT82	General	Technical Overlay	Integration	The system shall allow workflows to interact with interface processes (e.g., system workflow engine initiating outbound interface).	High			
GT83	General	Technical Overlay	Integration	The system shall support 3rd party unified communication tools (e.g., Microsoft Teams, Jabber)	High			
GT84	General	Technical Overlay	Network / Infrastructure	The system shall protect data through secure networks in both primary and secondary data centers and a security infrastructure designed to secure hosted systems from network-based attacks.	High	The Solution must satisfy the requirement of Security and Privacy controls defined in NIST 800-53 revisions 4 or 5, and adapt to later versions as released.		
GT85	General	Technical Overlay	Network / Infrastructure	The system shall maintain network controls including managed firewalls to protect and secure data during transmission to / from the hosted system (e.g., IP whitelisting, VPN).	High	The Solution must satisfy the requirement of Security and Privacy controls defined in NIST 800-53 revisions 4 or 5, and adapt to later versions as released.		
GT86	General	Technical Overlay	Network / Infrastructure	The system shall publish average system performance and latency metrics on a regular basis (e.g., Page Load Performance Over Time, Page Views and Page Load Performance, Enterprise Schedule Service Usage).	High			

GENERAL-TECHNICAL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
GT87	General	Technical Overlay	Network / Infrastructure	The system shall leverage system tools to monitor the availability and performance of the production services environment and the operation of infrastructure and network components. These system tools will support monitoring for all levels of the service infrastructure and generate alerts for CPU, memory, storage, database, network components, and transactions. Reporting dashboard/ad hoc reports.	High			
GT88	General	Technical Overlay	Network / Infrastructure	The system shall incorporate a comprehensive industry standard data backup strategy that includes redundant capabilities (e.g., power sources, cooling systems, telecommunications services, networking, application domains, data storage, physical and virtual servers, databases).	High			
GT89	General	Technical Overlay	Network / Infrastructure	The system shall optimize performance of system cloud solutions over the public internet and to monitor the health and performance of this cloud environment on a 24 / 7 / 365 basis. This capability should include use of third-party transaction accelerators to identify the most optimal route over the public internet to return transaction data to the end user.	High			
GT90	General	Technical Overlay	Network / Infrastructure	The system shall have ability to provide encrypted backups.	High			
GT91	General	Technical Overlay	Network / Infrastructure	The system has ability to provide encryption for data at risk EX: PII	High			
GT92	General	Technical Overlay	Network / Infrastructure	The system shall monitor networks to notify customers of any issues that may impact availability / latency issues through load balancing across all instances, monitoring the specific performance of each instance on a 24 / 7 basis, and taking proactive measures in the data center to ensure optimal performance of each instance.	High			
GT93	General	Technical Overlay	Network / Infrastructure	The system shall employ controls that satisfy the security and privacy requirements specified in the latest approved version of the County Cybersecurity policy, NIST 800-53, HIPPA, applicable A-C policies and their supporting documentation.	High			
GT94	General	Technical Overlay	Network / Infrastructure	The system shall keep all County data, including meta-data such as session, profile, usage and performance data within the continental U.S.A.	High			
GT95	General	Technical Overlay	Network / Infrastructure	The system shall support County data lifecycle (inception until its purged), including compliance with legal holds and data retention policies and directives, including the County's Record Retention Schedule, attached as Attachment 19 to the RFP.	High			
GT96	General	Technical Overlay	Network / Infrastructure	The system shall meet or exceed the RPO/RTO requirements defined in the A-C BCDR plan.	High	Recovery Process/Time Objective		
GT97	General	Technical Overlay	Network / Infrastructure	The system shall be evaluated regularly (i.e.. Scanned and pen tested) and patched promptly without compromising the confidentiality, integrity and availability of the County data.	High			
GT98	General	Technical Overlay	Network / Infrastructure	The system shall provide uninterrupted service during system maintenance. Any updates to the system must not disrupt County business and technical processes	High			

GENERAL-TECHNICAL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
GT99	General	Technical Overlay	Network / Infrastructure	The system is FED Ramp certified	High	It is strongly recommended that the solution is FED Ramp certified, and certification maintained.		
GT100	General	Technical Overlay	Network / Infrastructure	The system shall include a formal configuration and change management process. Process must include appropriate stakeholders to validate the changes. A quarterly change management report to be sent to AC-IT Director and AC-IT DISO. The County reserves the right to participate in any consequential investigation at the level of involvement deemed necessary by the County	High			
GT101	General	Technical Overlay	Network / Infrastructure	The system shall provide a notification of security breaches including those due to account misuse or system misconfigurations are to include notification to the Auditor Controller IT Director and the Auditor Controller DISO (CISO and Privacy Officer)	Low	To ensure that the solution meets the strongest industry security practices to protect County data and PII within the ERP solution.		
GT102	General	Technical Overlay	Network / Infrastructure	The system shall allow the system administrator to limit the real time access to a specific module by bringing it down for a defined time period.	High			
GT103	General	Technical Overlay	Access and Security	The system shall allow quarterly or on demand review of all administrative accounts. On demand requests must be fulfilled within 5 business days of receiving the on-demand request.	High			
GT104	General	Technical Overlay	Access and Security	The system shall support County and A-C Data lifecycle, including compliance with legal holds and data retention policies and directives	High			
GT105	General	Technical Overlay	Reporting & Analytics	The system shall design, create, customize, and modify summarized forms (reports) with selected data elements from system modules/documents. Ex: Purchase Order Summary, Journal Voucher Summary. These forms will be generated in various phases, e.g., draft, pending, or final and include a workflow log and document comments. The form will also be generated for user view in a separate window and generated in a printer friendly format similar to PDF.	High	For all modules and document types		
GT106	General	Technical Overlay	Reporting & Analytics	The system shall allow users to view compiled Procurement documents with information from various sections along with terms and conditions and/or with other procurement forms	High			
GT107	General	Technical Overlay	Data Refresh	The Contractor shall allow County to perform data refreshes from the Production environment to any non-production environments on demand. The refresh process of the non-production environment shall not exceed 24 hours.	High			
GT108	General	Technical Overlay	Data Refresh	The Contractor shall allow County to determine the refresh conditions. For example, refresh of certain data only or data masking/truncation of certain data to the non-production environments. It shall allow County to refresh data for specific database tables to the non-production environment on demand.	High			
GT109	General	Technical Overlay	Data Access	The Contractor shall provide County direct read-capability to the Production with a client database interface (e.g.; toad for Oracle).	High			
GT110	General	Technical Overlay	Data Access	The Contractor shall provide direct <u>read and write</u> capability to the non-Production databases with a client database interface (e.g.; toad for Oracle).	High			

GENERAL-TECHNICAL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
GT111	General	Technical Overlay	Network / Infrastructure	The system will not require a thick client piece to be installed or supported at the host level, and all access to the application will be through a web browser. The Contractor shall identify and obtain approval for any components of the solution that requires County install	High			
GT112	General	Technical Overlay	Network / Infrastructure	The Contractor shall have independent third-party security audits performed annually and a copy of the report shall be provided to the County. Reports from any additional security audits shall also be provided to the County	High			
GT113	General	Technical Overlay	Network / Infrastructure	The Contractor shall provide the County a copy of their Security Policy that includes system Reuse and Mass Storage Decommissioning Policies upon County request	High			
GT114	General	Technical Overlay	Network / Infrastructure	The security requirements will be reviewed by the County and the Contractor annually on the anniversary of contract award or more frequently as reasonably determined by the County to reflect changes in best practices and technology	High			
GT115	General	Technical Overlay	Data Ownership	The Contractor shall return data upon termination of the Contract or upon demand. The Contractor shall destroy County's data once the County has verified that all County data has been returned and have a 3rd party audit to confirm.	High			
GT116	General	Technical Overlay	Data Ownership	The system shall isolate County data from non-County data, including those belonging to other tenants. Use, sale, or access of such data is prohibited without County data owners' consent.	High			
GT117	General	Technical Overlay	Data Ownership	The Contractor shall use backups to recover/restore data in the event of an outage or incident with ability to restore to a specific back up or rollback to a specific time.	High			
GT118	General	General	Fraud Waste and Abuse Prevention and Detection	The system shall actively analyze County information for FWA behavior and generate alerts for potential FWA behaviors.	High			
GT119	General	General	Fraud Waste and Abuse Prevention and Detection	The system shall provide reasons why potential FWA alerts are generated.	High			
GT120	General	General	Fraud Waste and Abuse Prevention and Detection	The system shall track emerging FWA scenarios.	High			
GT121	General	General	Fraud Waste and Abuse Prevention and Detection	The system shall track individual cases of potential FWA and proactively prompt follow-up on open cases.	High			
GT122	General	General	Fraud Waste and Abuse Prevention and Detection	The system shall utilize machine learning to enhance the FWA function by analyzing prior FWA flags.	High			
GT123	General	General	Fraud Waste and Abuse Prevention and Detection	The system shall recommend changes to processes and/or policies to enhance internal controls	High			
GT124	General	General	Fraud Waste and Abuse Prevention and Detection	FWA detection shall be embedded end to end within all processes and during implementation of the new ERP system.	High			
GT125	General	General	Fraud Waste and Abuse Prevention and Detection	The system shall have a near real-time interactive dashboard to show outstanding FWA alerts by user/functional role.	High			

GENERAL-TECHNICAL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
GT126	General	General	Fraud Waste and Abuse Prevention and Detection	The system shall require County employees to certify quarterly or annually that they are not aware of any FWA being undertaken.	High			
GT127	General	General	Fraud Waste and Abuse Prevention and Detection	FWA behaviors that the system shall flag are the following hypothetical situations: potential fake employees; automated way to verify revenue completeness amongst all departments; possible vendor bid rigging; security permissions that would allow a user to bypass segregation of duties; serious abuse of County time (i.e., personal business); purchase of goods at inflated prices.	High			
GT128	General	General	Fraud Waste and Abuse Prevention and Detection	The system shall have a transparency portal that connects to multiple systems to allow for data inclusive and outside the ERP system.	High			
GT129	General	General	Fraud Waste and Abuse Prevention and Detection	The transparency portal's data architecture security would include partitioning for external consumption.	High			
GT130	General	General	Fraud Waste and Abuse Prevention and Detection	The transparency portal shall have near real-time information.	High			
GT131	General	General	Fraud Waste and Abuse Prevention and Detection	System functionality shall address Committee of Sponsoring Organizations (COSO) framework	High			
GT132	General	General	Fraud Waste and Abuse Prevention and Detection	Process List Automation: All individual processes, performed both manually and by the system, that make up an overall process, shall be documented within the system.	High			
GT133	General	General	Fraud Waste and Abuse Prevention and Detection	Process List Automation: The system shall track processes by employee or position, whether manual or within the system, to ensure processes are timely and properly completed.	High			
GT134	General	General	Fraud Waste and Abuse Prevention and Detection	The system shall have a near real-time interactive dashboard that shows progress of individual process completion that comprise an overall process.	High			
GT135	General	General	Fraud Waste and Abuse Prevention and Detection	The system shall provide a mechanism that prompts County employees certify quarterly or annually to ensure individual processes are completed.	High			
GT136	General	General	Fraud Waste and Abuse Prevention and Detection	The system shall allow users to add processes and individual tasks to the Process List Automation.	High			
GT137	General	General	Fraud Waste and Abuse Prevention and Detection	The annual ACFR process shall be included in the Process List Automation.	High			
GT138	General	General	Fraud Waste and Abuse Prevention and Detection	The annual Property Tax process shall be included in the Process List Automation.	High			
GT139	General	General	Fraud Waste and Abuse Prevention and Detection	The overall individual audit process shall be included in the Process List Automation, including GANN, Single Audit, and Tobacco Settlement Revenue.	High			
GT140	General	General	Fraud Waste and Abuse Prevention and Detection	General reconciliation processes shall be included in the Process List Automation.	High			
GT141	General	General	Fraud Waste and Abuse Prevention and Detection	The budget process including the annual "budget book" reporting process shall be included in the Process List Automation.	High			

GENERAL-TECHNICAL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
GT142	General	General	Fraud Waste and Abuse Prevention and Detection	The periodic payroll tax remittance, 1099, and W-2 processes shall be included in the Process List Automation.	High			
GT143	General	General	Fraud Waste and Abuse Prevention and Detection	The bi-weekly payroll process shall be included in the Process List Automation, including timesheet submission to Direct Deposit completion, and ensuring that all appropriate employees are paid.	High			
GT144	General	General	Fraud Waste and Abuse Prevention and Detection	The contracting for individual procurements process shall be included in the Process List Automation, from RFP drafting to contract award.	High			
GT145	General	General	Fraud Waste and Abuse Prevention and Detection	The purchase requisition to payment process shall be included in the Process List Automation.	High			
GT146	General	General	Fraud Waste and Abuse Prevention and Detection	The register a new vendor process shall be included in the Process List Automation.	High			
GT147	General	General	Fraud Waste and Abuse Prevention and Detection	The individual recruitment process shall be included in the Process List Automation, from job bulletin drafting to eligibility list creation to employee onboarding.	High			
GT148	General	General	Internal Controls and Other Processes	System functionality shall address the Committee of Sponsoring Organizations (COSO) framework.	High			
GT149	General	General	Internal Controls and Other Processes	All system and manual IC's shall be documented within the system.	High			
GT150	General	General	Internal Controls and Other Processes	Process workflows from system and manual IC's (post implementation) shall be documented within the system.	High			
GT151	General	General	Internal Controls and Other Processes	GRC shall be periodically monitored within the system.	High			
GT152	General	General	Internal Controls and Other Processes	GRC shall be evaluated by the system to identify areas of redundancy.	High			
GT153	General	General	Internal Controls and Other Processes	GRC shall be evaluated by the system (and conducive for human review of the evaluation) for effectiveness, recommending where IC's are too stringent or where further IC's are needed.	High			
GT154	General	General	Internal Controls and Other Processes	The system shall evaluate testing of IC's to ensure compliance.	High			
GT155	General	General	Internal Controls and Other Processes	The system shall have a real-time interactive dashboard with analytics to identify gaps in IC compliance	High			
GT156	General	General	Internal Controls and Other Processes	IC compliance shall be traceable and embedded in end-to-end implementation methodology.	High			
GT157	General	General	Internal Controls and Other Processes	The system shall have real-time IC process monitoring.	High			
GT158	General	General	Internal Controls and Other Processes	The system shall provide a mechanism for County employees to certify quarterly or annually that the internal controls where they are responsible are working appropriately and are not aware of any internal controls that are not working.	High			
GT159	General	General	Internal Controls and Other Processes	Process Analysis/Process Mining: The system shall identify performance impacts for existing and new process flows to make them more efficient and streamlined.	High			
GT160	General	General	Internal Controls and Other Processes	The system shall monitor process performance in a visual manner for both retained legacy systems and the new ERP system.	High			

GENERAL-TECHNICAL REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
GT161	General	General	Internal Controls and Other Processes	<p>The system shall support RPA/ML to automate a limited quantity of key functions with the highest impact within Financial, Budget, Payroll, Procurement and Human Resources modules (ie., ~20% of eligible RPA/ML automations) at "Go Live" which include, but aren't limited to, the following considerations:</p> <p>Lowest expected maintenance</p> <p>Lowest Level of effort</p> <p>Meeting identified Key Performance Indicators</p>	High			

LIST OF INTERFACES

The County currently has the below interfaces in place to meet business needs. For each interface below, please indicate in the Proposer's Notes column how the ERP System satisfies the business needs (such as via a feature, function, or capability within the ERP System or via interface/integration). Please be advised that there may be additional interfaces discovered during the implementation phase.

Define Inbound & Outbound

S.No	Business Area	Type	Interface System	Interface System Description	Business Use / Purpose of Interface	Interfacing System From	ERP Module to Interface with	Frequency	Proposer's Module	Proposer's Capability
IF01	Human Resources	Inbound	OC METER	OC Meter is the County's Employee Reimbursement System that's powered by SAP Concur. The interface is the Standard Accounting Extract that includes chart of account data, employee profile data, and related data for employee travel expenses, educational and tuition expenses, mileage, and other expenses.	The interface is used for ERP-HR to determine the expenses to reimburse employees.	OC METER	ERP -HR Payroll	Bi-Weekly		
IF02	Human Resources	Inbound	OC TIME	OC TIME is the Employee Timesheet System that's powered by Workforce. This interface file includes employee profile data, chart of accounts data leave balances and time entry.	The interface is used for timesheet adjustments to post employee time.	OC TIME	ERP - HR Payroll	Bi-weekly/On Demand		
IF04	Human Resources	Inbound	Alight - Benefits	This interface is part of the Benefits Self-Service system, Alight. Payroll files are sent to us every non-payday Thursday and includes changes to employee benefits (i.e., health, dental, life, etc.), optional benefits plan payments, retiree medical lump sum payments, domestic partners imputed income, and life imputed income.	These files are used to process changes to employees' benefits, pay employee's optional benefits plan and/or retiree medical lump sum payments, and process imputed income.	Alight	ERP- HR Payroll	Bi-Weekly		
IF05	Human Resources	Inbound	VTI (Virtual Time Interface)	This is a virtual timesheet system used by the Superior Court. This file interfaces employee profile data, time entry, and timesheet elements such as chart of accounts data.	The interface is only used by courts for timesheet adjustments to post employee time.	VTI	ERP - HR Payroll	Bi-Weekly		
IF06	Human Resources	Inbound	Empower	This is an inbound interface from our deferred compensation vendor, Empower. It includes deferral (deduction) files, for 457, ROTH, and loans taken from Empower. There are 5 inbound files received every non-payday Wednesday and Thursday.	These files are taken by CAPS the morning of every non-payday Friday and loaded as miscellaneous documents to process employee's election changes, new elections, and deferred compensation loans.	Empower	ERP - HR Benefits	Bi-Weekly		
IF07	Human Resources	Inbound	ESS	This interface is part of the current in-house, custom Employee Self-Service system, which is a candidate for replacement by the new ERP. It consists of three files, one for each of the sections that employees can access. (1) W4, contains employee federal and state tax information, including additional withholding amounts (2) Supervisor ID, includes employee profile data, supervisor name and supervisor id (3) Contributions, contribution details for associations to United Way, Sheriff Advisory Council, District Attorney and Deputy Public Defense Associations.	This is used by employees to view their employee tax information (W4), supervisor id updates, and contribution details.	ESS	ERP - HR	Daily (sup id), Bi-Weekly		
IF08	Human Resources	Inbound	OCEA	This interface is for the Orange County Employees Association, bargaining unit. These files contain employee profile data, title code, rep unit, and union dues information.	This file is converted into a document to be used for supplemental deductions. These deductions include benefits available from OCEA and selected by the employee (i.e., dental, vision, etc.).	OCEA	ERP- HR Benefits	Bi-Weekly		
IF09	Human Resources	Inbound	Wells Fargo	As part of the payroll process, this interface communicates with Wells Fargo bank. The interfaced file contains employee profile data, check advise number, check date and check amounts.	This file is used to reconcile checks by providing check status (stale-dated, cleared, outstanding, etc.).	Wells Fargo	ERP -HR	Daily		
IF10	Human Resources	Inbound	MIM	This interface from the Microsoft Identity Management (MIM) system that serves as the County's Identity and Access Management. It contains employee id information as the matching key and feeds data into the ERP system; including email address and login ID.	This serves as the repository of user network accounts from all departments' individual Active Directory.	MIM	ERP-HR	Daily		
IF11	Human Resources	Outbound	Sedgwick WC	Sedgwick is a claims management system. This interface file is requested from the Risk Management CEO and contains employee personal and profile data such as home address, date of birth, employee id, hire date, position, title, work address, supervisor information, and work hours.	The Sedgwick Claims Management Services (SCMS), Inc. HR interface is used to transfer HR data received from external sources into the claims management system. The SCMS examiners use this information to properly manage absences and make payments to and on behalf of the client's employees	Sedgwick WC	ERP HR	Daily		
IF12	Human Resources	Outbound	Affordable Care Act	This interface file reports total qualifying hours of every pay period worked for every individual employee. This file gets transmitted to Alight the night of every payday Friday.	This file is used to comply with the Affordable Care Act. By law, it is required to report this information.	ERP-HR	Alight	Bi- Weekly		

LIST OF INTERFACES

The County currently has the below interfaces in place to meet business needs. For each interface below, please indicate in the Proposer's Notes column how the ERP System satisfies the business needs (such as via a feature, function, or capability within the ERP System or via interface/integration). Please be advised that there may be additional interfaces discovered during the implementation phase.

Define Inbound & Outbound

S.No	Business Area	Type	Interface System	Interface System Description	Business Use / Purpose of Interface	Interfacing System From	ERP Module to Interface with	Frequency	Proposer's Module	Proposer's Capability
IF13	Human Resources	Outbound	Wells Fargo Paystub Portal	This is used by the ERP system to send a file to Wells Fargo bank containing bank account information, pay check amount, employee name, check advise number, deductions, leave balances, year to date amounts.	This is used to provide payment amount to be deposited into employee's bank account via direct deposit and provides a listing of partial account reconciliation plan (ARP).	ERP HR Payroll	Wells Fargo, Paystub portal	Bi-Weekly (On Demand)		
IF14	Human Resources	Outbound	Alight	This interface is part of the Benefits Self-Service system. It contains 12 outbound files; some are daily, and others are every payday Friday since they contain payroll information. Additional information included are reference table data, employee roster, pay detail, hours worked and employee profile information such as the employee's address, social security, title, position, etc.	These files are used so Alight can setup employees' benefits and eligibility accordingly. They are also used to calculate the YTD deduction and contribution amounts.	ERP HR Benefits	Alight	Bi-Weekly		
IF15	Human Resources	Outbound	Mission Square	This interface is part of the Health Reimbursement Arrangement administrator, Mission Square. It contains two files; one is a roster and the other is the biweekly contribution file.	This file is to show how much deduction or employer fringe the employee received in their paycheck. This amount then gets transmitted to Mission Square, to reflect in the employee's Health Reimbursement Arrangement account.	ERP HR Benefits	Mission Square (ICMA)	Bi-Weekly		
IF16	Human Resources	Outbound	Empower	This interface is part of the deferred compensation vendor, Empower. There are 3 files that are sent to the vendor bi-weekly; 2 files contain employee deferred compensation contributions and one file is used to identify term/rehire information. This information includes employee roster, employee data, and employment information for rehires, separations, etc.	This file lets Empower know how much was deducted from the employee's paycheck. The amount then get transmitted to the employee's Empower account and the money is placed in the employee's selected portfolio.	ERP HR Benefits	Empower	Bi-Weekly		
IF17	Human Resources	Outbound	BigDownExtract	This interface is used by multiple agencies to generate files and drop them into File Transfer Protocol (FTP), allowing external vendors to pick up files. It contains employee data, including personal information, assignment information, leave balances, pay parameter information for premium pay such as bilingual and certification pay.	This is used to generate reports for vendor access and for extracting employee data and dropping it to the corresponding agency folder.	ERP-HR	County Agency FTP	Daily		
IF18	Human Resources	Outbound	OCEA	This interface is for the Orange County Employees Association (OCEA), bargaining unit. These files contains employee profile data, title code, rep unit, and union dues information.	This file is used to provide employee union dues information, and employee indicative data file (IDF) info.	ERP - HR	OCEA	Bi - Weekly		
IF19	Human Resources	Outbound	OnBase	Hyland OnBase is a system of records containing scanned and digital images of personnel actions, employee profile information, and paystub details, etc.	This file is used to load the extracted HR documents into OnBase (DIP files). Once loaded, this serves as a repository.	ERP - HR	OnBase	Daily		
IF20	Human Resources	Outbound	HR Data Portal	This interface file contains HR files with HR related data, i.e., title, position, department, assignments, employee leave balances, employee hourly rates.	This file is used as a table download to OC IT	ERP-HR	HR Data Portal System	Daily		
IF21	Human Resources	Outbound	Equifax	This interface sends HR information to Equifax. The file contains employee name, SSN, title description, pay period end date, check date, and gross pay for the pay period.	This file is sent to Equifax for employee verification and unemployment verification.	ERP - HR	Equifax	Bi-Weekly		
IF22	Human Resources	Outbound	Hire Tech	This interface sends HR information to HireTech. The file contains employee profile data, position, title and salary.	This file is sent to HireTech bi-weekly for employee verification and unemployment verification.	ERP - HR	HireTech	Bi-Weekly		
IF23	Human Resources	Outbound	Garnishments	The ERP HR system communicates with the ERP Financial system. This interface sends garnishment files from the HR to Financial containing garnishment deductions taken from employees, i.e., IRS levies and Federal Tax Board levies	This file is used to produce garnishment payments.	ERP-HR	ERP-FS	Bi-Weekly		
IF24	Human Resources	Outbound	Child Support	This interface file is used to send employee profile data and bank account information from standard ACH to the bank.	This is used for deduction information relating to child support payments from employees	ERP- HR	Wells Fargo	Bi-Weekly		
IF25	Human Resources	Outbound	HCA Cority	Cority is a health care agency used for FMLA. This interface contains employee profile data, employment status, position and title information, and hours pertaining to FMLA.	This is file is used as a record of health care metrics to clear employees to return to work.	ERP-HR	Cority	Daily		
IF26	Human Resources	Outbound	Internal Audit (IAD) Extract	This interface file is as an internal audit extract that contains employee data.	This file is used for the employee payment information audit file.	ERP-HR	IAD-FTP	Bi-Weekly		

LIST OF INTERFACES

The County currently has the below interfaces in place to meet business needs. For each interface below, please indicate in the Proposer's Notes column how the ERP System satisfies the business needs (such as via a feature, function, or capability within the ERP System or via interface/integration). Please be advised that there may be additional interfaces discovered during the implementation phase.

Define Inbound & Outbound

S.No	Business Area	Type	Interface System	Interface System Description	Business Use / Purpose of Interface	Interfacing System From	ERP Module to Interface with	Frequency	Proposer's Module	Proposer's Capability
IF27	Human Resources	Outbound	Eureka	Eureka is the County's professional development learning system that's powered by Cornerstone on Demand. This interface sends a file from HR to Eureka containing employee credentials, employee identity information, and assignment information such as department, position, supervisor, etc.	This file is used to setup employee access to the system. The access is used for new employee training, continued learning for active employees and mandatory training (i.e., harassment training, IT security awareness, etc.).	ERP-HR	Eureka	Daily		
IF28	Human Resources	Outbound	OCERS	OCERS is the Orange County Employee Retirement System. This interface contains employee information such as address, SSN, employee data, pay amounts including premium pay, service hours, employee and employer retirement.	This file is used to gather employee details (IDF) related to retirement, i.e., deduction amount, and personal details.	ERP-HR	OCERS	Bi-Weekly		
IF29	Human Resources	Outbound	MIM	Using Employee ID as the matching key, the system receives data from the ERP for the purposes of user-provisioning and de-provisioning. Data include employment status and supervisor ID.	The County's Microsoft Identity Management (MIM) system serves as the repository of user network accounts from all departments' individual Active Directory.	ERP-HR	MIM	Daily		
IF30	Human Resources	Outbound	Virtual Time Interface (VTI)	VTI is the virtual timesheet used by Superior Court. It contains employee data, chart of account data, and leave banks.	This file is sent to courts to identify employee status, employee file, unit, and job number to populate VTI employee database.	ERP-HR	VTI	Daily		
IF31	Human Resources	Outbound	OCPW	This interface is for OC Public Works (OCPW), a County Department. The file contains employee profile data, chart of account elements, and employee earnings data.	This file is for internal use by OCPW. It is used for cost accounting, to track job costing and cost-apply, and to reimburse agencies.	ERP-HR	OCPW FTP	Bi-Weekly		
IF32	Human Resources	Outbound	EDD	This interface relates to the Employment Development Department (EDD). The file contains employee profile data, quarterly wage earnings, and state and tax deductions for reporting to EDD.	These quarterly files are used to report employee wage earnings, plus state and tax deductions to EDD.	ERP-HR	EDD	Quarterly		
IF33	Human Resources	Outbound	BRASS-PB	BRASS is the County's performance budgeting system that's powered by CGI Advantage. This file contains employee position information to enter into performance budgeting system.	This is used for reporting and provide employee position information for budgeting/forecasting.	ERP-HR	PB	Daily		
IF34	Human Resources	Outbound	SEIU	This interface file is for the Service Employees International Union (SEIU) and contains employee deduction amounts.	This is used for SEIU member deductions.	ERP-HR	SEIU	Bi-Weekly		
IF35	Human Resources	Outbound	Superior Courts	This interface file is used to create a report. It contains chart of account elements, employee data, job numbers, and employee earnings.	This is used to track labor cost and expenses for Superior Court employees.	ERP-HR	Courts FTP	Bi-Monthly		
IF36	Human Resources	Outbound	Teamsters	This interface is for the Teamsters bargaining unit. These files contain employee profile data, title code, rep unit, and union dues information such as deduction amounts.	This is used to provide employee union dues information.	ERP-HR	Teamsters	Bi-Weekly		
IF37	Human Resources	Outbound	OC TIME	OC TIME is the Employee Timesheet System that's powered by Workforce. This interface file includes employee profile data, chart of accounts data, and leave balances.	This data is used to populate employee timesheet.	ERP-HR	OC TIME			
IF38	Human Resources	Outbound	PAM	This is the Payroll Accounting Management (PAM) system file that's powered by CGI Advantage, containing employee profile data, chart of accounts data, and salary and benefit information.	This is used for recording salary and benefits information in the Finance system.	ERP-HR	ERP-FS	Payroll cycle		
IF39	Human Resources	Outbound	NeoGov/HR Data Portal	NeoGov is a third party tool used for recruitment, this file sends title schematics including title code, grade/step, and min/max salary information.	This is used to track Title Schematics.	ERP-HR	NeoGov/HR data portal	Daily		
IF40	Human Resources	Outbound	Social Services Agency (SSA)	This file is sent to SSA containing employee personal data, wages, deductions, withholdings for IRS W2 reporting.	This is used for W2 information.	ERP-HR	Social Security	Yearly		
IF41	Human Resources	Outbound	Social Services Agency (SSA)	This file is sent to SSA containing employee name, date of birth, gender, and social security number.	This is used for employee SSN numbers.	ERP-HR	Social Security	Bi - Weekly		

LIST OF INTERFACES

The County currently has the below interfaces in place to meet business needs. For each interface below, please indicate in the Proposer's Notes column how the ERP System satisfies the business needs (such as via a feature, function, or capability within the ERP System or via interface/integration). Please be advised that there may be additional interfaces discovered during the implementation phase.

Define Inbound & Outbound

S.No	Business Area	Type	Interface System	Interface System Description	Business Use / Purpose of Interface	Interfacing System From	ERP Module to Interface with	Frequency	Proposer's Module	Proposer's Capability
IF42	Finance	Inbound	CALSAWS	CALSAWS is a state welfare system. The system provides a file to Auditor Controller (AC) of the distributions containing payment history to 1099 vendors for IRS reporting.	The interface is used for IRS reporting and issuance of 1099.	CALSAWS	ERP-Finance	Yearly		
IF43	Finance	Inbound	OUT checks	Auditor-Controller receives a file from Wells Fargo containing all the outstanding checks issued and all the paid checks for the prior business day	The interface is used to help with daily reconciliation of the activity data received from the bank.	Bank (Wells Fargo)	ERP-Finance	Daily		
IF44	Finance	Inbound	JV-003 Journal Voucher Files	Multiple interface files received from several County departments containing all their Journal Voucher (JV) details	The multiple interface files received from County departments are used to process the JV's which include labor distributions and job charges. If an agency provides an excel file, then AC converts them into a JV format before processing	Respective systems - Various Depts., MS Excel uploads	ERP-Finance	Daily		
IF45	Finance	Inbound	Payroll Accounting Management (PAM)	This contains multiple interface files from existing ERP-HR (CAPS+) PAM module powered by CGI Advantage. It contains labor distributions data such as chart of accounts	The file from ERP-HR Payroll (CAPS+) has labor charge transactions used to update the finance module within the ERP system	ERP - HR Payroll (CAPS+)	ERP-Finance	Weekly		
IF46	Finance	Inbound	Cash Receipt	This interface is the collections of all cash transactions from several County public facing departments	The interface is used to log the cash receipts data into the accounting books.	Various County Depts.	ERP-Finance	Daily		
IF47	Finance	Inbound	Budget Load	This interface is the board approved budget for the next Fiscal Year by each department	The interface is used to load the ERP finance module with the approved budget related details at the beginning of the Fiscal Year from CEO's Performance Budget System	PB system	ERP-Finance	Yearly		
IF48	Finance	Inbound	Payment Files w/Commodity	This contains multiple interface files from various County departments. The files contain all the payment requests information such as commodity payments and services rendered.	The interface data is used to process the payment requests for commodities received, utilities, etc.	Various Depts., Office Depot, Staples	ERP-Finance	Daily		
IF49	Finance	Inbound	Payment Files w/o Commodity	This interface is used by various departments. The file contains various types of payment requests	GAI files are used across various agencies and courts etc. for refunds, garnishments or services rendered	Various Depts.	ERP-Finance	Daily		
IF50	Finance	Inbound	Job Number (JN) Document Input	This is multiple interface files from various County departments containing all the job number information created by the agencies	The interface is used to import all the job numbers from various County departments into the ERP Finance module	Various Depts.	ERP-Finance	Daily		
IF51	Finance	Inbound	Check Register	This interface is the check register details from the state systems for social services agency and child support services	The interface is used to register the checks and associated activity	SSA-CALSAWS & CSS	ERP-Finance	Daily		
IF52	Finance	Inbound	CASH balance	This interface is a file from the Treasurer-Tax Collector (TTC), County department. It contains all cash balances for each fund	This interface is used to load the cash balance for each fund from the file provided by TTC that helps with reconciliation of books	TTC	ERP-Finance	Monthly		
IF53	Finance	Inbound	Budget Adjustments	This interface is a file from Performance Budgeting system (PB), powered by CGI Advantage. It contains quarterly budget adjustments	The file is used by PB to load information into the finance module.	PB system	ERP-Finance	Quarterly		
IF54	Finance	Inbound	Payment Trailer Recon	This interface contains multiple payment request files from various County agencies (referred in line items IF48 and IF49) for authorization	This interface data is used to allow designated staff to authorize the payment request files received in line items IF48 and IF49.	Various Depts.	ERP-Finance	Daily		
IF55	Finance	Inbound	Paid Checks	This interface uses the paid check/status data in line item IF43 and updates the status in the ERP accordingly	The interface data is used to create paid checks file using the data from bank files (line item IF43-Out Checks)	Bank	ERP-Finance	Daily		
IF56	Finance	Outbound	Accounts Payable (AP) and Trust EFT to Wells Fargo	This interface contains the electronic fund transfer (EFT) data from account payable and trust accounts	The interface is used to load the EFT data from AP and Trust accounts to Wells Fargo bank.	ERP	Bank	Mon-Fri		
IF57	Finance	Outbound	AP and Trust & CALSAWS Welfare Checks to Wells Fargo	This interface contains multiple files of the check data from account payable, trust accounts, and CALSAWS (state welfare system) information to be sent to the bank	The interface is used to transfer check register details from accounts payable, trust accounts, and the state welfare system CALSAWS to the Wells Fargo bank	ERP	Bank	Mon-Fri		
IF58	Finance	Outbound	EFT Email Notification to Payee	This interface generates email to individual payee with the description of their payments from EFT in line item IF56	This interface is used to generate an email to the individual recipients with their payment remittance advice details	ERP	County Vendors	Mon-Fri		

LIST OF INTERFACES

The County currently has the below interfaces in place to meet business needs. For each interface below, please indicate in the Proposer's Notes column how the ERP System satisfies the business needs (such as via a feature, function, or capability within the ERP System or via interface/integration). Please be advised that there may be additional interfaces discovered during the implementation phase.

Define Inbound & Outbound

S.No	Business Area	Type	Interface System	Interface System Description	Business Use / Purpose of Interface	Interfacing System From	ERP Module to Interface with	Frequency	Proposer's Module	Proposer's Capability
IF59	Finance	Outbound	Accounts Payable (AP) Checks	This interface contains the files with necessary details to allow printing of the accounts payable checks	The interface is used to send information to the printer at data center/Auditor-Controller to allow printing of physical checks in a specific format	ERP	Data Center Printer/AC printer	Mon-Fri		
IF60	Finance	Outbound	Trust Checks	This interface contains the files with necessary details to allow printing of the trust checks	The interface is used to send information to the printer at data center/Auditor-Controller to allow printing of physical checks in a specific format .	ERP	Data Center Printer/AC printer	Mon-Fri		
IF61	Finance	Outbound	Welfare Paid Items extract for CALSAWS	This interface contains the paid CALSAWS checks from bank (for the data received in line item IF43)	The interface is used to send the paid check details to CALSAWS system	ERP	CALSAWS	Mon-Fri		
IF62	Finance	Outbound	CALSAWS EDD file	This interface file contains with reportable income of independent contractor from CALSAWS (a state welfare system) to employee development department (EDD)	The data from the interface files is used to send reportable income to EDD in a specified format	AC Claims/Compliance	EDD	Bi-Monthly		
IF63	Finance	Outbound	ETB Check Export	The interface contains a file with telephone billing payment details	The interface data is used to send the telephone billing information to OCIT	ERP	OCIT	Daily		
IF64	Finance	Outbound	Risk Mgmt.	This interface file contains judgement and damage data from Property & Casualty Risk ISF department.	This file is used for accounting journal details from Property and Casualty Risk ISF Fund.	ERP	Risk Management	Daily		
IF65	Finance	Outbound	IT Brass	This interface contains various files for use by Performance Budgeting, a CGI Advantage system	This file is used to provide chart of accounts, encumbrances, expense, revenue transactions, and modified budget (exp and rev data) information	ERP	PB System	Monthly		
IF66	Finance	Outbound	OCPW SAR Extract	This interface downloads general accounting data to Santa Ana River (SAR) project.	This is used to provide accounting information provided as a file	ERP	OCPW - SARPS	Monthly		
IF67	Finance	Outbound	OCPW FACops	This interface contains journal accounting data for internal use by Orange County Public Works (OCPW), a County department	This is used for program and labor extracts from Payroll Accounting Management to OCPW	ERP	OCPW	Daily		
IF68	Finance	Outbound	Utility Billing Management System (UBMS) Check export	This interface contains utility billing payment data	This is used as part of the OCPW utility billing file for payment purposes	ERP	Energy Cap	TBD		
IF69	Finance	Outbound	Probation Extract	This file contains checks information such as check number and amount for Probation, a County department's payment request	This is used for trust fund information, warrant information, and check details	ERP	Probation	Bi-Monthly		
IF70	Finance	Outbound	Restirar of Voters	The interface is used by the Registrar of Voters (ROV). This file contains journal accounting data (registered voters)	This is used to report budget expense and revenue budget to actual data, and contracts and invoices	ERP	ROV	Monthly		
IF71	Finance	Outbound	Paid (PD) Tax Refund	This interface is for Paid Tax Refund. It contains paid checks data.	When checks are issues and cashed, this is used to report the check status to the in-house Property Tax System for tax refund checks.	ERP	AC -PTS	Daily		
IF72	Finance	Outbound	Cash and Trailer Receipts, Cash Disbursements	This interface file contains cash receipt components such as deposits, cash, card receipts, trailer receipts, and cash disbursements	This file goes to Treasurer Tax Collector (TTC), a County department and is used to identify the various types of deposits, such as cash, checks, credit card receipts, trailer receipts, and cash disbursements	ERP	TTC-FAS	Daily		
IF73	Finance	Outbound	Interface to TTC	This interface is used by Treasurer-Tax Collector (TTC), a County department. The file contains journal vouchers.	This file is used for Cash JV etc. as a file to Fund Accounting System (FAS), an in-house County system	ERP	TTC-FAS	Daily		
IF74	Finance	Outbound	Accounting journal	This interface is used with OC Courts. The file contains journal accounting data for internal use.	This file is used to help reconcile labor costs by providing accounting details and transactions for department V-110 to courts	ERP	OC Court	Bi-Monthly		
IF75	Finance	Outbound	Chart of Accounts (COA) Unit code	This interface is used to transfer unit table from FIN to HR / chart of accounts unit table	This file is used for chart of accounts elements from the financial system to the human resources system	ERP	HR ERP MODULE	Daily		
IF76	Finance	Outbound	OCPW Transportation	This interface is used for OCPW Fleet services, a division within a County department. The file provides general accounting data	This is used for Check Register Details - monthly extract to reconcile invoices between ERP and OCPW Fleet Anywhere systems	ERP	OCPW FLEET FOCUS	Monthly		
IF77	Finance	Outbound	Orange County Community Resources (OCCR) Budget	This interface is used by Community Resources, a County department. It contains general accounting data for internal use.	This file provides a monthly extract of expenditures, revenues, balance sheet account (BSA), and budget info to OCCR	ERP	OCCR	Monthly		
IF78	Finance	Outbound	Expediter- Dept. Contract	This file contains an extract of contracts and information such as encumbrances purchasing data, master agreements etc., for CEO Expediter, an in-house County application	This is used to provide contract, encumbrance, and payment details	ERP	County App	Daily		

LIST OF INTERFACES

The County currently has the below interfaces in place to meet business needs. For each interface below, please indicate in the Proposer's Notes column how the ERP System satisfies the business needs (such as via a feature, function, or capability within the ERP System or via interface/integration). Please be advised that there may be additional interfaces discovered during the implementation phase.

Define Inbound & Outbound

S.No	Business Area	Type	Interface System	Interface System Description	Business Use / Purpose of Interface	Interfacing System From	ERP Module to Interface with	Frequency	Proposer's Module	Proposer's Capability
IF79	Finance	Outbound	External Auditor	This interface contains general accounting data for external auditor	This is used to provide accounting details for a file generated to the external auditor	ERP	AC	Monthly		
IF81	Finance	Outbound	Shipping & Billing Address	This file includes shipping and billing address information, this table is downloaded and sent to OCPW, a County department	This is used to obtain shipping & billing address information.	ERP	OCPW	Daily		
IF82	Finance	Outbound	PIMS - E-Builder	PIMS E-Builder, a third-party tool is used by OCPW, a County department. This file contains balance sheet account info	This is used to provide OCPW PIMS transactional listing information, reference information, balance sheet information, expense budget to actual and revenue budget to actual information	ERP	OCPW -E Builder	Daily		
IF83	Finance	Outbound	Asset Inventory Management (AIM)	AIM is a third-party tool, used by OCPW, a County department. This file contains job cost detail and chart of account tables	This is used to build the AIM system. Job cost detail and all reference data files chart of accounts - several files	ERP	OCPW-AIM	Daily		
IF84	Finance	Outbound	Check Status Details	This is used by CALSAW, a California state welfare system. It contains information regarding stale dated checks over 100 days send data to CALSAW.	Used to register in CALSAW system / Check status details (stale dated)	ERP	CALSAW, AC Claims	Monthly		
IF85	Finance	Outbound	Paid Check to ERMI	ERMI is a document storage system that uses Hyland Onbase. The file sends PDF image of cashed checks (ap, trust, calsav, payroll) provided by the bank.	Used for storage / and accessed by users who have ara clearance. Paid check images from the bank file and the check details to ERMI (On Base)	ERP	ERMI	Daily		
IF86	Finance	Outbound	1099 Reporting	This interface files contains 1099 reportable income information.	This is used to report yearly vendor income to IRS, print 1099 form, and distribute to vendor.	ERP -Finance	IRS	Yearly		

TIME ATTENDANCE REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
The County currently has a time & attendance solution in place but would like to seek if the functionality is offered as part of the proposed ERP System for the below requested high level time & attendance requirements.								
TA01	Human Resources	Time Management	Time & Attendance	The system shall have different user roles with varying permissions where access can be controlled by administrator	Low	Role based access		
TA02	Human Resources	Time Management	Time & Attendance	The system shall have a time and attendance module that allows to create employee groups (exempt, non-exempt, admin etc.) and policy profiles for each group	Low			
TA03	Human Resources	Time Management	Time & Attendance	The system shall process groups and group profiles	Low	Requirements grouped into policy profiles that define functionality and calculations to apply to group of employees. Each employee group that has different rules High its own policy group		
TA04	Human Resources	Time Management	Time & Attendance	The system shall define timesheet periods and a biweekly pay frequency for employee groups	Low			
TA05	Human Resources	Time Management	Time & Attendance	The system shall allow employee/supervisor to input their regular work schedule which shall then populate the calendar and the schedule tab through a workflow	Low	Various Pay codes can be used . Ability to upload the schedule via excel		
TA06	Human Resources	Time Management	Time & Attendance	The system shall allow the employee to submit a request for schedule change that follows a workflow process for approval prior to applying the change in the system	Low			
TA07	Human Resources	Time Management	Time & Attendance	The system shall allow different organization of schedules by groups or job/model.	Low	Scheduling unit - lower level of grouping for scheduling. Models are the specific activities/shifts to which employees are assigned on schedules		
TA08	Human Resources	Time Management	Time & Attendance	The system shall integrate with County systems to bring in activity based costing data	Low	OCPW- LMS and Mainstar, Sheriff timekeeping import		
TA09	Human Resources	Time Management	Time & Attendance	The system shall export individual timecards PDF/images to OnBase document archiving system biweekly	Low	Interface		
TA10	Human Resources	Time Management	Time & Attendance	The system shall allow employees to input timesheet on a user friendly layout defined by combination of the employee group and the applicable functionality	Low	The ability to do the same on a mobile phone		
TA11	Human Resources	Time Management	Time & Attendance	The system shall allow employees to initiate shift swapping using a defined set of rules	Low	Rules to be defined by County		
TA12	Human Resources	Time Management	Time & Attendance	The system shall apply rotation patterns allowing scheduling of employees to a defined sequence	Low	Specific to days of the week or moving between evening and night shifts		
TA13	Human Resources	Time Management	Time & Attendance	The system shall allow employees to log time and attendance by selecting or entering valid job codes and pay codes	Low	Pay codes for reporting or classifying specific types of work time		
TA14	Human Resources	Time Management	Time & Attendance	The system shall allow the use of holiday codes to accommodate standard US holidays in the calendar and additional holiday calendars; Comply with eligibility rules to qualify for holiday pay on paid holidays	Low	Allows employee to take an alternate day off for working on a holiday		
TA15	Human Resources	Time Management	Time & Attendance	The system shall track the leave/time off with accrual rules based on length of service	Low			
TA16	Human Resources	Time Management	Time & Attendance	The system shall track time off against the time banks (balances) for various types of leave codes complying to the calculation rules	Low	Bank/balance calculation rules are to be provided by County		

TIME ATTENDANCE REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
The County currently has a time & attendance solution in place but would like to seek if the functionality is offered as part of the proposed ERP System for the below requested high level time & attendance requirements.								
TA17	Human Resources	Time Management	Time & Attendance	The system shall have built in validations to comply with all calculation rules, input errors for schedules and time. Generate on-screen messages to prevent inaccurate submissions/approvals	Low			
TA18	Human Resources	Time Management	Time & Attendance	The system shall allow customization of rounding and gracing rules	Low	Rounding or gracing for 5 minutes increments for some Departments		
TA19	Human Resources	Time Management	Time & Attendance	The system shall not allow modifications by the employee once a timesheet is submitted	Low			
TA20	Human Resources	Time Management	Time & Attendance	The system shall allow the supervisor to approve/reject the timesheets for their staff one or multiple at a time	Low	Ability to do the same on a mobile; reporting structure is direct employee- approvee relations defined in the master data by County		
TA21	Human Resources	Time Management	Time & Attendance	The system shall allow a timecard approver to delegate a back up person to approve the time cards in their absence for a specific time period.	Low			
TA22	Human Resources	Time Management	Time & Attendance	The system shall allow specific user roles to perform additions or corrections to employee timesheet	Low			
TA23	Human Resources	Time Management	Time & Attendance	The system shall allow employees to view previously submitted timecards	Low			
TA24	Human Resources	Time Management	Time & Attendance	The system shall allow employees to copy the time card from a previous time period to the current pay period	Low			
TA25	Human Resources	Time Management	Time & Attendance	The system shall allow employees to track overtime using relevant codes.	Low			
TA26	Human Resources	Time Management	Time & Attendance	The system shall support online accrual of leaves and calculations	Low			
TA27	Human Resources	Time Management	Time & Attendance	The system shall monitor time off requests, process these requests, submit for approval through workflow and populate the leave time to the timecard for employee when approved.	Low			
TA28	Human Resources	Time Management	Reporting & Analytics	The system shall generate time card report for an employee	Low			
TA29	Human Resources	Time Management	Administration	The system shall perform off-cycle processing and have standard amended timesheet functionality for managers and Payroll Administrators	Low			
TA30	Human Resources	Time Management	Integration	The system shall support multiple time and labor rules and track time collection process integrated through OC TIME (County's current time & attendance tool)	Low			

EMPLOYEE REIMBURSEMENT REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
The County currently has an OC branded employee claims/reimbursement solution, OC METER by SAP Concur, but would like to seek if the functionality is offered as part of the proposed ERP System for the below requested high level reimbursement requirements.								
ER01	Human Resources	Employee Reimbursement	Form Design	The system shall allow users to input, validate and process various employee reimbursement transactions. The Software shall provide a tool that allows for rapid form design and customization of user interfaces for input and processing of transactions. The form(s) shall be available for use by employees and non-employees.	Low	The reimbursements can be for non employees as well		
ER02	Human Resources	Employee Reimbursement	Form Design	The system shall allow users to submit a request form for employee reimbursement with approval workflow.	Low	Examples of employee reimbursements Mileage, Educational reimbursement, travel etc.		
ER03	Human Resources	Employee Reimbursement	Form Design	The system shall allow users to submit a claim for employee reimbursement with an approval workflow or manually trigger a claim form with information from the request populated.	Low	Stringent business rules for expense related claims and travel policies per Memorandum of Understanding (MOU), for Rep units etc. to be applied.		
ER04	Human Resources	Employee Reimbursement	Form Design	The system shall tie request forms with the claim	Low			
ER05	Human Resources	Employee Reimbursement	Form Design	The system shall allow customization of form layouts based on the type of reimbursement complying to County defined business rules/validations.	Low	Stringent business rules for expense related claims and travel policies by the County to be applied. The form must be dynamic. For example, if the form is for an elected official, the form will have different fields to populate and different drop downs to select from that of an hourly employee.		
ER06	Human Resources	Employee Reimbursement	User Interface	The system has ability to pre-populate information for employees from interface from HR/Payroll module on the forms. For non employees, the information will not be required	Low			
ER07	Human Resources	Employee Reimbursement	User Interface	The system shall allow transferred employees to submit a request/claim for the prior Department they worked using the respective funding. In this case, ad hoc workflow shall be available to select the supervisor in the prior department. This exception will require an additional approval as necessary (defined by County).	Low			
ER08	Human Resources	Employee Reimbursement	Form Design	The system shall allow a pseudo role user to submit reimbursement forms on behalf of other employees with proper certifications by the pseudo submitter and the employee.	Low			
ER09	Human Resources	Employee Reimbursement	Administration	The system shall allow users in specific roles to be able to configure the business rules into the system	Low			
ER10	Human Resources	Employee Reimbursement	Administration	The system shall create templates/screen layouts for various types of reimbursements	Low			
ER11	Human Resources	Employee Reimbursement	Administration	The system shall validate the inputs being made and allow certain roles to have ability to override certain errors	Low			
ER12	Human Resources	Employee Reimbursement	Administration	The system shall provide flexibility in terms of how rules are to be defined. Workflow rules must be definable through a number of means depending on complexity (rules to be defined by County)	Low			
ER13	Human Resources	Employee Reimbursement	Administration	The system shall be flexible to allow the submitter to reroute the transaction to another authorized approver.	Low			
ER14	Human Resources	Employee Reimbursement	Workflow Engine	The system shall allow for workflow transactions using specific rules or on an ad hoc basis that allows the user to select the next person in the process from an authorized list of approvers.	Low			
ER15	Human Resources	Employee Reimbursement	Workflow Engine	The system shall escalate the transaction to the next Supervisor in the chain of command after a set (configurable) number of days.	Low			
ER16	Human Resources	Employee Reimbursement	Workflow Engine	The system shall allow three phases of operation, Draft, Pending and Final. Documents in Pending Phase cannot be modified. Ability for approver to reject the document back to the submitter with or without comments.	Low			
ER17	Human Resources	Employee Reimbursement	Workflow Engine	The system shall send automated notifications to the submitter upon document approval/finalization.	Low			
ER18	Human Resources	Employee Reimbursement	User Interface	The system shall allow users to search for the status of submitted items. Based on the user's authorization, the system will limit the user to see transactions only they are authorized to see.	Low			

EMPLOYEE REIMBURSEMENT REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
The County currently has an OC branded employee claims/reimbursement solution, OC METER by SAP Concur, but would like to seek if the functionality is offered as part of the proposed ERP System for the below requested high level reimbursement requirements.								
ER19	Human Resources	Employee Reimbursement	User Interface	The system shall allow users to reuse (copy) a prior document	Low			
ER20	Human Resources	Employee Reimbursement	User Interface	The system shall allow the set up of dashboards to post alerts and instructions for users	Low			
ER21	Human Resources	Employee Reimbursement	User Interface	The system shall provide online help at the document/transaction level and field level tips. It shall link to policy or instructions documents on County SharePoint from the reimbursement forms.	Low			
ER22	Human Resources	Employee Reimbursement	User Interface	The system shall allow users to attach one or more files (specific formats) and download files. The system must ensure that zero-byte file sizes are not attached and allow for file size limits.	Low			
ER23	Human Resources	Employee Reimbursement	User Interface	The system shall allow the setting of size limitations of attachments and number of attachments across the system.	Low			
ER24	Human Resources	Employee Reimbursement	Interface	The system shall interface with or have real time data from/to other ERP modules as needed	Low			
ER25	Human Resources	Employee Reimbursement	Security	The system shall employ role-based security that can be configured by County staff without programming.	Low			
ER26	Human Resources	Employee Reimbursement	Security	The system shall encrypt employee name and address at the database level and on the interface if possible.	Low			
ER27	Human Resources	Employee Reimbursement	Security	The system shall provide audit trail of all transactions	Low			
ER28	Human Resources	Employee Reimbursement	Reporting & Analytics	The system shall provide a flexible reporting/ query engine that allows for user defined reporting. It must also include pre-defined reports/ queries to address requirements such as: Ability to track transactions, Aging report to show transactions that are tied up, metric reporting (time to completion, average days in process, longest stop approvers etc.)	Low			
ER29	Human Resources	Employee Reimbursement	Expense Management	The system shall link a booking tool (e.g., American Express, Priceline, Booking Buddy) to pull travel reservation data and assist with completion of the pre-authorization travel requisition form using this reservation information. The system should be able to support the initiation and approval of a pre-authorization travel requisition form through workflow options that establish cost estimates relating to hotel and airfare reservations that is linked to the employee traveling."	Low			

FUND ACCOUNTING SYSTEM REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
The County currently has an internally built Fund Accounting System(FAS) that requires enhancements/upgrade. We would like to seek if the functionality is offered as part of the proposed ERP System for the below requested high level fund accounting requirements. FAS is used to allocate/apportion interest income and investment administrative fees to the different County funds on a monthly basis.								
FAS01	Finance	Fund Accounting	Administration	The system has different user roles with varying permissions where access can be controlled by the administrator	Low			
FAS02	Finance	Fund Accounting	Administration	The system shall allow users to add, manage, and look up clients (pool participants- school, special districts, cities)	Low			
FAS03	Finance	Fund Accounting	Interface	The system shall receive large data files from OC Dept. of Education	Low			
FAS04	Finance	Fund Accounting	Interface	The system shall receive data files from Quantum (3rd party application used by Treasurer)	Low			
FAS05	Finance	Fund Accounting	User Interface	The system shall have a user interface to be able to define account allocations for each allocation type.	Low	There is a predefined formula/algorithm for each allocation type to be provided by County		
FAS06	Finance	Fund Accounting	Reporting & Analytics	The system shall generate a balance/activity statement to initiate distribution by selecting the allocation type with some preselected parameters and some additional parameters to be entered by the user	Low			
FAS07	Finance	Fund Accounting	Reporting & Analytics	The system shall calculate the percentage of distribution for each fund, and distributes interest to all funds applying the calculation rules (dollar days or average daily balance) as applicable	Low			
FAS08	Finance	Fund Accounting	Interface	The system shall create Journal Voucher file listing all the distribution transactions that can be sent to the ERP tool to be processed	Low			
FAS09	Finance	Fund Accounting	User Interface	The system shall calculate a closing balance for every fund and total pool balance based on the processed transactions for the given time period	Low			
FAS10	Finance	Fund Accounting	Reporting & Analytics	The system shall generate a closing balance statement by fund and total pool balance	Low			

DATA CONVERSION REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
The below list are the high-level data conversion requirements into the new ERP system and are subject for further discovery and identification as part of the implementation.								
DC01	Human Resources	Benefits Administration	N/A	N/A		County relies on Alight		
DC02	Human Resources	Compensation Administration	N/A	Convert the salary data for employees for all positions in the County within the existing CAPS+ HR/Payroll system 3.11.				
DC03	Human Resources	Human Resources	N/A	Convert all employee data from the current CAPS+ HR/Payroll System 3.11	High			
DC04	Human Resources	Learning Management System	N/A	N/A	High	County uses Cornerstone Eureka for learning management		
DC05	Human Resources	Payroll	N/A	Convert detailed payroll history for employees from the current CAPS+ HR/Payroll System 3.11	High			
DC06	Human Resources	Time Management	N/A	N/A		County currently uses Workforce (County branded OC TIME). Even if time & attendance is replaced by the new ERP, there may not be a need for data conversion from OC TIME		
DC07	Human Resources	Employee Reimbursement	N/A	N/A		County uses SAP Concur (County branded OC METER). Even if reimbursement functionality is available in the new ERP tool, there may not be a need for data conversion from OC METER		
DC08	Human Resources	Personnel Management	N/A	Convert all employee data from the current CAPS+ HR/Payroll System 3.11	High			
DC09	Human Resources	Talent Acquisition	N/A	N/A	High	County uses a 3rd party tool NeoGov and data conversion may not be needed		
DC10	Human Resources	Talent Enablement	N/A	N/A	High			
DC11	Human Resources	Workforce Administration	N/A	Convert position related data for all types of positions/classifications from current CAPS+ HR/Payroll system 3.11	High			
DC12	Human Resources	Workforce Insights	N/A	N/A	High			
DC13	Human Resources	Workforce Shaping	N/A	Convert personnel data and supervisory relationship from CAPS+ HR/Payroll system 3.11	High			
DC14	Finance	Accounts Payable	N/A	Convert current vendor year to date expenditures and current payment data from current CAPS+ FS system 3.10	High			• Current vendors
DC15	Finance	Accounts Receivable	N/A	Possibly convert current collections data (from CUBS the system used by County department TTC)	High			Current vendor year to date expenditure data
DC16	Finance	Budget	N/A	Possibly convert data from the current Performance Budgeting system (PB) for current year budget data, including Strategic Financial Plans	High			
DC17	Finance	Cash Applications	N/A	N/A	High			
DC18	Finance	Fixed Assets	N/A	Convert current capital assets and leased assets data from CAPS+ FS 3.10	High			
DC19	Finance	General Ledger	N/A	Convert General ledger history and County's chart of accounts structure from CAPS+ FS 3.10	High			
DC20	Finance	Grants Management	N/A	N/A	High			
DC21	Finance	Planning	N/A	Convert SFP data from existing PB system as needed	High			
DC22	Finance	Project Management & Accounting	N/A	N/A				
DC23	Finance	Projects & Portfolio Management	N/A	N/A				
DC24	Finance	Travel & Expense	N/A	N/A	High	County uses Expediter for travel requests and OC METER for processing the requests		

DATA CONVERSION REQUIREMENTS

REQ. ID	County's Module	Process Name - Level 1	Process Name - Level 2	Requirement Details	Priority	County Notes	Proposer's Module	Proposer's Capability
The below list are the high-level data conversion requirements into the new ERP system and are subject for further discovery and identification as part of the implementation.								
DC25	Finance	Fund Accounting	N/A	Conversion of data from the existing fund accounting system as needed	High	County (TTC Department) uses Fund Accounting System (FAS) to allocate/apportion interest income and investment administrative fees to the different County funds on a monthly basis.		
DC26	Procurement	Procurement	N/A	Convert procurement data including invoices, encumbrances, and contracts from current CAPS+ FS 3.10	High			
DC27	Procurement	Purchasing	N/A	Convert open purchase orders, active contracts and balances, active vendor data with codes, shipping and billing address, data from current CAPS+ FS 3.10	High			
DC28	Procurement	Inventory/Asset Management	N/A	N/A				

Option	Proposer's Capability
0	Requirement not met with Proposal
1	Requirement met with proposed third-party product (features that are not offered as a generally available product or require custom development or use of extension)
2	Requirement met with proposed third-party product (standard features in the generally available product)
3	Requirement met and proposed (features that are not offered as a generally available product or require custom development or use of extension)
4	Requirement met and proposed (standard features in the generally available product)

Attachment 5: Software Products

Product Name List all software products included in your proposal.	Quantity Proposed	Function What is the purpose of the software?	Access Limitations Concurrent users, named users, CPU, enterprise, etc.	Type of Product (SaaS / On Prem)

Attachment 5: Software Products

Product Name List all software products included in your proposal.	Dependencies on Other Modules	Required Third-Party Products	Recommended Third-Party Products	Note

Attachment 6: Software Background

RFP #003-2365101-LB, Enterprise Resource Planning Software as a Service System

Proposer Company Name: _____

Please complete for each software product included in the Proposal.

Software Background	
Software Product Name	
Firm Providing Software	
Software History	
Current Version of the Software	
Date of Release for Current Version	
Date of First Release of Software	
Identify any Precursor Software Products or Alternate Names for Software	
Current Version	
What Were Top Five Enhancements in Current Version of the Software	1 2 3 4 5
How has Software Changed Over Previous Three (3) Years	Attach additional pages if necessary
Biggest Limitation of Current Software	
Third-Party Products	
List any Third-Party Products embedded in the Software	
List any Third-Party Products Recommended for Use along with the Software	

Attachment 7: Software Modernization Options

RFP #003-2365101-LB, Enterprise Resource Planning Software as a Service System

Proposer Company Name: _____

There are six main software functional areas listed in the RFP Section B, Scope of Project. These functional areas are:

1. Finance/General Ledger
2. Procurement
3. Budget
4. Human Resources Management
5. Payroll
6. Technology Solutions

Refer to Section B for additional information.

For each of these six software functional areas, answer the questions below. Be sure to include information on the subcategories listed under each main functional area. See the figure in Section B.1 for reference.

Software Modernization	
County's Functional Area (listed above):	
Proposer's Software Module:	
Firm Providing Software:	
Policy Options	
Describe overall vision for module use in local government.	
Describe what you consider to be modern features included in this module that improve or facilitate: <ul style="list-style-type: none"> • Industry recognized best practices • Efficiency gains • New features that benefit users or "customers" • Transparency options 	
Identify future software functionality that is planned to enhance current software	
Change Experience	
Please identify the top three benefits that other clients get from using this module	1. 2. 3.
Please identify what other features clients are challenged to fully leverage?	
Biggest limitation of current software	

Software Modernization	
Defining Success	
Define success for using this module in Orange County. What should be County's goal in including this module in scope?	
How will success be measured?	

Attachment 8: SaaS

RFP #003-2365101-LB, Enterprise Resource Planning Software as a Service System

Proposer Company Name: _____

*Attach additional pages if necessary.

SaaS						
Data Center						
Where will County Data be held (must be in the continental United States)?						
Are any third-party providers used to deliver Platform as a Service (PaaS) or Infrastructure as a Service (IaaS) services? If so, please list.						
How many environments are proposed?						
Availability						
Provide historical availability for data center for the following timeframes:						
Month	Total Minutes/ Hours in Month	Scheduled Maintenance	Scheduled Downtime	Unscheduled Downtime	Total Downtime	% Availability
June 2023						
July 2023						
August 2023						
September 2023						
October 2023						
November 2023						
Updates						
How often is solution updated?						
How much advance notice are customers provided for new updates?						
How long do customers have to test new updates?						
Please describe your methodology for upgrades.						
Authentication						
Does the system support SSO or LDAP?						
Information Security						
Describe the proposed systems infrastructure and platform security architecture, including any significant failures, breaches or issues encountered in the last five years.						

Describe certifications maintained such as ISO or NIST certifications. Also include any platform/system regulation compliance such as HIPAA, HITECH or FedRAMP.	
Describe the penetration testing and remediation process both in terms of server/network hardening and application remediation that is performed when new infrastructure and applications are hosted at your data center facility.	
Describe the disaster recovery solution, plan and recovery services that is included to enable the ERP System to resume as normal within hours of experiencing a critical system failure or catastrophic event that prevents the ERP System from functioning properly.	
Describe the different safeguards in place to protect and shield County Data, especially sensitive data such as personally identifiable information or critical financial or claim information.	
Disentanglement	
Can customer data be exported in non-proprietary format?	

Attachment 9: Proposed Service Level Agreement

RFP #003-2365101-LB, Enterprise Resource Planning Software as a Service System

Proposer Company Name: _____

If hosting services are proposed, please complete the following table identifying proposed service level guarantees. For each service, please indicate the metric used to measure the service quality, the proposed requirement (target for service), and the proposed remedy/penalty if guarantee is not met.

Proposed Service Level Guarantees			
Service	Metric**	Requirement/ Guarantee***	Remedy if Not Met
System Availability* (Unscheduled Downtime)			
System Response (Performance)			
Issue Response Time			
Issue Resolution Time			
Recovery Point Objective (RPO)			
Recovery Time Objective (RTO)			
System Data Restore			
Implementation of System Patches			
Notification of Security Breach			
Please list other proposed service levels			

Proposed Service Level Guarantees	
* Formula used to calculate Availability:	
** How is performance against service levels reported to the County?	
***Describe process for County reporting issue to the Proposer.	

Attachment 10: On-Premises Requirements

RFP #003-2365101-LB, Enterprise Resource Planning Software as a Service System

Proposer Company Name: _____

Please provide information for any software that is required to be installed on-premises at the County (“On-Prem Software”). Add additional pages if necessary.

This form is not required if the County is not required to host anything on its servers.

Updates	
How often is On-Prem Software updated?	
How much advance notice are customers provided for new updates?	
How long after release of new version are previous software versions supported?	

Authentication	
Does the On-Prem Software support single sign-on or LDAP authentication?	
Does the On-Prem Software support Multi-factor authentication (please explain)?	

Infrastructure	Minimum Requirement	Optimal Requirement
Network Requirements		
Database Requirements		
Application Server Requirements		
Desktop (Client) Requirements		
Browser Requirements		

Reporting / Data Access	
Does the On-Prem Software contain a report writer?	
Does the On-Prem Software allow third-party report writer access?	
Will the County have access to all data contained in the On-Prem Software for report writing? (please list any limitations)	

Attachment 11: Professional Services Background

RFP #003-2365101-LB, Enterprise Resource Planning Software as a Service System

Proposer Company Name: _____

Complete one form for each firm included in the Proposal with data as of January 24, 2024.

Proposer Background						
Company name						
Corporate headquarters address						
Firm History						
Years of experience providing ERP implementation						
Previous names / Successor firms						
Current/Recent Projects						
List up to five (5) current or recent projects that provided relevant experience						
List of governmental clients that your firm has provided services or software similar to your proposal.						
In the past, what has been your firm's target market						
What is primary lesson learned from recent projects you have adjusted for the County						
Size						
Number of current (new) implementation clients that are live in a SaaS environment						
Number of current upgrade clients						
Number of ongoing support clients						
Number of other clients						
Consulting Team						
Size of consulting team						
Average tenure with firm						
Source of recent hires (Where do you recruit for consultants?)						
Consulting Team Experience Matrix						
For all key project team members proposed for the County's project, prepare a matrix illustrating experience on similar projects. Using a format like the one provided below, list relevant projects and the resource or service your firm provided, along with the names of the project manager(s) and consultant(s) who performed work on that project who will be assigned to the County's project if a contract is awarded to your firm.						
Project	Role	Project Manager	Consultant	Consultant	Consultant	Consultant
	Resource	Name	Name	Name	Name	Name

Proposer Background						
Entity A	X	X	X			
Entity B				X		X
Entity C				X		
Entity D			X			
Entity E		X			X	

Attachment 12: Level of Effort

Proposer Company Name: _____

Project Summary			Project Management	Knowledge Transfer	Design	Configuration	Testing	GoLive / Support	Total Hours
		Phase 1	32.3%	3.2%	6.5%	9.7%	16.1%	32.3%	310
		Phase 2							0
		Phase 3							0
		Phase 4							0
		Phase 5							0
			Project Management	Knowledge Transfer	Design	Configuration	Testing	GoLive / Support	Total Hours
Phase	Resource Type	Resource Role/Name	# of Hours	# of Hours	# of Hours	# of Hours	# of Hours	# of Hours	
Phase 1	Project Manager	Project Manager	100	10	20	30	50	100	310
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0
									0

Attachment 12: Level of Effort

Proposer Company Name: _____

Project Summary			Project Management	Knowledge Transfer	Design	Configuration	Testing	GoLive / Support	Total Hours
		Phase 1	32.3%	3.2%	6.5%	9.7%	16.1%	32.3%	310
		Phase 2							0
		Phase 3							0
		Phase 4							0
		Phase 5							0
			Project Management	Knowledge Transfer	Design	Configuration	Testing	GoLive / Support	Total Hours
Phase	Resource Type	Resource Role/Name	# of Hours	# of Hours	# of Hours	# of Hours	# of Hours	# of Hours	
									0
									0
		Total	100	10	20	30	50	100	310
	Total	Phase 1	100	10	20	30	50	100	310
	Total	Phase 2	0	0	0	0	0	0	0
	Total	Phase 3	0	0	0	0	0	0	0
	Total	Phase 4	0	0	0	0	0	0	0
	Total	Phase 5	0	0	0	0	0	0	0

Attachment 13 – County Of Orange Campaign Contribution Form

RFP #003-2365101-LB, Enterprise Resource Planning Software as a Service System

Proposer Company Name: _____

Application or Solicitation Number: RFP No. 003- 2365101-LB

Application or Solicitation Title: Enterprise Resource Planning Software as a Service System

Was a campaign contribution, regardless of the dollar amount, made to any member of the Orange County Board of Supervisors or to any County Agency Officer within the last 12 months by the applicant, or, if applicable, any of the applicant's proposed subcontractors or the applicant's agent or lobbyist?

Yes No

If no, please sign and date below.

If yes, please provide the following information:

Applicant's Name: _____

Contributor or Contributor Firm's Name: _____

Contributor or Contributor Firm's Address: _____

Is the Contributor:

- The Applicant Yes No
- Subcontractor Yes No
- The Applicant's agent/or lobbyist Yes No

Note: Under California law as implemented by the Fair Political Practices Commission, campaign contributions made by the Applicant and the Applicant's agent/lobbyist who is representing the Applicant in this application or solicitation must be aggregated together to determine the total campaign contribution made by the Applicant.

Identify the Board of Supervisors Member(s) and County Agency Officer(s) to whom you, your subcontractors, and/or agent/lobbyist made campaign contributions within the last 12 months, the name of the contributor, the dates of contribution(s) and dollar amount of the contribution. Each date must include the exact month, day, and year of the contribution.

Name of Board of Supervisors Member or County Agency Officer: _____

Name of Contributor: _____

Date(s) of Contribution(s): _____

Amount(s): _____

(Please add an additional sheet(s) to identify additional Board Members or County Agency Officer to whom you, your subconsultants, and/or agent/lobbyist made campaign contributions)

By signing below, I certify that the statements made herein are true and correct. I also agree to disclose to the County any future contributions made to Board Members or County Agency Officers by the applicant, or, if applicable, any of the applicant's proposed subcontractors or the applicant's agent or lobbyist after the date of signing this disclosure form, and within 12 months following the approval, renewal, or extension of the requested license, permit, or entitlement to use.

Date

Signature of Applicant

Print Firm Name, if applicable

Print Name of Applicant

**ORANGE COUNTY BOARD OF SUPERVISORS
AND COUNTY AGENCY OFFICERS**

Board of Supervisors

Andrew Do, First District
Vicente Sarmiento, Second District
Donald P. Wagner, Third District
Doug Chaffee, Fourth District
Katrina Foley, Fifth District

County Agency Officers

Claude Parrish, Assessor
Andrew Hamilton, Auditor-Controller
Hugh Nguyen, Clerk-Recorder
Todd Spitzer, District Attorney-Public Administrator
Don Barnes, Sheriff-Coroner
Shari L. Freidenrich, Treasurer-Tax Collector

Attachment 14: OCLSB and DVBE Form

RFP #003-2365101-LB, Enterprise Resource Planning Software as a Service System

Note: Please fill out this form if you qualify for the OCLSB or DVBE per RFP Section A.19.

County of Orange Local Small Business (OCLSB) and/or Disabled Veteran Business Enterprise (DVBE) Affirmation

OCLSB Certification Requirements: To be certified as a Local Small Business by the County of Orange, a business shall meet (1) and (2) below:

(1) Local Business requirements:

- a) maintains their principal center of operations (i.e. headquarters) within Orange County, and;
- b) has:
 - i. a business address located in the County of Orange that is not a post office box, or
 - ii. a valid business license or certificate of occupancy issued by the County of Orange or by an Orange County city, or other documentation acceptable to the County of Orange.

(2) Small Business requirements:

- a) must be certified as a Small Business by the State of California Department of General Services (DGS); and,
- b) DGS Small Business requirements must be valid at the time of bid/proposal submittal.

DVBE Certification Requirements: To be certified as a Disabled Veteran Business Enterprise, a business must meet the following requirements:

- (1) Must be certified as a DVBE by the State of California Department of General Services (DGS); and,
- (2) DGS DVBE requirements must be valid at the time of bid/proposal submittal.

Please specify one or both preferences that apply to your business by checking below:

- OCLSB DVBE

I, certify that _____, (legal company/business name) is certified as an OCLSB and/or DVBE and currently meets the respective Certification Requirements set forth above.

Print Name Authorized

Title

Authorized Signature

Date

Please check one or both below:

- OCLSB Certificate attached State of California DVBE Certification attached

County Use Only

Solicitation Number: RFP #003-2365101-LB

Solicitation Description: Enterprise Resource Planning Software as a Service System

File Folder Number: 2365101

Attachment 15: Cost

Schedule 1: Summary

Proposer [Enter on Summary Tab]

Cost Categories	Total Costs	Explanation/Notes (if necessary)
Software Fees (Schedule 2)		
Total 10 Year Costs	\$ -	
Project Fees (Schedule 3 and 4)		
Professional Services (Schedule 3)	\$ -	
Other Fees (Schedule 4)	\$ -	
Total Project Cost	\$ -	
Transition Fees (Schedule 5)		
Total Transition Cost	\$ -	
Total Proposed Fixed Price	\$ -	

Attachment 15: Cost

Schedule 2: Software Fees

Proposer: [Enter on Summary Tab]

Product Name	Function	Access Limitations (Concurrent Users, Named Users, CPU, Enterprise)	Quantity	Year 1 Cost	Year 2 Cost	Year 3 Cost	Year 4 Cost	Year 5 Cost
Total				\$ -	\$ -	\$ -	\$ -	\$ -

Attachment 15: Cost

Product Name	Year 6 Cost	Year 7 Cost	Year 8 Cost	Year 9 Cost	Year 10 Cost	Total for 10 Years	Notes
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
						\$ -	
Total	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	

Attachment 15: Cost

Schedule 4: Other Fees

Proposer: [Enter on Summary Tab]

Description	Cost

Total \$ -

Attachment 15: Cost

Schedule 5: Transition Fees*

Proposer: [Enter on Summary Tab]

Description	Cost

Total \$ **-**

*See Articles 41 and 42 of the Model Contract (RFP Attachment 17) for more information. Please be sure to include data migration fees in this schedule.

Attachment 16: References

RFP #003-2365101-LB, Enterprise Resource Planning Software as a Service System

Proposer Company Name: _____

Please provide at least three (3) references for past projects that include products and services similar to those proposed for this RFP. Please use the following format in submitting references.

General Background

Name of Client: _____

Project Manager/Contact Name: _____ Title: _____

Phone: _____ Email: _____ Website URL: _____

Software Program/Version: _____

Summary of Project: _____

Number of Employees: _____ Size of Operating Budget: _____

Project Scope

Please indicate (by checking box) functionality installed:

- | | |
|---|--------------------------------------|
| <input type="checkbox"/> Finance/General Ledger | <input type="checkbox"/> Procurement |
| <input type="checkbox"/> Human Resources Management | <input type="checkbox"/> Budget |
| <input type="checkbox"/> Payroll | |

Technology Information

Hosted? Yes _____ No _____ If yes, hosting provider _____

Implementation Information

Project Duration: _____

Initial Go-Live: _____

Describe Role on Project: _____

Project Challenges: _____

Major Accomplishments: _____

Attachment 17: MODEL CONTRACT



MODEL CONTRACT NO. MA-003-TBD

FOR

**ENTERPRISE RESOURCE PLANNING SOFTWARE AS A
SERVICE SYSTEM**

BETWEEN

**THE COUNTY OF ORANGE
AUDITOR-CONTROLLER**

AND

TBD

Table of Contents

GENERAL TERMS AND CONDITIONS	4
A. Governing Law and Venue	4
B. Entire Contract	5
C. Amendments	5
D. Taxes	5
E. Delivery.....	5
F. Acceptance/Payment.....	5
G. Warranty	5
H. Patent/Copyright Materials/Proprietary Infringement	5
I. Assignment	5
J. Non-Discrimination	5
K. Termination.....	6
L. Consent to Breach Not Waiver	6
M. Independent Contractor.....	6
N. Performance	6
O. Insurance Provisions:.....	6
P. Changes.....	9
Q. Change in Ownership/Name, Litigation Status, Conflicts with County Interests.....	9
R. Force Majeure	9
S. Confidentiality	10
T. Compliance with Laws.....	10
U. Freight.....	10
V. Severability	10
W. Attorney Fees	10
X. Interpretation.....	10
Y. Employee Eligibility Verification.....	10
Z. Indemnification	10
AA. Audits/Inspections.....	11
BB. Contingency of Funds	11
CC. Expenditure Limit	11
ADDITIONAL TERMS AND CONDITIONS	11
1. Definitions, Acronyms and Abbreviations.....	11
2. Scope of Contract.....	14
3. Term of Contract.....	14
5. Precedence	14
6. Compensation	14
7. Retention.....	15
8. Conflict of Interest – Contractor’s Personnel.....	15
9. Conflict of Interest – County Personnel.....	15
10. County Project Manager	15
11. Contractor Project Manager and Key Personnel.....	15
12. News/Information Release.....	16
13. Publication	16
14. Disputes – Contract.....	16
15. Errors and Omissions.....	16
16. Gratuities.....	17
17. Notices	17
18. Rights in Work Product.....	17
19. Reports and Meetings	18

20. Termination – Orderly	18
21. Breach of Contract	18
22. Conditions Affecting Work.....	19
23. Contractor’s Expense	19
24. Usage.....	19
25. SaaS and Data Security	19
26. Acceptance of Services	20
27. Acceptance Testing.....	20
28. Service Level Commitment	21
29. Service Level Fee Reductions.....	21
31. Disputed Amounts	22
33. Software License.....	22
34. Future Releases	22
35. Software Maintenance.....	23
36. Legal Entity.....	23
37. Security Deliverables and Documents	23
38. Data Location.....	23
39. Relationship Management.....	24
40. Discovery	24
41. Preparation for Successor to this Contract.....	24
42. Transition Period.....	24
43. Debarment.....	25
44. Compatibility of Resources.....	25
45. County Information Technology Security Provisions.....	26
46. Data Availability.....	30
MODEL CONTRACT SIGNATURE PAGE.....	32
Attachment A: Scope of Work.....	33
Attachment A, Appendix 1: ERP Business Requirements.....	34
Attachment B: Compensation and Invoicing.....	35
Attachment C: Business Associate Contract.....	38
Attachment D: Information Technology Security Standards.....	44
Attachment E: Contractor’s Terms and Conditions	45

**MODEL CONTRACT NO. MA-003-TBD
FOR
ENTERPRISE RESOURCE PLANNING SOFTWARE AS A SERVICE SYSTEM**

This Contract MA-003-TBD for the Enterprise Resource Planning Software as a Service System (“Contract”) is made and entered into as of the date fully executed by and between the County of Orange, a political subdivision of the State of California, acting on behalf of the Office of the Auditor-Controller (“County”) and TBD, with a place of business at TBD (“Contractor”), with County and Contractor sometimes referred to individually as a “Party” or collectively as the “Parties”.

ATTACHMENTS

This Contract is comprised of this document and the following Attachments which are incorporated by reference into this Contract:

Attachment A – Scope of Work, including Attachment A, Appendix 1: ERP Business Requirements
Attachment B – Compensation and Invoicing
Attachment C – Business Associate Contract
Attachment D – Information Technology Security Standards
Attachment E – Contractor’s Terms and Conditions

RECITALS

WHEREAS, Contractor responded to a Request for Proposal (“RFP”) for an Enterprise Resource Planning (“ERP”) Software as a Service System (“ERP System”) as further set forth herein; and

WHEREAS, the Contractor responded and represented that its proposed services shall meet or exceed the requirements and specifications of RFP No. 003-2365101-LB; and

WHEREAS, the County Board of Supervisors has authorized the Purchasing Agent, or authorized deputy, to execute this Contract on behalf of County;

NOW, THEREFORE, the Parties mutually agree as follows:

ARTICLES

General Terms and Conditions

- A. **Governing Law and Venue:** This Contract has been negotiated and executed in the State of California and shall be governed by and construed under the laws of the State of California. In the event of any legal action to enforce or interpret this Contract, the sole and exclusive venue shall be a court of competent jurisdiction located in Orange County, California, and the parties hereto agree to and do hereby submit to the jurisdiction of such court, notwithstanding Code of Civil Procedure Section 394. Furthermore, the parties specifically agree to waive any and all rights to request that an action be transferred for adjudication to another county.

- B. **Entire Contract:** This Contract, comprised of these terms and conditions and Attachments A, B, C, D, and E, which are incorporated herein, contains the entire contract between the Parties with respect to the matters herein, and there are no restrictions, promises, warranties or undertakings other than those set forth herein or referred to herein. No exceptions, alternatives, substitutes, or revisions are valid or binding on County unless authorized by County in writing. Electronic acceptance of any additional terms, conditions, or supplemental contracts by any County employee or agent, including but not limited to installers of software, shall not be valid or binding on County unless accepted in writing by County's Purchasing Agent or designated deputy purchasing agent, hereinafter "DPA."
- C. **Amendments:** No alteration or variation of the terms of this Contract shall be valid unless made in writing and signed by the Parties; no oral understanding or agreement not incorporated herein shall be binding on either of the Parties; and no exceptions, alternatives, substitutes, or revisions are valid or binding on County unless authorized by County in writing.
- D. **Taxes:** Unless otherwise provided herein or by law, quoted prices do not include California sales or use tax. Out-of-state Contractors shall indicate California Board of Equalization permit number and sales permit number on invoices, if California sales tax is added and collectable. If no permit numbers are shown, sales tax will be deducted from payment. The Auditor-Controller will then pay use tax directly to the State of California in lieu of payment of sales tax to the Contractor.
- E. **Delivery:** Time of delivery of services is of the essence in this Contract. County reserves the right to refuse services and to cancel all or any part of the services that do not conform to the prescribed Scope of Work as described in Attachment A.
- F. **Acceptance/Payment:** Unless otherwise agreed to in writing by County, 1) acceptance shall not be deemed complete unless in writing and until all the goods/services have actually been received, inspected, and tested to the satisfaction of County, and 2) payment shall be made in arrears after satisfactory acceptance.
- G. **Warranty:** Contractor expressly warrants that the goods covered by this Contract are 1) free of liens or encumbrances, 2) merchantable and good for the ordinary purposes for which they are used, and 3) fit for the particular purpose for which they are intended. Contractor shall indemnify, defend, and hold County and County Indemnitees as described in Article Z (Indemnification) harmless from any and all liability, loss, damage, and expense, including reasonable attorneys' fees, incurred or sustained by County by reason of the failure of the goods/services to conform to such warranties, faulty work performance, negligent or unlawful acts, and non-compliance with any applicable state or federal codes, ordinances, orders, or statutes, including the Occupational Safety and Health Act (OSHA) and the California Industrial Safety Act. Such remedies shall be in addition to any other remedies provided by law.
- H. **Patent/Copyright Materials/Proprietary Infringement:** Unless otherwise expressly provided in this Contract, Contractor shall be solely responsible for clearing the right to use any patented or copyrighted materials in the performance of this Contract. Contractor warrants that any software as modified through services provided hereunder will not infringe upon or violate any patent, proprietary right, or trade secret right of any third party. Contractor agrees that, in accordance with the more specific requirement contained in Article "Z" below, it shall indemnify, defend, and hold County and County Indemnitees harmless from any and all such claims and be responsible for payment of all costs, damages, penalties and expenses related to or arising from such claim(s), including reasonable attorney's fees, costs, and expenses.
- I. **Assignment:** The terms, covenants, and conditions contained herein shall apply to and bind the heirs, successors, executors, administrators, and assigns of the Parties. Furthermore, neither the performance of this Contract nor any portion thereof may be assigned by Contractor without the express written consent of County. Any attempt by Contractor to assign the performance or any portion thereof of this Contract without the express written consent of County shall be invalid and shall constitute a breach of this Contract.
- J. **Non-Discrimination:** In the performance of this Contract, Contractor agrees that it will comply with the requirements of Section 1735 of the California Labor Code and not engage nor permit any subcontractors

to engage in discrimination in employment of persons because of the race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, marital status, or sex of such persons. Contractor acknowledges that a violation of this provision shall subject Contractor to penalties pursuant to Section 1741 of the California Labor Code.

- K. **Termination:** In addition to any other remedies or rights it may have by law, County has the right to immediately terminate this Contract without penalty for cause or after 30 days' written notice without cause, unless otherwise specified. Cause shall be defined as any material breach of contract, or any misrepresentation or fraud on the part of the Contractor. Exercise by County of its right to terminate the Contract shall relieve County of all further obligation.
- L. **Consent to Breach Not Waiver:** No term or provision of this Contract shall be deemed waived and no breach excused, unless such waiver or consent shall be in writing and signed by the Party claimed to have waived or consented. Any consent by any party to, or waiver of, a breach by the other, whether express or implied, shall not constitute consent to, waiver of, or excuse for any other different or subsequent breach.
- M. **Independent Contractor:** Contractor shall be considered an independent contractor and neither Contractor, its employees, nor anyone working under Contractor shall be considered an agent or an employee of County. Neither Contractor, its employees nor anyone working under Contractor shall qualify for workers' compensation or other fringe benefits of any kind through County.
- N. **Performance:** Contractor shall perform all work under this Contract, taking necessary steps and precautions to perform the work to County's satisfaction. Contractor shall be responsible for the professional quality, technical assurance, timely completion and coordination of all documentation and other goods and services furnished by the Contractor under this Contract. Contractor shall perform all work diligently, carefully, and in a good and workman-like manner; shall furnish all labor, supervision, machinery, equipment, materials, and supplies necessary therefore; shall at its sole expense obtain and maintain all permits and licenses required by public authorities, including those of County required in its governmental capacity, in connection with performance of the work; and, if permitted to subcontract, shall be fully responsible for all work performed by subcontractors.
- O. **Insurance Provisions:**

Prior to the provision of services under this Contract, the Contractor agrees to carry all required insurance at Contractor's expense, including all endorsements required herein, necessary to satisfy the County that the insurance provisions of this Contract have been complied with. Contractor agrees to keep such insurance coverage current, provide Certificates of Insurance, and endorsements to the County during the entire term of this Contract.

Contractor shall ensure that all subcontractors performing work on behalf of Contractor pursuant to this Contract shall be covered under Contractor's insurance as an Additional Insured or maintain insurance subject to the same terms and conditions as set forth herein for Contractor. Contractor shall not allow subcontractors to work if subcontractors have less than the level of coverage required by County from Contractor under this Contract. It is the obligation of Contractor to provide notice of the insurance requirements to every subcontractor and to receive proof of insurance prior to allowing any subcontractor to begin work. Such proof of insurance must be maintained by Contractor through the entirety of this Contract for inspection by County representative(s) at any reasonable time.

All self-insured retentions (SIR)'s shall be clearly stated on the Certificate of Insurance. Any SIR in excess of Fifty Thousand Dollars \$50,000 shall specifically be approved by the County's Risk Manager, or designee. The County reserves the right to require current audited financial reports from Contractor. If Contractor is self-insured, Contractor will indemnify the County for any and all claims resulting or arising from Contractor's services in accordance with the indemnity provision stated in this contract.

If the Contractor fails to maintain insurance acceptable to the County for the full term of this Contract, the County may terminate this Contract.

Qualified Insurer

The policy or policies of insurance must be issued by an insurer with a minimum rating of A- (Secure A.M. Best's Rating) and VIII (Financial Size Category as determined by the most current edition of the **Best's Key Rating Guide/Property-Casualty/United States or ambest.com**).

If the insurance carrier does not have an A.M. Best Rating of A-/VIII, CEO/ Risk Management retains the right to approve or reject a carrier after a review of the company's performance and financial ratings.

The policy or policies of insurance maintained by the Contractor shall provide the minimum limits and coverage as set forth below:

<u>Coverage</u>	<u>Minimum Limits</u>
Commercial General Liability	\$1,000,000 per occurrence \$2,000,000 aggregate
Automobile Liability including coverage owned or scheduled, non-owned and hired vehicles	\$1,000,000 combined single limit each accident
Workers Compensation	Statutory
Employers Liability Insurance	\$1,000,000 per accident or disease
Network Security & Privacy Liability	\$5,000,000 per claims-made
Technology Errors & Omissions	\$5,000,000 per claims-made \$5,000,000 aggregate

Increased insurance limits may be satisfied with Excess/Umbrella policies. Excess/Umbrella policies when required must provide Follow Form coverage.

Required Coverage Forms

The Commercial General Liability coverage shall be written on occurrence basis utilizing Insurance Services Office (ISO) form CG 00 01, or a substitute form providing liability coverage at least as broad.

The Business Auto Liability coverage shall be written on ISO form CA 00 01, CA 00 05, CA 0012, CA 00 20, or a substitute form providing coverage at least as broad.

Required Endorsements

The Commercial General Liability policy shall contain the following endorsements, which shall accompany the Certificate of Insurance:

1. An Additional Insured endorsement using ISO form CG 20 26 04 13, or a form at least as broad naming the ***County of Orange, its elected and appointed officials, officers, employees, and agents*** as Additional Insureds, or provide blanket coverage, which will state ***As Required by Written Contract***.
2. A primary non-contributory endorsement using ISO form CG 20 01 04 13, or a form at least as broad evidencing that the Contractor's insurance is primary, and any insurance or self-insurance maintained by the County of Orange shall be excess and non-contributing.

The Workers' Compensation policy shall contain a waiver of subrogation endorsement waiving all rights of subrogation against the ***County of Orange, its elected and appointed officials, officers, employees, and agents*** or provide blanket coverage, which will state ***As Required by Written Contract***.

The Network Security and Privacy Liability policy shall contain the following endorsements which shall accompany the Certificate of Insurance:

1. An Additional Insured endorsement naming the County of Orange, its elected and appointed officials, officers, employees, and agents as Additional Insureds for its vicarious liability.
2. A primary and non-contributory endorsement evidencing that the Contractor's insurance is primary, and any insurance or self-insurance maintained by the County of Orange shall be excess and non-contributing.

All insurance policies required by this Contract shall waive all rights of subrogation against the ***County of Orange, its elected and appointed officials, officers, employees, and agents*** when acting within the scope of their appointment or employment.

Contractor shall provide thirty (30) days prior written notice to the County of any policy cancellation or non-renewal and ten (10) days prior written notice where cancellation is due to non-payment of premium and provide a copy of the cancellation notice to County. Failure to provide written notice of cancellation may constitute a material breach of the Contract, upon which the County may suspend or terminate this Contract.

If Contractor's Technology Errors & Omissions and/or Network Security & Privacy Liability are "Claims-Made" policy(ies), Contractor shall agree to the following:

1. The retroactive date must be shown and must be before the date of the Contract or the beginning of the Contract services.
2. Insurance must be maintained, and evidence of insurance must be provided for at least three (3) years after expiration or earlier termination of Contract services.
3. If coverage is canceled or non-renewed, and not replaced with another claims-made policy form with a retroactive date prior to the effective date of the Contract services, Contractor must purchase an extended reporting period for a minimum of three (3) years after expiration or earlier termination of the Contract.

The Commercial General Liability policy shall contain a severability of interests clause also known as a "separation of insureds" clause (standard in the ISO CG 0001 policy).

Insurance certificates should be forwarded to the agency/department address listed on the solicitation.

If the Contractor fails to provide the insurance certificates and endorsements within seven (7) days of notification by CEO/Purchasing or the agency/department purchasing division, award may be made to the next qualified vendor.

County expressly retains the right to require Contractor to increase or decrease insurance of any of the above insurance types throughout the term of this Contract. Any increase or decrease in insurance will be as deemed by County of Orange Risk Manager as appropriate to adequately protect County.

County shall notify Contractor in writing of changes in the insurance requirements. If Contractor does not provide acceptable Certificates of Insurance and endorsements to County incorporating such changes within thirty (30) days of receipt of such notice, this Contract may be in breach without further notice to Contractor, and County shall be entitled to all legal remedies.

The procuring of such required policy or policies of insurance shall not be construed to limit Contractor's liability hereunder nor to fulfill the indemnification provisions and requirements of this Contract, nor act in any way to reduce the policy coverage and limits available from the insurer.

- P. **Changes:** Contractor shall make no changes in the work or perform any additional work without the County's specific written approval.
- Q. **Change in Ownership/Name, Litigation Status, Conflicts with County Interests:** Contractor agrees that if there is a change or transfer in ownership of Contractor's business prior to completion of this Contract, and the County agrees to an assignment of the Contract, the new owners shall be required under the terms of sale or other instruments of transfer to assume Contractor's duties and obligations contained in this Contract and complete them to the satisfaction of the County.

County reserves the right to immediately terminate the Contract in the event the County determines that the assignee is not qualified or is otherwise unacceptable to the County for the provision of services under the Contract.

In addition, Contractor has the duty to notify the County in writing of any change in the Contractor's status with respect to name changes that do not require an assignment of the Contract. The Contractor is also obligated to notify the County in writing if the Contractor becomes a party to any litigation against the County, or a party to litigation that may reasonably affect the Contractor's performance under the Contract, as well as any potential conflicts of interest between Contractor and County that may arise prior to or during the period of Contract performance. While Contractor will be required to provide this information without prompting from the County any time there is a change in Contractor's name, conflict of interest or litigation status, Contractor must also provide an update to the County of its status in these areas whenever requested by the County.

The Contractor shall exercise reasonable care and diligence to prevent any actions or conditions that could result in a conflict with County interests. In addition to the Contractor, this obligation shall apply to the Contractor's employees, agents, and subcontractors associated with the provision of goods and services provided under this Contract. The Contractor's efforts shall include, but not be limited to establishing rules and procedures preventing its employees, agents, and subcontractors from providing or offering gifts, entertainment, payments, loans or other considerations which could be deemed to influence or appear to influence County staff or elected officers in the performance of their duties.

- R. **Force Majeure:** Contractor shall not be assessed with liquidated damages or unsatisfactory performance penalties during any delay beyond the time named for the performance of this Contract caused by any act of God, war, civil disorder, employment strike or other cause beyond its reasonable control, provided

Contractor gives written notice of the cause of the delay to County within 36 hours of the start of the delay and Contractor avails himself of any available remedies.

- S. **Confidentiality:** Contractor agrees to maintain the confidentiality of all County and County-related records and information pursuant to all statutory laws relating to privacy and confidentiality that currently exist or exist at any time during the term of this Contract. All such records and information shall be considered confidential and kept confidential by Contractor and Contractor's staff, agents, and employees.
- T. **Compliance with Laws:** Contractor represents and warrants that services to be provided under this Contract shall fully comply, at Contractor's expense, with all standards, laws, statutes, restrictions, ordinances, requirements, and regulations (collectively "laws"), including, but not limited to those issued by County in its governmental capacity and all other laws applicable to the services at the time services are provided to and accepted by County. Contractor acknowledges that County is relying on Contractor to ensure such compliance, and pursuant to the requirements of Article "Z" below, Contractor agrees that it shall defend, indemnify, and hold County and County Indemnitees harmless from all liability, damages, costs, and expenses arising from or related to any violation of such laws.
- U. **Freight:** Prior to the County's express acceptance of delivery of products, Contractor assumes full responsibility for all transportation, transportation scheduling, packing, handling, insurance, and other services associated with delivery of all products deemed necessary under this Contract.
- V. **Severability:** If any term, covenant, condition, or provision of this Contract is held by a court of competent jurisdiction to be invalid, void, or unenforceable, the remainder of the provisions hereof shall remain in full force and effect and shall in no way be affected, impaired, or invalidated thereby.
- W. **Attorney Fees:** In any action or proceeding to enforce or interpret any provision of this Contract, each Party shall bear its own attorney's fees, costs, and expenses.
- X. **Interpretation:** This Contract has been negotiated at arm's length and between persons sophisticated and knowledgeable in the matters dealt with in this Contract. In addition, each Party had been represented by experienced and knowledgeable independent legal counsel of their own choosing or has knowingly declined to seek such counsel despite being encouraged and given the opportunity to do so. Each Party further acknowledges that they have not been influenced to any extent whatsoever in executing this Contract by any other party hereto or by any person representing them, or both. Accordingly, any rule or law (including California Civil Code Section 1654) or legal decision that would require interpretation of any ambiguities in this Contract against the party that has drafted it is not applicable and is waived. The provisions of this Contract shall be interpreted in a reasonable manner to effect the purpose of the Parties and this Contract.
- Y. **Employee Eligibility Verification:** Contractor warrants that it fully complies with all federal and State laws and regulations regarding the employment of aliens and others and that all its employees performing work under this Contract meet the citizenship or alien status requirement set forth in federal law and regulation. Contractor shall obtain from all employees performing work hereunder all verification and other documentation of employment eligibility status required by federal or State laws and regulations including, but not limited to, the Immigration Reform and Control Act of 1986, 8 U.S.C. §1324 *et seq.*, as they currently exist and as they may be hereafter amended. Contractor shall retain all such documentation for all covered employees for the period prescribed by the law. Contractor shall indemnify, defend with counsel approved in writing by County, and hold County and County Indemnitees (as defined in Article Z below) harmless from employer sanctions and any other liability which may be assessed against the Contractor or County or both in connection with any alleged violation of any federal or State law or regulation pertaining to the eligibility for employment of any persons performing work under this Contract.
- Z. **Indemnification:** Contractor agrees to indemnify, defend with counsel approved in writing by County, and hold County, its elected and appointed officials, officers, employees, agents and those special districts and agencies for which County's Board of Supervisors acts as the governing Board ("County Indemnitees") harmless from any claims, demands or liability of any kind or nature, including but not

limited to personal injury or property damage, arising from or related to the services, products, or other performance provided by Contractor pursuant to this Contract. If judgment is entered against Contractor and County by a court of competent jurisdiction because of the concurrent active negligence of County or County Indemnitees, Contractor and County agree that liability will be apportioned as determined by the court. Neither Party shall request a jury apportionment.

- AA. **Audits/Inspections:** Contractor agrees to permit the County's Auditor-Controller or the Auditor-Controller's authorized representative (including auditors from a private auditing firm hired by the County) access during normal working hours to all books, accounts, records, reports, files, financial records, supporting documentation, including payroll and accounts payable/receivable records, and other papers or property of Contractor for the purpose of auditing or inspecting any aspect of performance under this Contract. The inspection and/or audit will be confined to those matters connected with the performance of the Contract including, but not limited to, the costs of administering the Contract. The County will provide reasonable notice of such an audit or inspection.

The County reserves the right to audit and verify the Contractor's records before final payment is made.

Contractor agrees to maintain such records for possible audit for a minimum of three years after final payment unless a longer period of records retention is stipulated under this Contract or by law. Contractor agrees to allow interviews of any employees or others who might reasonably have information related to such records. Further, Contractor agrees to include a similar right to the County to audit records and interview staff of any subcontractor related to performance of this Contract.

Should the Contractor cease to exist as a legal entity, the Contractor's records pertaining to this Contract shall be forwarded to the County Project Manager.

- BB. **Contingency of Funds:** Contractor acknowledges that funding or portions of funding for this Contract may be contingent upon State budget approval; receipt of funds from, and/or obligation of funds by, the State of California to County; and inclusion of sufficient funding for the services hereunder in the budget approved by County's Board of Supervisors for each fiscal year covered by this Contract. If such approval, funding, or appropriations are not forthcoming, or are otherwise limited, County may immediately terminate or modify this Contract without penalty.
- CC. **Expenditure Limit:** The Contractor shall notify the County-assigned DPA in writing when the expenditures against the Contract reach 75 percent of the dollar limit on the Contract. The County will not be responsible for any expenditure overruns and will not pay for work exceeding the dollar limit on the Contract unless a change order to cover those costs has been issued.

Additional Terms and Conditions

1. **Definitions, Acronyms and Abbreviations:** Unless otherwise specified, the following capitalized terms shall be given the meanings below:
 - a. **Acceptance Criteria** – The term "Acceptance Criteria" shall have the meaning set forth in Article 27.
 - b. **Acceptance Testing** – The term "Acceptance Testing" shall have the meaning set forth in Article 27.
 - c. **Availability** – The term "Availability" shall mean the percentage of time that a given Service or System is fully operational and available when its resources are called upon at a random point in time. Availability represents a measure of the fraction of time (expressed as a percentage) during a defined period when the Service or System is deemed to be equal to or better than a Designated Service Level.

Availability measurement calculations shall be limited to those Service and System components that are directly under control of the Contractor, as well as Service and System components for which the Contractor is responsible for subcontracting to third parties.

- d. **CAPS+** – The term “CAPS+” shall mean the central accounting software system for the County based on CGI Advantage. CAPS+ is based on an Oracle database structure and utilizes a web-based user interface.
- e. **Core ERP Systems** – The term “Core Systems” shall mean the system which has the functionality as listed in Attachment A, Appendix 1: ERP Business Requirements document.
- f. **County Data** – The term “County Data” shall mean all materials, documents, data, and/or information obtained from the County data files or any County medium furnished to the Contractor in the performance of this Contract.
- g. **Data Loss Prevention** – The term “Data Loss Prevention” shall mean the strategy used to ensure sensitive or critical data is not transmitted outside of the system.
- h. **Deliverable** – The term “Deliverable” shall mean Goods, Software, Information Technology, hardware, and other items (e.g., reports) to be delivered pursuant to this Contract, including any such items furnished incident to the provision of services described in the Scope of Work.
- i. **Documentation** – The term “Documentation” shall mean, with respect to any particular items: (i) all of the written, printed, electronic, or otherwise formatted materials that relate to such items, or any component thereof; (ii) all user, operator, system administration, technical, training, support, and other manuals and all other written, printed, electronic, or other format materials that represent, demonstrate, explain, or describe the functional, operational, or performance capabilities of such items; and (iii) all specifications, materials, flow charts, notes, outlines, manuscripts, writings, pictorial or graphical materials, schematics, and other documents that represent, demonstrate, explain, or describe such items.
- j. **Effective Date** – The term “Effective Date” shall mean the date that Contract is fully executed by all Parties.
- k. **End User** – The term “End User” or “end user”, unless expressly specified, shall mean the person upon whom the County intends to confer the right to access and use the ERP System or receive the benefit of the ERP System.
- l. **Equipment** – The term “Equipment” shall mean either an individual machine or the complete data processing System.
- m. **ERMI** – “ERMI” or “Electronic Report Management and Imaging” means County’s document management system that provides online access to financial reports and documents.
- n. **ERP** – The term “ERP” means Enterprise Resource Planning.
- o. **ERP System** – The term “ERP System” shall mean Enterprise Resource Planning System as described in Attachment A, Scope of Work and Attachment A, Appendix 1: ERP Business Requirements.
- p. **ERP System Operating Hours** – The term “ERP System Operating Hours” shall mean the hours in which the ERP System is available, which are Monday through Saturday, 6 am to 7 pm. These hours may be modified in writing by the County.

- q. **Go Live** – The term “Go Live” shall mean the Milestone in Attachment A where the Contractor provides the County with written notice that the ERP System is ready to be used by the County.
- r. **Goods** – The term “Goods” shall mean all types of tangible personal property, including but not limited to materials, supplies, and equipment (including computer and telecommunications equipment).
- s. **Incident** – The term “Incident” shall mean any event which is not part of the standard operation of a Service, and which causes, or may cause, an interruption to, or a reduction in, the quality of that Service.
- t. **Information Technology** – The term “Information Technology” or “IT” includes, but is not limited to, all electronic technology systems and services, automated information handling, system design and analysis, conversion of data, computer programming, information storage and retrieval, telecommunications which include voice, video, and data communications, requisite system controls, simulation, electronic commerce, and all related interactions between people and machines.
- u. **Integration** – The term “Integration” shall mean to link together different systems and/or applications, either physically or functionally.
- v. **Intellectual Property Rights** – The term “Intellectual Property Rights” shall mean intellectual property rights as may exist anywhere in the world including without limitation rights in trade secrets, trademarks, copyrights, and patents.
- w. **Malware** – The term “Malware” shall mean software designed to infiltrate or damage a computer system without the owner's informed consent. Software is considered Malware based on the perceived intent of the creator rather than any particular features. Malware includes computer viruses, worms, Trojan horses, most rootkits, spyware, dishonest adware, crime ware, and other malicious and/or unwanted software.
- x. **Milestone** – The term “Milestone” shall mean a group, batch, or phase comprising several Deliverables and/or tasks.
- y. **Optional Systems** – The term “Optional Systems” shall mean the system which has the functionality as listed in the following tabs of the Attachment A, Appendix 1: ERP Business Requirements document:
- i. Optional Time & Attendance
 - ii. Optional Employee Reimbursement
 - iii. Optional Fund Account System
 - iv. Optional Revenue Plus System
 - v. General-Technical (applies to all systems)
- z. **Service Level/Service Level Requirements** – The term “Service Level” means, generally, a minimum acceptable level of service or performance for a particular task, activity, or Service performed by Contractor hereunder, as specified in Attachments A and B. “Service Level Requirements” or “SLR” is the specific performance requirement for a Service Level (typically, but not exclusively, a measure of efficiency expressed as a percentage).
- aa. **Service(s)** – The term “Service(s)” shall mean the work or labor being performed or already performed in accordance with this Contract as stated in Attachment A – Scope of Work.

- bb. **Software** – The term “Software” shall be an all-inclusive term that means computer programs and program objects of any kind (including object code and source code, and any intermediate forms or versions thereof), program set-up and customization parameters and data, and the tangible media on which any of the foregoing are recorded that are provided by Contractor to County under this Contract.
- cc. **Software as a Service (SaaS)** – The term “Software as a Service” or “SaaS” shall mean the capability provided to the consumer is to use applications made available by the provider running on a cloud infrastructure. The applications are accessible from various client devices through a thin client interface such as a web browser (e.g., web-based email). The consumer does not manage or control the underlying cloud infrastructure including network, servers, operating systems, storage, or even individual application capabilities, with the possible exception of limited user-specific application configuration settings.
- dd. **System** – The term “System” shall mean a set of interacting or independent components forming an integrated whole providing a business process.
- ee. **Update** – The term “Update” shall mean any bugs, patches, fixes, enhancements, improvements to the Software, or any addition of new features pertaining only to the County’s existing modules.
- ff. **Upgrade** – The term “Upgrade” shall mean platform changes, addition of new modules or new integration points, or the creation of new versions.
2. **Scope of Contract:** This Contract specifies the contractual terms and conditions by which the County will procure services from Contractor for an ERP System, as further detailed in the Scope of Work, identified and incorporated herein by this reference as “Attachment A.”
3. **Term of Contract:** This Contract shall commence work on the date this Contract is fully executed and shall be effective for 10 years, unless otherwise terminated by County. This Contract may be renewed as set forth in Article 4 below (Renewal).
4. **Renewal:** This Contract may be renewed by mutual written agreement of both Parties . The County does not have to give reason if it elects not to renew. Renewal periods may be subject to approval by the County Board of Supervisors.
5. **Precedence:** The Contract documents consist of this Contract and its exhibits and attachments. In the event of a conflict between or among the Contract documents, the order of precedence shall be the provisions of the main body of this Contract, i.e., those provisions set forth in the recitals and articles of this Contract, and then the exhibits and attachments.
6. **Compensation:** This is a fixed-price contract between the County and Contractor for services provided in Attachment A – Scope of Work. Compensation for services shall be as set forth in Attachment B – Compensation and Invoicing, attached hereto and made a part hereof.

Payment does not imply acceptance of work. The granting of any payment by County, or the receipt thereof by Contractor, shall in no way lessen Contractor’s obligation to replace unsatisfactory work, equipment, or materials whether or not the unsatisfactory character of such work, equipment, or materials was apparent or detected at the time such payment was made.

7. **Retention:** The final payment of ten percent (10%) of the total not-to-exceed amounts set forth in Attachment B - Compensation and Invoicing shall be paid thirty (30) days after County issues its notice of Final Acceptance of the Go-Live Deliverable as set forth in Article 27 (Acceptance Testing).
8. **Conflict of Interest – Contractor’s Personnel:** Contractor shall exercise reasonable care and diligence to prevent any actions or conditions that could result in a conflict with the best interests of the County. This obligation shall apply to Contractor, its employees, agents, and subcontractors associated with accomplishing work and services hereunder. Contractor’s efforts shall include, but not be limited to, establishing precautions to prevent its employees, agents, and subcontractors from providing or offering gifts, entertainment, payments, loans or other considerations which could be deemed to influence or appear to influence County staff or elected officers from acting in the best interests of the County.
9. **Conflict of Interest – County Personnel:** County Board of Supervisors policy prohibits its employees from engaging in activities involving a conflict of interest or creating the appearance of such a conflict. Contractor shall not, during the period of this Contract, employ any County employee for any purpose.
10. **County Project Manager:** County shall appoint a “County Project Manager” to act as liaison between the County and the Contractor during the term of this contract. The County Project Manager shall coordinate the activities of the County staff assigned to work with the Contractor.
11. **Contractor Project Manager and Key Personnel:**

Contractor shall appoint a “Contractor Project Manager” to direct the Contractor’s efforts in fulfilling Contractor’s obligations under this Contract. This Contractor Project Manager shall be subject to approval by the County and shall not be changed without the written consent of the County Project Manager, which consent shall not be unreasonably withheld.

The Contractor Project Manager shall be assigned to this project for the duration of the Contract and shall diligently pursue all work and services to meet the project timelines. The County Project Manager shall have the right to require the removal and replacement of the Contractor Project Manager from providing services to the County under this Contract. The County Project Manager shall notify Contractor in writing of such action. Contractor shall accomplish the removal within three (3) business days after written notice by the County Project Manager. The County Project Manager shall review and approve the appointment of the replacement for the Contractor Project Manager. The County is not required to provide any additional information, reason, or rationale in the event it requires the removal of Contractor Project Manager from providing further services under the Contract.

Contractor employees and positions necessary for the successful performance of this Contract are specified in Attachment A.

In the event one (1) or more of the above-named personnel are no longer available for the performance of this Contract, Contractor agrees to replace such personnel, after consulting with County and County’s approval, with personnel of a comparable level of experience, qualifications, and ability within three (3) days. Such approval by the County shall not be unreasonably withheld. The list of key personnel will be maintained on a separate project spreadsheet.

Contractor shall not substitute other persons for the key personnel or otherwise materially reduce the time commitment of any key personnel to the performance of this Contract without County’s prior written approval, which shall not be unreasonably withheld.

12. **News/Information Release:** The Contractor agrees that it will not issue any news releases in connection with either the award of this Contract or any subsequent amendment of or effort under this Contract without first obtaining written approval of said news releases from the County Project Manager.

13. **Publication:** No copies of sketches, schedules, written documents, computer-based data, photographs, maps or graphs, including graphic artwork, resulting from performance or prepared in connection with this Contract, are to be released by Contractor and/or anyone acting under the supervision of Contractor to any person, partnership, company, corporation, or agency, without prior written approval by the County, except as necessary for the performance of the services of this Contract. All press releases, including graphic display information to be published in newspaper, magazines, etc., are to be administered only by the County unless otherwise agreed to by both Parties.

14. **Disputes – Contract:**

A. The parties shall deal in good faith and attempt to resolve potential disputes informally. If the dispute concerning a question of fact arising under the terms of this Contract is not disposed of in a reasonable time by the Contractor Project Manager and the County's Project Manager, such matter shall be brought to the attention of the County Deputy Purchasing Agent by way of the following process:

a. Contractor shall submit to the agency/department assigned Deputy Purchasing Agent a written demand for a final decision regarding the disposition of any dispute between the parties arising under, related to, or involving this Contract, unless the County, on its own initiative, has already rendered such a final decision.

b. Contractor's written demand shall be fully supported by true and factual information, and, if such demand involves a cost adjustment to the Contract, Contractor shall include with the demand a written statement signed by a senior official indicating that the demand is made in good faith, that the supporting data are accurate and complete, and that the amount requested accurately reflects the Contract adjustment for which Contractor believes the County is liable.

B. Pending the final resolution of any dispute arising under, related to, or involving this Contract, Contractor agrees to diligently proceed with the performance of this Contract, including the delivery of goods and/or provision of services. Contractor's failure to diligently proceed shall be considered a material breach of this Contract.

Any final decision of the County shall be expressly identified as such, shall be in writing, and shall be signed by the County Deputy Purchasing Agent or his designee. If County fails to render a decision within 90 days after receipt of Contractor's demand, such failure to respond shall be deemed a final decision denying Contractor's demanded relief. Nothing in this Article 14 shall be construed as affecting County's right to terminate the Contract for cause or for convenience as stated in Article K of the General Terms and Conditions.

15. **Errors and Omissions:** All reports, files, and other documents prepared and submitted by Contractor shall be complete and shall be carefully checked by Contractor Project Manager and applicable key personnel identified in Attachment A prior to submission to County. Contractor agrees that County review is discretionary, and Contractor shall not assume that the County will discover errors and/or omissions. If County discovers any errors or omissions prior to approving Contractor's reports, files, or other written documents, the applicable reports, files, or documents will be returned to Contractor for correction. Should County or others discover errors or omissions in the reports, files, or other written documents submitted by Contractor after County approval thereof, County approval of Contractor's reports, files, or documents shall not be used as a defense by Contractor in any dispute or action between County and Contractor, and the reports, files, or documents will be returned to Contractor for correction.

16. **Gratuities:** Contractor warrants that no gratuities, in the form of entertainment, gifts or otherwise, were offered or given by Contractor or its agent or representative to any County officer or employee with a view toward securing the Contract or securing favorable treatment with respect to any determinations concerning the performance of the Contract. For breach or violation of this warranty, County shall have the right to terminate the Contract, either in whole or in part, and any loss or damage sustained by County in procuring on the open market any goods or services which Contractor agreed to supply shall be borne and paid for by Contractor. County's rights and remedies described in this provision shall not be exclusive and are in addition to any other rights and remedies provided by law or under the Contract.
17. **Notices:** All notices, requests, demands, and other communications contemplated, called for, permitted, or required to be given hereunder shall be in writing with a copy provided to the County DPA, except through the course of the Parties' project managers' routine exchange of information and cooperation during the course of performance. Any written communications shall be deemed to have been duly given upon actual in-person delivery, if delivery is made in person, or upon delivery on the actual day of receipt or no greater than four (4) calendar days after being mailed by US certified or registered mail, return receipt requested, postage prepaid, whichever occurs first. The date of mailing shall count as the first day. All communications shall be addressed to the appropriate party at the address stated herein or such other address as the parties hereto may designate by written notice from time to time in the manner aforesaid.

For Contractor: Company Name: TBD
 Attention: TBD
 Address: TBD

For County: County of Orange
 Attention: TBD
 Auditor-Controller's Office
 1770 N Broadway, Santa Ana, CA 92701

CC: County of Orange
 Attention: Lorena Bogarin, DPA
 Auditor-Controller's Office
 1770 N Broadway, Santa Ana, CA 92701
 E-mail: Lorena.Bogarin@ac.ocgov.com

18. Rights in Work Product:

- a. All inventions, discoveries, intellectual property, technical communications, and records originated or prepared by Contractor pursuant to this Contract including documents, reports, charts, computer programs, and other incidental or derivative work or materials furnished hereunder ("Work Product") shall become and remain County's sole property and may be used by County as it may require without additional cost to County. None of the Work Product shall be used by Contractor without County's express written consent.
- b. Software and other materials developed or otherwise obtained by or for Contractor or its affiliates independently of this Contract ("Pre-Existing Materials") do not constitute Work Product. If Contractor creates derivative works of such Pre-Existing Materials, the elements of such derivative works created pursuant to this Contract constitute Work Product, but other elements do not. Nothing in this Article 18 shall be construed to interfere with Contractor's ownership of Pre-Existing Materials.
- c. County will have Government Purpose Rights to the Work Product delivered to County hereunder. "Government Purpose Rights" are the unlimited, irrevocable, worldwide, perpetual, royalty-free, non-exclusive rights and licenses to use, modify, reproduce, perform, release, display, create derivative works from, and disclose the Work Product. "Government

Purpose Rights” also include the right to release or disclose the Work Product outside the County for any County government purpose and to authorize recipients to use, modify, reproduce, perform, release, display, create derivative works from, and disclose the Work Product for County’s benefit. Such recipients of the Work Product may include without limitation County contractors as well as federal, state, and other local governmental entities. “Government Purpose Rights” do not include any rights to use, modify, reproduce, perform, release, display, create derivative works from, or disclose the Work Product for any commercial purpose.

- d. The ideas, concepts, know-how, or techniques related to data processing developed by Contractor or jointly by Contractor and County during the course of this Contract may be used by either Party without obligation of notice or accounting.
 - e. This Contract shall not preclude Contractor from developing materials outside this Contract that are competitive, irrespective of their similarity to materials which might be delivered to County pursuant to this Contract.
19. **Reports and Meetings:** Contractor shall develop reports and any other relevant documents necessary to complete the services and requirements as set forth in this Contract. The County Project Manager and the Contractor Project Manager will meet on reasonable notice to discuss Contractor’s performance and progress under this Contract. If requested, the Contractor Project Manager and other project personnel shall attend all meetings. Contractor shall provide such information that is requested by County for the purpose of monitoring progress under this Contract.
20. **Termination – Orderly:** Upon receipt of a termination notice from County, Contractor shall stop work under this Contract on the date and to the extent specified in the termination notice. Contractor shall complete performance of all portions of the work not terminated by the termination notice, if any. Contractor may submit to County a termination claim, if applicable. Such claim shall be submitted promptly, but in no event later than sixty (60) calendar days from the effective date of the termination, unless one or more extensions in writing are granted by County upon Contractor’s written request. Upon termination, County shall pay Contractor for all services performed prior to termination which meet the requirements of the Contract, provided, however, that such compensation combined with previously paid compensation shall not exceed the total compensation set forth in the Contract. Upon termination or other expiration of this Contract, each Party shall promptly return to the other Party all papers, materials, and other properties of the other held by each for purposes of performance of the Contract and Contractor shall return all County Data in the file format mutually agreeable by the Parties within thirty (30) calendar days.

In addition, Contractor at its own expense shall erase, destroy, and render unreadable all data in its entirety remaining in Contractor’s (including any subcontractor’s) possession, **but only after the County Data has been returned to County and County has confirmed the integrity and completeness of such data.** County Data must be erased in a manner that prevents its physical reconstruction using commonly available file restoration utilities. Certification in writing that these actions have been completed must be provided within thirty (30) calendar days of termination or expiration of this Contract or within seven (7) calendar days of a request of County, whichever comes first. Encrypted backups must be erased within sixty (60) calendar days after termination or expiration of this Contract. To the extent that any applicable law or court order prevents Contractor from destroying or erasing County Data as set forth herein, Contractor shall retain, in its then current state, all such County Data then within its right of control or possession in accordance with the confidentiality, security, and other requirements of this Contract and perform its obligations under this Article as soon as such law or court order no longer prevents it from doing so.

21. **Breach of Contract:** Contractor’s failure to comply with any of the provisions, covenants, or conditions of this Contract shall be a material breach of this Contract. In such event the County may, in addition to any other remedies available at law, in equity, or otherwise specified in this Contract:

- a. Terminate the Contract immediately pursuant to Article K of the General Terms and Conditions;
 - b. Afford Contractor written notice of the breach and ten (10) calendar days or such shorter time that may be specified in this Contract within which to cure the breach;
 - c. Discontinue payment to Contractor for and during the period in which Contractor is in breach; and
 - d. Offset against any monies billed by Contractor but not yet paid by County those monies disallowed pursuant to this Contract.
22. **Conditions Affecting Work:** Contractor shall be responsible for taking all steps reasonably necessary to ascertain the nature and location of the work to be performed under this Contract and to know the general conditions which can affect the work or the cost thereof. Contractor's failure to do so will not relieve Contractor from responsibility for successfully performing the work without additional cost to County. County assumes no responsibility for any understanding or representation concerning the nature, location(s), or general conditions made by any of its officers, employees, or agents prior to the execution of this Contract unless such understanding or representation is expressly stated in this Contract.
23. **Contractor's Expense:** Contractor will be responsible for all costs related to photo copying, telephone communications, fax communications, and parking while on County sites during the performance of work and services under this Contract. County will not provide free parking for any service in the County Civic Center except parking located at or near 1770 N. Broadway, Santa Ana CA 92706.
24. **Usage:** No guarantee is given by County to Contractor regarding usage of this Contract. Usage figures, if provided, are approximations. Contractor agrees to supply services and/or commodities requested at rates/prices listed in the Contract, regardless of quantity requested.
25. **SaaS and Data Security:**
- a. Contractor shall certify to the County:
 - i. The sufficiency of its security standards, tools, technologies, and procedures in providing SaaS under this Contract;
 - ii. Compliance with the following:
 - (1) All laws and regulations applicable to Contractor in connection with the operation of its business as it pertains to this Contract;
 - (2) Undergo an annual Statement on Standards for Attestation Engagements (SSAE) No. 16 Service Organization Control (SOC) 2 Type II audit. Audit results and Contractor's plan to correct any negative findings shall be made available to the County upon request; and
 - (3) Privacy provisions of the Federal Privacy Act of 1974; and
 - iii. Compliance with the following, as applicable:
 - (1) Data will be on the government cloud with proper security measures.
 - b. Contractor shall implement and maintain appropriate administrative, physical, technical, and procedural safeguards in accordance with section a) above at all times during the term of this Contract that are designed to secure such data from data breach, protect the Data and the SaaS from hacks, introduction of viruses, disabling devices, Malware and other forms of malicious or inadvertent acts that can disrupt the County's access to its data.

- c. No County Data shall be copied, modified, destroyed, or deleted by Contractor other than for normal operation or maintenance of SaaS or as otherwise necessary for Contractor to perform its duties under the Contract during the Contract period, or for product analysis or improvement purposes, unless otherwise agreed between the Parties in writing.
 - d. Contractor shall ensure that all Contractor staff provided access to County Data complete County-approved security training prior to accessing County Data. Contractor shall maintain records of compliance with this provision and provide County with such records upon request.
26. **Acceptance of Services:** Acceptance of the Services or any portion thereof shall not be deemed complete unless in writing and until all the Services have been received, inspected, and tested to the reasonable satisfaction of County, including but not limited to the testing set forth in Article 27, Acceptance Testing.
27. **Acceptance Testing:** All Deliverables shall be provided to County by Contractor in conformity with all requirements, specifications, Acceptance Criteria, and time periods set forth or referenced in this Contract. Contractor shall at all times utilize complete and thorough Acceptance Testing procedures, and appropriate Acceptance Criteria, all of which shall be subject to review and approval by the County's Project Manager, and no such activities shall be deemed completed until all Acceptance Criteria, whether set forth in this Contract or mutually agreed upon by the Parties in writing, have been successfully met. Moreover, nothing in this Article shall limit in any way the County's right to terminate immediately for cause or convenience pursuant to Article K of the General Terms and Conditions.
- a. Acceptance Testing:
Contractor shall notify County in writing of its completion and delivery of each Deliverable by providing a "Deliverable Acceptance Memorandum" to the County's Project Manager identifying the Deliverable Number and title. At a mutually agreed time thereafter, County shall begin testing the component or Deliverable to determine whether such component or Deliverable conforms to the applicable specifications and/or standards (collectively, the "Acceptance Criteria"). After County has completed such testing or upon expiration of the agreed-upon testing period (the "Acceptance Testing Period)", County shall notify Contractor in writing either that the component or Deliverable (a) meets the Acceptance Criteria and that acceptance of such component or Deliverable has occurred ("Acceptance"); or (b) does not meet the Acceptance Criteria and the reasons therefor. If the component or Deliverable is identified as being part of a larger, integrated system being developed thereunder, then any Acceptance under the terms of this subsection shall be understood as being conditional acceptance ("Conditional Acceptance"), and such component or Deliverable shall be subject to Final Acceptance, as described below.
 - b. Cure: If County determines that a component or Deliverable does not conform to the applicable Acceptance Criteria, and that it is in County's interest to allow Contractor additional time to correct the problem, County shall deliver to Contractor a written exception report describing the nonconformity (the "Exception Report"). Within ten (10) calendar days following receipt of the Exception Report, Contractor shall: (a) perform a root cause analysis to identify the cause of the nonconformity; (b) provide County with a written report detailing the cause of, and procedure for correcting, such nonconformity; (c) provide County with satisfactory evidence that such nonconformity will not recur; and (d) use best efforts to correct critical errors (as reasonably determined by County) and use commercially reasonable efforts to correct all other errors reasonably requested by County and accepted by Contractor; provided, however, that if the nonconformity of critical errors is incurable within such ten (10) calendar day period then, within such ten (10) calendar day period, Contractor shall present to County a mutually agreeable plan to cure such nonconformity within a reasonable amount of time. Upon Contractor's notice to County that Contractor has cured any such nonconformity, County shall re-test the defective component or Deliverable for an additional testing period of up to thirty (30) calendar days or such other period as the Parties may mutually agree

upon in writing, at the end of which period the process described in subsections (a) through (c) above shall be repeated. In the event County rejects the component or Deliverable a second time and Contractor disagrees with such rejection, then the Parties shall escalate the issue(s) to senior management of both Parties for mutual resolution.

- c. **Final Acceptance:** Upon achievement of Conditional Acceptance for all identified components or Deliverables, County shall begin testing the System that is comprised of such components or Deliverables using the applicable test procedures and standards to determine whether such System performs as an integrated whole in accordance with the Acceptance Criteria. After County has completed such testing or upon expiration of the testing period (the "Final Acceptance Testing Period"), County shall notify Contractor in writing that the System, and all components and Deliverables that are a part thereof: (a) meet the Acceptance Criteria and that final acceptance of the System and such components and Deliverables has occurred ("Final Acceptance"); or (b) does not meet the Acceptance Criteria and the reasons therefor. If County determines that the Acceptance Criteria have not been so met, the process described in subsection (b) above shall be initiated, with all references to "component or Deliverable" being references to the "System," and all references to the "Acceptance Testing Period" being references to the "Final Acceptance Testing Period." Neither Conditional Acceptance, Acceptance nor Final Acceptance by County shall constitute County's waiver of any right to assert claims based upon defects not discernible through conduct of the applicable test procedures and subsequently discovered in a component or Deliverable or the System following the County's Final Acceptance thereof. Nothing else, including the County's use of the System, or any component thereof, shall constitute Final Acceptance, affect any rights and remedies that may be available to County, and/or constitute or result in "acceptance" of the System in contract law or otherwise.

28. **Service Level Commitment:** Except as otherwise specified in this Contract, from and after the Effective Date, Contractor shall perform the Services at levels that are equal to or better than the Service Level Requirements ("SLR") applicable to such Services. Contractor shall be responsible for meeting or exceeding the applicable SLRs even where doing so is dependent on the provision of Services by subcontractors or other non-contractor personnel. The Service Level methodology applicable to the SLRs is set forth in Attachment A. Any resources utilized by the Contractor pursuant to the terms hereof shall incorporate methods permitting measurement of all performance related SLRs. Contractor shall measure and compare the actual or observed performance resulting from Contractor's performance of the Services with the SLRs during each month. Contractor shall prepare and deliver or make available to the County's Project Manager by the tenth (10th) business day of the following month, a SLR report in a format to be agreed to by the County's Project Manager and the Contractor's Project Manager as set forth in Attachment A.

29. **Service Level Fee Reductions:**

- a. Contractor's failure to meet the Application Performance and Service Level Requirements described in Attachment A will result in the Fee Reductions stated in Attachment B, Compensation and Invoicing. The Parties agree that the Fee Reductions reflect a reasonable estimate of the diminished value of the Services as a result of any Contractor failure to provide the Services in accordance with the Service Level Requirements, and accordingly do not constitute nor shall be construed or interpreted as unenforceable penalties.
- b. Fee Reductions shall in no event be County's sole and exclusive remedy with respect to any failure of Contractor as described in this clause.
- c. Fee Reductions shall be in the form of a credit to County to be applied to the subsequent invoice(s) until County is fully compensated such Fee Reduction.

- d. If Contractor fails to issue the Fee Reduction credit, the County may automatically deduct the credit from any monies due or owing to the Contractor from the County.
- e. Contractor shall provide a corrective action plan upon identification of the issue in accordance with the Service Level Requirement outlined in Attachment A.
30. **Set-Off:** The County may set-off against any and all amounts otherwise payable to Contractor pursuant to any of the provisions of this Contract: (i) any and all amounts claimed by County in good faith to be owed by Contractor to County pursuant to any of the provisions of this Contract; and (ii) any and all amounts claimed by County in good faith to be owed by Contractor pursuant to any other written agreement between the Parties. Within twenty (20) days after any such set-off, County shall provide Contractor with a written accounting of such set-off and a written statement of the reasons therefore.
31. **Disputed Amounts:** County may withhold payment of fees or any other charges otherwise due to Contractor under this Contract to the extent that County reasonably disputes such charges in good faith. In such case, County shall provide to Contractor a reasonably detailed written explanation of the basis for the dispute and shall continue to make payments of undisputed amounts as otherwise provided in this Contract. If any disputed amounts are later determined to have been improperly withheld (i.e., properly charged by Contractor), then County shall pay the withheld amount in accordance with this Contract until such amount is paid in full. If any paid amounts are later disputed by County and determined to have been improperly paid (i.e., improperly charged by Contractor), then Contractor shall promptly reimburse the County, in cash, the improperly paid amount. County's failure to withhold payment shall not constitute County's waiver of any other rights County may have with respect to disputed amounts or overpayments.
32. **Non-Exclusivity:** Nothing herein shall prevent County from providing for itself or obtaining from any third party, at any time during the Contract term or thereafter, the Services, or any type of products or services in any way analogous, similar, or comparable to the Services, as applicable, or any other products or services. Nor shall anything in this Contract be construed or interpreted as limiting County's right or ability during the Contract term to increase or decrease its demand for Services hereunder.
33. **Software License:** Contractor hereby grants to County and County accepts from the Contractor, subject to the terms and conditions of this Contract, a royalty-free, non-exclusive license to use all Software of any type provided by Contractor to County and associated documentation pursuant to this Contract. The license is extended to any contractors, subcontractors, vendors, consultants, and others who have a need to use the Software for County's benefit. County may use the Software only in connection with the use of the Services and according to any licensing terms specified elsewhere in the Contract

Acceptance of Software (including third party Software) will be governed by the terms and conditions of this Contract alone and not any separate license agreement or other similar agreement. All automated end-user license agreements (including, but not limited to, click-throughs, shrink-wrap, or browse-wrap) and other non-negotiated terms and conditions provided with the Software are specifically excluded and null and void. All such terms and conditions do not constitute a part or amendment of this Contract and are non-binding on County, its employees, agents, and other authorized users, even if access to or use of the Software requires affirmative acceptance of such terms and conditions. For any automated end-user license agreement that requires the end user to manifest his or her assent to terms and conditions by clicking an "agree" or other affirmative button on a dialog box or pop-up window as part of the installation process or use of Software, clicking does not represent acknowledgement or agreement to any terms and conditions contained in those agreements. The sole purpose of the automated end-user license agreement is to operate as the mechanism for the installation of the Software.

34. **Future Releases:** Unless otherwise specifically provided in this Contract, or the Scope of Work, if improved versions (e.g., patches, bug fixes, Updates, or releases) of any solution are developed by

Contractor, and are made available to other licensees, they will be made available to County at no additional cost if such are made available to other licensees at no additional cost. If Contractor offers new versions or Upgrades to the solution, they shall be made available to County at County's option at a price no greater than the additional price proportionate to the increase from the list price of the original version to that of the new version, if any. If the Software has no list price, such price increase will be proportionate to the increase in average price from the original to the new version, if any, as estimated by Contractor in good faith.

35. **Software Maintenance:** The correction of any residual errors in Software which may be discovered by either Party will be considered maintenance. Such maintenance will be performed by Contractor without additional charge for the duration of this Contract. Contractor will be available to assist County in isolating and correcting error conditions caused by County's particular hardware or operating system at rates specified in this Contract. If Contractor is called upon to correct an error caused by the County's negligence, modification by the County, County-supplied data, or machine or operator failure or due to any other cause not inherent in the original Software, Contractor may charge County for such service on a time-and-material basis at rates in accordance with this Contract.
36. **Legal Entity:** Should Contractor cease to exist as a legal entity, Contractor's records pertaining to this Contract shall be forwarded to the surviving entity in a merger or acquisition or, in the event of liquidation, to the County's Project Manager.
37. **Security Deliverables and Documents:** As this Contract may involve Contractor having direct access to County proprietary information, IT staff, and Systems, County has outlined various Deliverables and Documentation in relation to Contractor data security that shall be provided by Contractor to the County within thirty (30) calendar days prior to going live. County shall review these Deliverables and Documentation prior to final approval and actual access to the resources or transfer of any information related to this Contract.

Deliverables and Documentation to be provided by Contractor are as follows:

- a. Staff Related Items
- i. Pre-Employment Screening Policy/Procedure
 - ii. Background Check Procedure
 - iii. Staff Roster and Duties
 - iv. US Staffing Duties
- b. Security Related Items
- i. SOC 1 Type I or Type II report (within twelve (12) months of report date but no older than twenty-four (24) months). If the report is not provided the proposer agrees to provide a SOC 1 Type II report upon County's request at proposer's expense within 180 days of County request.
- c. I.T. Systems Related Items
- i. Policies Related to data, and resources that will be removed from hosting facilities
 - ii. Policies Related to access to County Data internally or via remote access
38. **Data Location:** Except as explicitly agreed in writing by County, the physical location of the Contractor's data center(s) where County Data is stored shall be within the continental United States.

39. Relationship Management:

- a. **Status Reports:** Contractor shall deliver to the County Project Manager a written report summarizing the progress of the Services and the operation of the ERP System during the preceding month, including problems that have occurred and that could delay Contractor's performance of anticipated activities and expected problems during the upcoming month (each such report, a "Status Report"). At a minimum, each Status Report shall include: (a) the current status and progress of the performance of the Services and an assessment of how such status and progress compares to the deadlines set forth in the Scope of Work; (b) any actual delays; (c) any reasonably anticipated delays; (d) any failures, or correction of any failures; and (e) such other information as County may reasonably request from time to time. Notwithstanding the foregoing, Contractor shall immediately notify (but in no event more than five (5) business days after Contractor first knew of the obstruction or delay) the County's Project Manager, in writing, in the event that the Contractor is materially obstructed or delayed in its performance of the Services.
- b. **Status Meetings:** Throughout the term of the Contract, representatives of the Parties shall meet and/or teleconference periodically as requested by County to discuss matters arising under this Contract. The place and time, and whether to meet via teleconference or in person, shall be mutually agreed upon by the Parties.
- c. **Action Plan:** Periodically during the term of this Contract, but not less frequently than once each month, Contractor shall be responsible for identifying, analyzing, managing, and recording issues and risks throughout the Implementation period and will provide County with an action plan for resolution.

40. Discovery: Contractor shall promptly notify County upon receipt of any requests which in any way might reasonably require access to County Data or County's use of Contractor's Services. Contractor shall notify County by the fastest means available and also in writing, with additional notification provided to the County Project Manager or designee, unless prohibited by law from providing such notification. Contractor shall provide such notification within forty-eight (48) hours after Contractor receives the request. Contractor shall not respond to subpoenas, service of process, Public Records Act requests, and other legal requests directed at Contractor regarding this Contract without first notifying County, unless prohibited by law from providing such notification. Contractor agrees to provide its intended responses to County with adequate time for County to reasonably review, revise, and, if necessary, seek a protective order in a court of competent jurisdiction. Contractor shall not respond to legal requests directed at the County unless authorized in writing to do so by County.

41. Preparation for Successor to this Contract: At any time or times during the term of this Contract, at County's written request and at no additional cost to County, Contractor shall provide County with any information that County is entitled to receive under this Contract that County desires to use in preparing a request for proposal to solicit responses, or responding to proposals, for the purpose of entering into an agreement that would function as the successor to this Contract. Such requested information may include, among other things, current and projected transactional or other relevant volumes, resource utilization and performance statistics and trends, forms utilization, and such other information, statistics, and materials related to the provision of the Services, or the use, operation, support, and maintenance of the solution Systems as County shall reasonably deem necessary or appropriate.

42. Transition Period:

- a. For one hundred twenty (120) days prior to the expiration date of this Contract, or as specified by County upon notice of termination of this Contract, Contractor shall assist County in extracting and/or transitioning all County Data in the format determined by County ("Transition Period").
- b. During the Transition Period, Service and Data access shall continue to be made available to County as required by the Scope of Work without interruption or adverse impact on the Services, Service Levels, or any products or services provided to County by third parties.

- c. County shall continue to pay Contractor for Services provided during the Transition Period at rates not exceeding those applicable for such Services during the prior twelve months of the Contract term.
 - d. During the Transition Period, Contractor shall take all necessary and appropriate actions and provide any services reasonably requested by County (collectively, “Transition Services”) to accomplish a complete, timely, and seamless transition from Contractor to County, or to any third-party service provider(s) designated by County, of the Services being terminated or expiring.
 - e. As soon as practicable, but no later than 30 days following the commencement of the Transition Period, Contractor and County, and any applicable third party, shall negotiate and complete in good faith a written agreement (“Transition Plan”) that allocates responsibilities among the parties to accomplish the goals of this Section, and that sets forth in detail the respective services to be provided by each, including Transition Services to be provided by Contractor. The Transition Plan shall include Contractor’s estimate of the full-time equivalent (FTE) hours and applicable billing rates required to perform Contractor’s tasks on a time-and-materials basis. Notwithstanding the foregoing, Contractor shall use commercially reasonable efforts to utilize its existing staff to perform all of its Transition Plan obligations without requiring additional FTEs and at no additional cost to County.
 - f. Contractor shall provide Transition Services in accordance with the relevant portion(s) of the Scope of Work at the rates described in Attachment B – Compensation and Invoicing, or as negotiated in good faith and specified in the Transition Plan.
 - g. County, at its option, may purchase additional Transition Services listed in the Scope of Work, and may delay the termination or expiration of all or part of the Services by giving 30 days’ written notice to Contractor to such effect, provided that County may not delay such termination or expiration, in the aggregate, more than 180 days following the originally specified termination or expiration date unless otherwise agreed by Contractor.
 - h. The Transition Period, Transition Services, and Transition Plan may be modified as agreed upon in writing by the Parties.
 - i. Contractor shall deliver to the County or the County’s designee, promptly upon the County’s request, all documentation and data related to the County or the performance of the Services, including all the County Data, then held by Contractor.
 - j. Contractor agrees to compensate County for damages or losses County incurs as a result of Contractor’s failure to comply with the provisions of this Section and the Transition Plan, which damages or losses may offset against any sums owed by County to Contractor upon termination or expiration of the Contract.
43. **Debarment:** Contractor certifies that neither Contractor nor its principles are presently debarred, proposed for debarment, declared ineligible, or voluntarily excluded from participation in the transaction by any federal, state, or local governmental department or agency.
44. **Compatibility of Resources:** Contractor shall ensure that the solution Software, all Services, and all Software, assets, hardware, Equipment, and other resources and materials (collectively, the “Contractor Resources”) that are provided by Contractor to County, otherwise utilized by Contractor, or approved by Contractor for County’s utilization, in connection with the use or operation of the solution, or with the providing or receiving of the Services, shall be successfully and fully integrated and interfaced, and shall be compatible with all applicable County Software, Services, Systems, items, and other resources (collectively, the “County Resources”) that are owned by or leased or licensed to County, or that are provided to County by third-party service providers. To the extent that any interfaces need to be developed or modified for the Contractor Resources to integrate fully and successfully and be compatible with the County Resources, Contractor shall be responsible for the development or modification of such interfaces and for such integration, and all such activities shall be deemed to be Services within the scope of this Contract.

45. County Information Technology Security Provisions:

Contractor shall establish and maintain policies, procedures, and technical, physical, and administrative safeguards designed to (i) ensure the confidentiality, integrity, and availability of all County Data and any other confidential information that Contractor receives, stores, maintains, processes, transmits, or otherwise accesses in connection with the provision of the contracted services, (ii) protect against any threats or hazards to the security or integrity of County Data, systems, or other confidential information, (iii) protect against unauthorized access, use, or disclosure of personal or County confidential information, (iv) maintain reasonable procedures to prevent, detect, respond, and provide notification to County regarding any internal or external security breaches, (v) ensure the return or appropriate disposal of personal information or other confidential information upon contract conclusion (or per retention standards set forth in the contract), and (vi) ensure that any subcontractor(s)/agent(s) that receives, stores, maintains, processes, transmits, or otherwise accesses County Data and/or system(s) is in compliance with statements and the provisions of statements and services herein.

- a. County of Orange Information Technology Security Standards: County security standards follow the latest National Institute of Standards and Technology (NIST) 800-53 framework to ensure the highest levels of operational resiliency and cybersecurity.

Contractor, Contractor personnel, Contractor's subcontractors, any person performing work on behalf of Contractor, and all other agents and representatives of Contractor will, at all times, comply with and abide by all County of Orange Information Technology Security Standards ("Security Standards"), as existing or modified, that pertain to Contractor in connection with the Services performed by Contractor as set forth in the scope of work of this Contract. Any violations of such Security Standards shall, in addition to all other available rights and remedies available to County, be cause for immediate termination of this Contract. Such Security Standards include, but are not limited to, Attachment C - Business Associate Contract and Attachment D - Information Technology Security Standards.

Contractor shall use industry best practices and methods respecting confidentiality, integrity, availability, and the prevention, detection, response, and elimination of threat, by all appropriate means, of fraud, abuse, and other inappropriate or unauthorized access to County Data and/or system(s) accessed in the performance of Services under this Contract.

Contractor shall implement and maintain a written information security program that contains reasonable and appropriate security measures designed to safeguard the confidentiality, integrity, availability, and resiliency of County Data and/or system(s). Contractor shall review and update its information security program in accordance with contractual, legal, and regulatory requirements. Contractor shall provide to County a copy of the organization's information security program and/or policies.

- b. Information Access: Contractor shall use appropriate safeguards and security measures to ensure the confidentiality and security of all County Data.

County may require all Contractor personnel, subcontractors, and affiliates approved by County to perform work under this Contract to execute a confidentiality and non-disclosure agreement concerning access protection and data security in the form provided by County. County shall authorize, and Contractor shall issue, any necessary information-access mechanisms, including access IDs and passwords, and in no event shall Contractor permit any such mechanisms to be shared or used by other than the individual Contractor personnel, subcontractor, or affiliate to whom issued.

Contractor shall provide each member of such Contractor personnel, subcontractors, or affiliates with only such level of access as is required for such individual to perform his or her assigned tasks and functions.

Throughout the Contract term, upon request from County but at least once each calendar year, Contractor shall provide County with an accurate, up-to-date list of those Contractor personnel and/or subcontractor personnel having access to County systems and/or County Data, and the respective security level or clearance assigned to each such Contractor personnel and/or subcontractor personnel. County reserves the right to require the removal and replacement of Contractor personnel and/or subcontractor personnel at the County's sole discretion. Removal and replacement shall be performed within 14 calendar days of notification from County.

All County resources (including County systems), County Data, County hardware, and County software used or accessed by Contractor: (a) shall be used and accessed by such Contractor and/or subcontractors personnel solely and exclusively in the performance of their assigned duties in connection with, and in furtherance of, the performance of Contractor's obligations hereunder; and (b) shall not be used or accessed except as expressly permitted hereunder, or commercially exploited in any manner whatsoever, by Contractor or Contractor's personnel and subcontractors, at any time.

Contractor acknowledges and agrees that any failure to comply with the provisions of this Article shall constitute a breach of this Contract and entitle County to deny or restrict the rights of such non-complying Contractor personnel and/or subcontractor personnel to access and use the County Data and/or system(s), as County in its sole discretion shall deem appropriate.

- c. Data Security Requirements: Without limiting Contractor's obligation of confidentiality as further described in this Contract, Contractor must establish, maintain, and enforce a data privacy program and an information and cyber security program, including safety, physical, and technical security and resiliency policies and procedures, that comply with the requirements set forth in this Contract and, to the extent such programs are consistent with and not less protective than the requirements set forth in this Contract and are at least equal to applicable best industry practices and standards (NIST 800-53).

Contractor also shall provide technical and organizational safeguards against accidental, unlawful, or unauthorized access or use, destruction, loss, alteration, disclosure, transfer, commingling, or processing of such information that ensure a level of security appropriate to the risks presented by the processing of County Data.

Contractor, subcontractor, and affiliate personnel approved by County to perform work under this Contract may use or disclose County personal and confidential information only as permitted in this Contract. No other use or disclosure may be made without County's express written approval. No Contractor personnel and/or subcontractor personnel or affiliate shall duplicate, disseminate, market, sell, or disclose County personal and confidential information except as allowed in this Contract. Contractor personnel and/or subcontractor personnel or affiliate who access, disclose, market, sell, or use County personal and confidential information in a manner or for a purpose not authorized by this Contract may be subject to civil and criminal sanctions contained in applicable federal and State laws and regulations.

Contractor shall take all reasonable measures to secure and defend all locations, equipment, systems, and other materials and facilities employed in connection with the Services against hackers and others who may seek, without authorization, to disrupt, damage, modify, access, or otherwise use Contractor systems or the information found therein; and prevent County Data from being commingled with or contaminated by the data of other customers or their users of the Services and unauthorized access to any of County Data.

Contractor shall also continuously monitor its systems for potential areas where security could be breached. In no case shall the safeguards of Contractor's data privacy and information and cyber security program be less stringent than the safeguards used by County. Without limiting any other audit rights of County, County shall have the right to review Contractor's data privacy and information and cyber security program prior to commencement of Services and from time to time during the term of this Contract.

All data belongs to the County and shall be destroyed or returned at the end of the contract via digital wiping, degaussing, or physical shredding as provided by this Contract.

- d. Enhanced Security Measures: County may, in its discretion, designate certain areas, facilities, or solution systems as ones that require a higher level of security and access control. County shall notify Contractor in writing reasonably in advance of any such designation becoming effective. Any such notice shall set forth, in reasonable detail, the enhanced security or access-control procedures, measures, or requirements that Contractor shall be required to implement and enforce, as well as the date on which such procedures and measures shall take effect. Contractor shall and shall cause Contractor personnel and subcontractors to fully comply with and abide by all such enhanced security and access measures and procedures as of such date.
- e. General Security Standards: Contractor will be solely responsible for the information technology infrastructure, including all computers, software, databases, electronic systems (including database management systems) and networks used by or for Contractor ("Contractor Systems") to access County resources (including County systems), County Data or otherwise in connection with the Services and shall prevent unauthorized access to County resources (including County systems) or County Data through the Contractor Systems.

At all times during the contract term, Contractor shall maintain a level of security with regard to the Contractor Systems that in all events is at least as secure as the levels of security that are common and prevalent in the industry and in accordance with industry best practices (NIST 800-53). Contractor shall maintain all appropriate administrative, physical, technical, and procedural safeguards to secure County Data from data breach, protect County Data and the Services from loss, corruption, unauthorized disclosure, and from hacks, and the introduction of viruses, disabling devices, malware, and other forms of malicious and inadvertent acts that can disrupt County's access and use of County Data and the Services.

- f. Security Failures: Contractor's failure to meet the requirements of this Contract with respect to the security of County Data, including any related backup, disaster recovery, or other policies, practices or procedures, and any breach or violation by Contractor or its subcontractors or affiliates, or their employees or agents, of any of the foregoing, shall be deemed a material breach of this Contract and may result in termination and reimbursement to County of any fees prepaid by County prorated to the

date of such termination. The remedy provided in this paragraph shall not be exclusive and is in addition to any other rights and remedies provided by law or under the Contract.

- g. Security Breach Notification: In the event Contractor becomes aware of any act, error or omission, negligence, misconduct, or security incident including unsecure or improper data disposal, theft, loss, unauthorized use and disclosure or access, that compromises or is suspected to compromise the security, availability, confidentiality, and/or integrity of County Data or the physical, technical, administrative, or organizational safeguards required under this Contract that relate to the security, availability, confidentiality, and/or integrity of County Data, Contractor shall, at its own expense, (1) immediately (or within 24 hours of potential or suspected breach), notify the County's Chief Information Security Officer and County Privacy Officer of such occurrence; (2) perform a root cause analysis of the actual, potential, or suspected breach; (3) provide a remediation plan that is acceptable to County within 30 days of verified breach to address the occurrence of the breach and prevent any further incidents; (4) conduct a forensic investigation to determine what systems, data, and information have been affected by such event; and (5) cooperate with County and any law enforcement or regulatory officials investigating such occurrence, including but not limited to making available all relevant records, forensics, investigative evidence, logs, files, data reporting, and other materials required to comply with applicable law or as otherwise required by County and/or any law enforcement or regulatory officials, and (6) perform or take any other actions required to comply with applicable law as a result of the occurrence (at the direction of County).

County shall make the final decision on notifying County officials, entities, employees, service providers, and/or the general public of such occurrence, and the implementation of the remediation plan. If notification to particular persons is required under any law or pursuant to any of County's privacy or security policies, then notifications to all persons and entities who are affected by the same event shall be considered legally required. Contractor shall reimburse County for all notification and related costs incurred by County arising out of or in connection with any such occurrence due to Contractor's acts, errors or omissions, negligence, and/or misconduct resulting in a requirement for legally required notifications.

Notification shall be sent to:

TBD	TBD
-----	-----

In the case of a breach, Contractor shall provide third-party credit and identity monitoring services to each of the affected individuals for the period required to comply with applicable law, or, in the absence of any legally required monitoring services, for no less than twelve (12) months following the date of notification to such individuals.

- h. Security Audits: Contractor shall maintain complete and accurate records relating to its system and Organization Controls (SOC) Type II audits or equivalent's data protection practices, internal and external audits, and the security of any of County-hosted content, including any confidentiality, integrity, and availability operations (data hosting, backup, disaster recovery, external dependencies management, vulnerability testing, penetration testing, patching, or other related policies, practices, standards, or procedures).

Contractor shall inform County of any internal/external security audit or assessment performed on Contractor's operations, information and cyber security program, disaster recovery plan, and prevention, detection, or response protocols that are related to hosted County content, within sixty (60) calendar days of such audit or assessment. Contractor will provide a copy of the audit report to County within thirty (30) days after Contractor's receipt of request for such report(s).

Contractor shall reasonably cooperate with all County security reviews and testing, including but not limited to penetration testing of any cloud-based solution provided by Contractor to County under this Contract. Contractor shall implement any required safeguards as identified by County or by any audit of Contractor's data privacy and information/cyber security program.

In addition, County has the right to review Plans of Actions and Milestones (POA&M) for any outstanding items identified by the SOC 2 Type II report requiring remediation as it pertains to the confidentiality, integrity, and availability of County Data. County reserves the right, at its sole discretion, to immediately terminate this Contract or a part thereof without limitation and without liability to County if County reasonably determines Contractor fails or has failed to meet its obligations under this section.

i. Business Continuity and Disaster Recovery (BCDR):

For the purposes of this section, "Recovery Point Objectives" means the maximum age of files (data and system configurations) that must be recovered from backup storage for normal operations to resume if a computer, system, or network goes down as a result of a hardware, program, or communications failure (establishing the data backup schedule and strategy). "Recovery Time Objectives" means the maximum duration of time and a service level within which a business process must be restored after a disaster (or disruption) to avoid unacceptable consequences associated with a loss of functionality.

Contractor shall maintain a comprehensive risk management program focused on managing risks to County operations and data, including mitigation of the likelihood and impact of an adverse event occurring that would negatively affect contracted services and operations of the County. Business continuity management will enable Contractor to identify and minimize disruptive risks and restore and recover hosted County business-critical services and/or data within the agreed terms following an adverse event or other major business disruptions. Recovery and timeframes may be impacted when events or disruptions are related to dependencies on third parties. The Parties will agree on Recovery Point Objectives and Recovery Time Objectives (as needed) and will periodically review these objectives. Any disruption to services of system will be communicated to the County within four (4) hours, and every effort shall be undertaken to restore contracted services, data, operations, security, and functionality.

All data and/or systems and technology provided by Contractor internally and through third-party vendors shall have resiliency and redundancy capabilities to achieve high availability and data recoverability. Contractor Systems shall be designed, where practicable, to ensure continuity of service(s) in the event of a disruption or outage.

46. Data Availability: Unless otherwise stated in the Statement of Work,

- a. County Data shall be available twenty-four (24) hours per day, 365 days per year (excluding agreed-upon maintenance downtime).

- b. If County Data monthly availability averages less than 99.9% (excluding agreed-upon maintenance downtime), the County shall be entitled to recover damages, apply credits or use other contractual remedies as set forth in the Statement of Work if the County is unable to access County Data as a result of:
 - i. Acts or omission of Contractor;
 - ii. Acts or omissions of third parties working on behalf of Contractor;
 - iii. Network compromise, network intrusion, hacks, introduction of viruses, disabling devices, malware and other forms of attack that can disrupt access to Contractor's server, to the extent such attack would have been prevented by Contractor taking reasonable industry standard precautions;
 - iv. Power outages or other telecommunications or Internet failures, to the extent such outages were within Contractor's direct or express control.
- c. If County Data monthly availability averages less than 99.9% (excluding agreed-upon maintenance downtime), for three (3) or more months in a rolling twelve-month period, this shall constitute a material breach under Article 21, Breach of Contract.

[Signature page follows.]

Model Contract Signature Page

If the contracting Party is a corporation, two (2) signatures are required as further set forth in this paragraph. The first signature shall be: a) the Chairman of the Board; b) the President; or c) any Vice President. The second signature shall be a) the Secretary; or b) any Assistant Secretary; or c) the Chief Financial Officer; or d) any Assistant Treasurer.

The Parties hereto have executed this Contract on the dates shown opposite their respective signatures below
Contractor*: TBD

(DO NOT SIGN THIS PAGE AT THIS TIME)

Signature _____ Date _____

Print Name

Title

(DO NOT SIGN THIS PAGE AT THIS TIME)

Signature _____ Date _____

Print Name

Title

County of Orange
A political subdivision of the State of California

Signature _____ Date _____

Print Name

Title

Approved by Board of Supervisors on: _____

Approved as to form
Office of the County Counsel
Orange County, California

By _____ Date _____
Deputy County Counsel

Attachment A: Scope of Work

See Section B: Scope of Project of RFP No. 003-2365101-LB, Enterprise Resourcing Planning Software as a Service System.

Attachment A, Appendix 1: ERP Business Requirements

See Attachment 4, ERP Requirements of RFP No. 003-2365101-LB, Enterprise Resourcing Planning Software as a Service System.

Attachment B: Compensation and Invoicing

1. **Compensation:** This is a fixed-price contract between County and Contractor for the Goods and Services as set forth in this Contract. Contractor agrees to supply all Goods and Services to provide and fully implement the ERP System, as listed in Attachment A – Scope of Work. Contractor agrees to accept the specified compensation set forth in this Contract as full remuneration for performing all services and furnishing all staffing and materials required, including any reasonably unforeseeable difficulties which may arise or be encountered in the execution of the Services until acceptance, for risks connected with the Services, and for performance by Contractor of all its duties and obligations hereunder. County shall have no obligation to pay any sum exceeding the total amounts specified herein unless authorized by amendment of the Contract.
2. **Payment Milestone Schedules:** Payments will be made based upon the Milestone schedule specified below. Contractor shall invoice County upon County’s acceptance of each respective Milestone and payment made in accordance with Section 4, below. Payments shall consist of the total due for the Milestone, less ten percent (10%) retention. The retained amount shall be paid within ninety (90) days after the Final Acceptance of all Contract requirements in accordance with Article 27 (Acceptance Testing) of the Additional Terms and Conditions.

See Attachment 15, Cost, of RFP No. 003-2365101-LB, Enterprise Resourcing Planning Software as a Service System. All tabs of this document will be inserted here in the final contract.

3. **Firm Discount and Pricing Structure:** Contractor guarantees that prices quoted are equal to or less than prices quoted to any other local, state, or federal government entity for products and/or services of equal or greater scope. Contractor agrees that no price increases shall be passed along to County during the term of this Contract unless otherwise specifically provided by this Contract.
4. **Payment Terms – Payment in Arrears:** Invoices are to be submitted in arrears to the user agency/department to the ship-to address, unless otherwise directed by this Contract. Contractor shall reference the Contract number on invoices. Payment will be net 30 days after County’s receipt of an invoice in a format acceptable to County and verified and approved by the agency/department and subject to routine processing requirements. Contractor is responsible for providing acceptable invoices.

Billing shall cover only goods and services delivered and performed and not previously invoiced. Contractor shall reimburse County payment(s) to Contractor for goods and services not provided or that do not meet the Contract requirements.

No payment by County to Contractor shall preclude County from subsequently disputing whether any products or services listed on the related invoice meet the Contract requirements, nor shall County’s payment to Contractor waive of any of County’s rights provided by this Contract unless otherwise specifically agreed by the Parties in writing.

5. **Fee Reductions:**

Fee Reductions for unsatisfactory performance have been designed to encourage the consistent and timely provision of Milestones to County. Fee Reductions are not intended to compensate the County for damages, but rather to reimburse the County for the reduced value of any diminished performance

provided to County, and to provide incentive to Contractor to achieve the Contract’s stated objectives and remain focused on County’s critical needs.

The Fee Reduction tables included below outline the circumstances under which the County will be entitled to Fee Reductions for Contractor’s failure to meet the Contract “Go-Live” date or achieve the Service Level Requirements as specified in Attachment A.

A. Fee Reduction for failure to meet the Go Live date or Milestone dates

The Fee Reductions for the Contractors failure to meet the “Go Live” date or other Milestone dates, including any authorized extension of time, shall be one percent (1%) of the one-time non-recurring fees for each week’s delay up to a maximum total of ten percent (10%) for each late Milestone.

B. Service Level Requirements, Performance Thresholds, and Fee Reduction Amounts

Table 2 – Solution Availability

Measurement for Solution Availability is defined as the percentage of time the Solution is fully operational and available when called upon during the defined reporting period. Availability represents a measure of the fraction of time (expressed as a percentage) during a defined period when the Service or System is deemed to be equal to or better than a Designated Service Level.

Service Level Requirement	Performance Threshold (monthly)	Fee Reduction Amount
Solution Availability	>= 99.99% Availability	No reduction
Solution Availability	< 99.99% Availability	2% of All Annual Charges
Solution Availability	< 99.85% Availability	15% of All Annual Charges

Table 3 – Prevention of Unauthorized Access to Solution

Measurement for preventing the unauthorized access to the solution is defined as unauthorized individuals or systems are prevented from a) entering the Solution designated for the County to browse, store, publish, or manipulate the content of system resources, and b) gaining access to County data or material that has not been intentionally published or made accessible to such individual or systems.

Security requirements can be found in Attachment A, Appendix 1: ERP Business Requirements on the General-Technical tab under Process Level 2 “Access and Security.”

Level Requirement	Performance Threshold (annual)	Fee Reduction Amount
Security Breach Prevention of Unauthorized Access to Solution	Unauthorized individuals and systems were prevented from entering the Solution designated for the County	No reduction
Security Breach Prevention of Unauthorized Access to Solution	Security breach occurred – An unauthorized individual or system entered the Solution designated for the County	5% of all annual charges for each occurrence

Table 4 – Disaster Recovery Services

Service Level Requirement	Performance Threshold (annual)	Fee Reduction Amount
Time to recover from a critical system failure or catastrophic event	Time to recover is within 24 hours following a declared disaster recovery event	No reduction
Time to recover from a critical system failure or catastrophic event	Time to recover is greater than 24 hours following a declared disaster recovery event	3% of all annual charges

6. Payment – Invoicing Instructions

Contractor will provide an invoice on Contractor’s letterhead for goods delivered and/or services rendered. In the case of goods, Contractor will leave an invoice with each delivery. Each invoice will have a number and will include the following information:

1. Contractor’s name and address
2. Contractor’s remittance address, if different than 1 above
3. Name of County Department
4. Contract # XX-XXX-XXXXXXXX
5. Contractor’s Federal I.D. Number
6. Milestone Name and Description
7. Service dates
8. Invoice Amount (the amount invoiced shall not exceed the established fixed fee price for each Milestone)
9. Total Due to Contractor

Contractor is responsible for providing acceptable invoices. Incomplete or incorrect invoices are not acceptable and shall be returned to Contractor for correction. The County’s Project Manager, or designee, is responsible for approval of invoices and subsequent submittal of invoices to the Auditor-Controller for processing of payment.

Invoices and support documentation are to be forwarded to:

Auditor-Controller/Finance Department
Attention: AC Invoices
1770 N. Broadway
Santa Ana, CA 92706
Email: ACInvoices@ac.ocgov.com

7. Payment (Electronic Funds Transfer)

County offers Contractor the option of receiving payment directly to its bank account via an Electronic Fund Transfer (EFT) process in lieu of a check payment. Payment made via EFT shall also receive an Electronic Remittance Advice with the payment details via e-mail.

An e-mail address will need to be provided to County via an EFT Authorization Form. Contractor may request a form from the agency/department representative listed in the Contract.

Attachment C: Business Associate Contract

A. GENERAL PROVISIONS AND RECITALS

1. The Parties agree that the terms used, but not otherwise defined below in Paragraph B, shall have the same meaning given to such terms under the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191 (“HIPAA”), the Health Information Technology for Economic and Clinical Health Act, Public Law 111-005 (“the HITECH Act”), and their implementing regulations at 45 CFR Parts 160 and 164 (“the HIPAA regulations”) as they may exist now or be hereafter amended.
2. The Parties agree that a business associate relationship under HIPAA, the HITECH Act, and the HIPAA regulations between the Contractor and County arises to the extent that Contractor performs, or delegates to subcontractors to perform, functions or activities on behalf of County pursuant to, and as set forth in, the Contract #TBD that are described in the definition of “Business Associate” in 45 CFR § 160.103.
3. The County wishes to disclose to Contractor certain information pursuant to the terms of the Contract #TBD, some of which may constitute Protected Health Information (“PHI”), as defined below in Subparagraph B.10, to be used or disclosed in the course of providing services and activities pursuant to, and as set forth, in the Contract #TBD.
4. The Parties intend to protect the privacy and provide for the security of PHI that may be created, received, maintained, transmitted, used, or disclosed pursuant to the Contract #TBD in compliance with the applicable standards, implementation specifications, and requirements of HIPAA, the HITECH Act, and the HIPAA regulations as they may exist now or be hereafter amended.
5. The Parties understand and acknowledge that HIPAA, the HITECH Act, and the HIPAA regulations do not pre-empt any state statutes, rules, or regulations that are not otherwise pre-empted by other Federal law(s) and impose more stringent requirements with respect to privacy of PHI.
6. The Parties understand that the HIPAA Privacy and Security rules, as defined below in Subparagraphs B.9 and B.14, apply to the Contractor in the same manner as they apply to a covered entity (County). Contractor agrees therefore to be in compliance at all times with the terms of this Business Associate Contract and the applicable standards, implementation specifications, and requirements of the Privacy and the Security rules, as they may exist now or be hereafter amended, with respect to PHI and electronic PHI created, received, maintained, transmitted, used, or disclosed pursuant to the Contract #TBD.

B. DEFINITIONS

1. “Administrative Safeguards” are administrative actions, and policies and procedures, to manage the selection, development, implementation, and maintenance of security measures to protect electronic PHI and to manage the conduct of Contractor’s workforce in relation to the protection of that information.
2. “Breach” means the acquisition, access, use, or disclosure of PHI in a manner not permitted under the HIPAA Privacy Rule which compromises the security or privacy of the PHI.
 - a. Breach excludes:
 - i. Any unintentional acquisition, access, or use of PHI by a workforce member or person acting under the authority of Contractor or County, if such acquisition, access, or use was made in good faith and within the scope of authority and does not result in further use or disclosure in a manner not permitted under the Privacy Rule.
 - ii. Any inadvertent disclosure by a person who is authorized to access PHI at Contractor to another person authorized to access PHI at the Contractor, or organized health care arrangement in which County participates, and the information received as a result of such disclosure is not further used or disclosed in a manner not permitted under the HIPAA Privacy Rule.
 - iii. A disclosure of PHI where Contractor or County has a good faith belief that an unauthorized person to whom the disclosure was made would not reasonably have been able to retain such information.
 - b. Except as provided in paragraph (a) of this definition, an acquisition, access, use, or disclosure of PHI in a manner not permitted under the HIPAA Privacy Rule is presumed to be a breach unless

Contractor demonstrates that there is a low probability that the PHI has been compromised based on a risk assessment of at least the following factors:

- i. The nature and extent of the PHI involved, including the types of identifiers and the likelihood of re-identification;
 - ii. The unauthorized person who used the PHI or to whom the disclosure was made;
 - iii. Whether the PHI was actually acquired or viewed; and
 - iv. The extent to which the risk to the PHI has been mitigated.
3. “Data Aggregation” shall have the meaning given to such term under the HIPAA Privacy Rule in 45 CFR § 164.501.
 4. “Designated Record Set” shall have the meaning given to such term under the HIPAA Privacy Rule in 45 CFR § 164.501.
 5. “Disclosure” shall have the meaning given to such term under the HIPAA regulations in 45 CFR § 160.103.
 6. “Health Care Operations” shall have the meaning given to such term under the HIPAA Privacy Rule in 45 CFR § 164.501.
 7. “Individual” shall have the meaning given to such term under the HIPAA Privacy Rule in 45 CFR § 160.103 and shall include a person who qualifies as a personal representative in accordance with 45 CFR § 164.502(g).
 8. “Physical Safeguards” are physical measures, policies, and procedures to protect CONTRACTOR’s electronic information systems and related buildings and equipment, from natural and environmental hazards, and unauthorized intrusion.
 9. “The HIPAA Privacy Rule” shall mean the Standards for Privacy of Individually Identifiable Health Information at 45 CFR Part 160 and Part 164, Subparts A and E.
 10. “Protected Health Information” or “PHI” shall have the meaning given to such term under the HIPAA regulations in 45 CFR § 160.103.
 11. “Required by Law” shall have the meaning given to such term under the HIPAA Privacy Rule in 45 CFR § 164.103.
 12. “Secretary” shall mean the Secretary of the Department of Health and Human Services or his or her designee.
 13. “Security Incident” means attempted or successful unauthorized access, use, disclosure, modification, or destruction of information or interference with system operations in an information system. “Security incident” does not include trivial incidents that occur on a daily basis, such as scans, “pings”, or unsuccessful attempts to penetrate computer networks or servers maintained by Contractor.
 14. “The HIPAA Security Rule” shall mean the Security Standards for the Protection of electronic PHI at 45 CFR Part 160, Part 162, and Part 164, Subparts A and C.
 15. “Subcontractor” shall have the meaning given to such term under the HIPAA regulations in 45 CFR § 160.103.
 16. “Technical safeguards” means the technology and the policy and procedures for its use that protect electronic PHI and control access to it.
 17. “Unsecured PHI” or “PHI that is unsecured” means PHI that is not rendered unusable, unreadable, or indecipherable to unauthorized individuals through the use of a technology or methodology specified by the Secretary of Health and Human Services in the guidance issued on the HHS Web site.
 18. “Use” shall have the meaning given to such term under the HIPAA regulations in 45 CFR § 160.103.

C. OBLIGATIONS AND ACTIVITIES OF CONTRACTOR AS BUSINESS ASSOCIATE:

1. Contractor agrees not to use or further disclose PHI County discloses to Contractor other than as permitted or required by this Business Associate Contract or as required by law.
2. Contractor agrees to use appropriate safeguards, as provided for in this Business Associate Contract and the Contract #TBD, to prevent use or disclosure of PHI County discloses to Contractor or Contractor creates, receives, maintains, or transmits on behalf of County other than as provided for by this Business Associate Contract.

3. Contractor agrees to comply with the HIPAA Security Rule at Subpart C of 45 CFR Part 164 with respect to electronic PHI County discloses to Contractor or Contractor creates, receives, maintains, or transmits on behalf of County.
4. Contractor agrees to mitigate, to the extent practicable, any harmful effect that is known to Contractor of a Use or Disclosure of PHI by Contractor in violation of the requirements of this Business Associate Contract.
5. Contractor agrees to report to County immediately any Use or Disclosure of PHI not provided for by this Business Associate Contract of which Contractor becomes aware. Contractor must report Breaches of Unsecured PHI in accordance with Paragraph E below and as required by 45 CFR § 164.410.
6. Contractor agrees to ensure that any Subcontractors that create, receive, maintain, or transmit PHI on behalf of Contractor agree to the same restrictions and conditions that apply through this Business Associate Contract to Contractor with respect to such information.
7. Contractor agrees to provide access, within fifteen (15) calendar days of receipt of a written request by County, to PHI in a Designated Record Set, to County or, as directed by County, to an Individual in order to meet the requirements under 45 CFR § 164.524.
8. Contractor agrees to make any amendment(s) to PHI in a Designated Record Set that County directs or agrees to pursuant to 45 CFR § 164.526 at the request of County or an Individual, within thirty (30) calendar days of receipt of said request by County. Contractor agrees to notify County in writing no later than ten (10) calendar days after said amendment is completed.
9. Contractor agrees to make internal practices, books, and records, including policies and procedures, relating to the use and disclosure of PHI received from, or created or received by Contractor on behalf of, County available to County and the Secretary in a time and manner as determined by County or as designated by the Secretary for purposes of the Secretary determining County's compliance with the HIPAA Privacy Rule.
10. Contractor agrees to document any Disclosures of PHI County discloses to Contractor or Contractor creates, receives, maintains, or transmits on behalf of County, and to make information related to such Disclosures available as would be required for County to respond to a request by an Individual for an accounting of Disclosures of PHI in accordance with 45 CFR § 164.528.
11. Contractor agrees to provide County or an Individual, as directed by County, in a time and manner to be determined by County, that information collected in accordance with the Contract #TBD, in order to permit County to respond to a request by an Individual for an accounting of Disclosures of PHI in accordance with 45 CFR § 164.528.
12. Contractor agrees that to the extent Contractor carries out County's obligation under the HIPAA Privacy and/or Security rules Contractor will comply with the requirements of 45 CFR Part 164 that apply to County in the performance of such obligation.
13. Contractor shall work with County upon notification by Contractor to County of a Breach to properly determine if any Breach exclusions exist as defined in Subparagraph B.2.a above.

D. SECURITY RULE

1. Contractor shall comply with the requirements of 45 CFR § 164.306 and establish and maintain appropriate Administrative, Physical and Technical Safeguards in accordance with 45 CFR § 164.308, § 164.310, § 164.312, and § 164.316 with respect to electronic PHI County discloses to Contractor or Contractor creates, receives, maintains, or transmits on behalf of County. Contractor shall follow generally accepted system security principles and the requirements of the HIPAA Security Rule pertaining to the security of electronic PHI.
2. Contractor shall ensure that any subcontractors that create, receive, maintain, or transmit electronic PHI on behalf of Contractor agree through a contract with Contractor to the same restrictions and requirements contained in this Paragraph D of this Business Associate Contract.
3. Contractor shall report to County immediately any Security Incident of which it becomes aware. Contractor shall report Breaches of Unsecured PHI in accordance with Paragraph E below and as required by 45 CFR § 164.410.

E. BREACH DISCOVERY AND NOTIFICATION

1. Following the discovery of a Breach of Unsecured PHI, Contractor shall notify County of such Breach, however both Parties agree to a delay in the notification if so advised by a law enforcement official pursuant to 45 CFR § 164.412.
 - a. A Breach shall be treated as discovered by Contractor as of the first day on which such Breach is known to Contractor or, by exercising reasonable diligence, would have been known to Contractor.
 - b. Contractor shall be deemed to have knowledge of a Breach, if the Breach is known, or by exercising reasonable diligence would have known, to any person who is an employee, officer, or other agent of Contractor, as determined by federal common law of agency.
2. Contractor shall provide the notification of the Breach immediately to the County at:

OCIT CEO SECURITY	DEPARTMENT INFORMATION TECHNOLOGY
Linda Le, CHPC, CHC, CHP County Privacy Officer 1501 E. St. Andrews Place, 2nd Fl. Santa Ana, CA 92705 Office: (714) 834-4082 E-Mail: linda.le@ceoit.ocgov.com privacyofficerinbox@ceoit.ocgov.com	IT Security Officer Santa Ana, CA 92701 Office: TBD E-Mail: TBD

- a. Contractor's notification may be oral, but shall be followed by written notification within 24 hours of the oral notification.
3. Contractor's notification shall include, to the extent possible:
 - a. The identification of each Individual whose Unsecured PHI has been, or is reasonably believed by Contractor to have been, accessed, acquired, used, or disclosed during the Breach;
 - b. Any other information that County is required to include in the notification to Individual under 45 CFR §164.404 (c) at the time Contractor is required to notify County or promptly thereafter as this information becomes available, even after the regulatory sixty (60) day period set forth in 45 CFR § 164.410 (b) has elapsed, including:
 - (1) A brief description of what happened, including the date of the Breach and the date of the discovery of the Breach, if known;
 - (2) A description of the types of Unsecured PHI that were involved in the Breach (such as whether full name, social security number, date of birth, home address, account number, diagnosis, disability code, or other types of information were involved);
 - (3) Any steps Individuals should take to protect themselves from potential harm resulting from the Breach;
 - (4) A brief description of what Contractor is doing to investigate the Breach, to mitigate harm to Individuals, and to protect against any future Breaches; and
 - (5) Contact procedures for Individuals to ask questions or learn additional information, which shall include a toll-free telephone number, an e-mail address, Web site, or postal address.
4. County may require Contractor to provide notice to the Individual as required in 45 CFR § 164.404, if it is reasonable to do so under the circumstances, at the sole discretion of the County.
5. In the event that Contractor is responsible for a Breach of Unsecured PHI in violation of the HIPAA Privacy Rule, Contractor shall have the burden of demonstrating that Contractor made all notifications to County consistent with this Paragraph E and as required by the Breach notification regulations, or, in the alternative, that the acquisition, access, use, or disclosure of PHI did not constitute a Breach.
6. Contractor shall maintain documentation of all required notifications of a Breach or its risk assessment under 45 CFR § 164.402 to demonstrate that a Breach did not occur.

7. Contractor shall provide to County all specific and pertinent information about the Breach, including the information listed in Section E.3.b.(1)-(5) above, if not yet provided, to permit County to meet its notification obligations under Subpart D of 45 CFR Part 164 as soon as practicable, but in no event later than fifteen (15) calendar days after Contractor's initial report of the Breach to County pursuant to Subparagraph E.2 above.

8. Contractor shall continue to provide all additional pertinent information about the Breach to County as it may become available, in reporting increments of five (5) business days after the last report to County. Contractor shall also respond in good faith to any reasonable requests for further information, or follow-up information after report to County, when such request is made by County.

9. Contractor shall bear all expense or other costs associated with the Breach and shall reimburse County for all expenses County incurs in addressing the Breach and consequences thereof, including costs of investigation, notification, remediation, documentation or other costs associated with addressing the Breach.

F. PERMITTED USES AND DISCLOSURES BY CONTRACTOR

1. Contractor may use or further disclose PHI County discloses to Contractor as necessary to perform functions, activities, or services for, or on behalf of, County as specified in the Contract #TBD, provided that such use or Disclosure would not violate the HIPAA Privacy Rule if done by COUNTY except for the specific Uses and Disclosures set forth below.

a. Contractor may use PHI County discloses to Contractor, if necessary, for the proper management and administration of Contractor.

b. Contractor may disclose PHI County discloses to Contractor for the proper management and administration of Contractor or to carry out the legal responsibilities of Contractor, if:

i. The Disclosure is required by law; or

ii. Contractor obtains reasonable assurances from the person to whom the PHI is disclosed that it will be held confidentially and used or further disclosed only as required by law or for the purposes for which it was disclosed to the person and the person immediately notifies Contractor of any instance of which it is aware in which the confidentiality of the information has been breached.

c. Contractor may use or further disclose PHI County discloses to Contractor to provide Data Aggregation services relating to the Health Care Operations of Contractor.

2. Contractor may use PHI County discloses to Contractor, if necessary, to carry out legal responsibilities of Contractor.

3. Contractor may use and disclose PHI County discloses to Contractor consistent with the minimum necessary policies and procedures of County.

4. Contractor may use or disclose PHI County discloses to Contractor as required by law.

G. OBLIGATIONS OF COUNTY

1. County shall notify Contractor of any limitation(s) in County's notice of privacy practices in accordance with 45 CFR § 164.520, to the extent that such limitation may affect Contractor's Use or Disclosure of PHI.

2. County shall notify Contractor of any changes in, or revocation of, the permission by an Individual to use or disclose his or her PHI, to the extent that such changes may affect Contractor's Use or Disclosure of PHI.

3. County shall notify Contractor of any restriction to the Use or Disclosure of PHI that County has agreed to in accordance with 45 CFR § 164.522, to the extent that such restriction may affect Contractor's Use or Disclosure of PHI.

4. County shall not request Contractor to use or disclose PHI in any manner that would not be permissible under the HIPAA Privacy Rule if done by County.

H. BUSINESS ASSOCIATE TERMINATION

1. Upon County's knowledge of a material breach or violation by Contractor of the requirements of this Business Associate Contract, County shall:

- a. Provide an opportunity for Contractor to cure the material breach or end the violation within thirty (30) business days; or
 - b. Immediately terminate the Contract #TBD, if Contractor is unwilling or unable to cure the material breach or end the violation within (30) days, provided termination of the Contract #TBD is feasible.
2. Upon termination of the Contract #TBD, Contractor shall either destroy or return to County all PHI Contractor received from County or Contractor created, maintained, or received on behalf of County in conformity with the HIPAA Privacy Rule.
- a. This provision shall apply to all PHI that is in the possession of Subcontractors or agents of Contractor.
 - b. Contractor shall retain no copies of the PHI.
 - c. In the event that Contractor determines that returning or destroying the PHI is not feasible, Contractor shall provide to County notification of the conditions that make return or destruction infeasible. Upon determination by County that return or destruction of PHI is infeasible, Contractor shall extend the protections of this Business Associate Contract to such PHI and limit further Uses and Disclosures of such PHI to those purposes that make the return or destruction infeasible, for as long as Contractor maintains such PHI.
3. The obligations of this Business Associate Contract shall survive the termination of the Contract.

Attachment D: Information Technology Security Standards

[See separate PDF Document, “Attachment 18 County of Orange Security Standards RFP-003-2365101-LB.pdf.”]

Attachment E: Contractor's Terms and Conditions

[See RFP 003-2365101-LB Section A.12.5]



1 ASSET MANAGEMENT

Asset management establishes an organization's inventory of fixed and controlled assets and defines how these assets are managed during their lifecycle to ensure sustained productivity in support of the organization's critical services. An event that disrupts an asset can inhibit the organization from achieving its mission. An asset management program helps identify appropriate strategies that shall allow the assets to maintain productivity during disruptive events. There are four broad categories of assets: people, information, technology, and facilities.

The Cybersecurity Program strives to achieve and maintain appropriate protection of IT assets. Loss of accountability of IT assets could result in a compromise or breach of IT systems and/or a compromise or breach of sensitive or privacy data.

1.1 GOALS AND OBJECTIVES

- 1.1.1 Services are identified and prioritized.
- 1.1.2 Assets are inventoried, and the authority and responsibility for these assets is established.
- 1.1.3 The relationship between assets and the services they support is established.
- 1.1.4 The asset inventory is managed.
- 1.1.5 Access to assets is managed.
- 1.1.6 Information assets are categorized and managed to ensure the sustainment and protection of the critical service.
- 1.1.7 Facility assets supporting the critical service are prioritized and managed.

1.2 ASSET MANAGEMENT POLICY STATEMENTS

1.2.1 Services Inventory

- 1.2.1.1 Departments shall maintain an inventory of its services. This listing shall be used by the department to assist with its risk management analysis.

1.2.2 Asset Inventory – Information

- 1.2.2.1 All information that is created or used within the County's trusted environment in support of County business activities shall be considered the property of the County. All County property shall be used in compliance with this policy.
- 1.2.2.2 County information is a valuable asset and shall be protected from unauthorized disclosure, modification, or destruction. Prudent information security standards and practices shall be implemented to ensure that the integrity, confidentiality, and availability of County information are not compromised. All County information shall be protected from the time of its creation through its useful life and authorized disposal.
- 1.2.2.3 Departments shall establish internal procedures for the secure handling and storage of all electronically-maintained County information that is owned or controlled by the department.



1.2.3 Asset Inventory - Technology (Devices, Software)

1.2.3.1 Departments shall maintain an inventory of all department managed devices that connect to County network resources or processes, stores, or transmits County data including but not limited to:

- Desktop computers,
- Laptop Computers,
- Tablets (iPads and Android devices),
- Mobile Phones (basic cell phones),
- Smart Phones (iPhones, Blackberry, Windows Phones and Android Phones),
- Servers,
- Storage devices,
- Network switches,
- Routers,
- Firewalls,
- Security Appliances,
- Internet of Things (IoT) devices,
- Printers,
- Scanners,
- Kiosks and Thin clients,
- Mainframe Hardware, and
- VoIP Phones.

1.2.3.2 Asset inventory shall map assets to the services they support.

1.2.3.3 Departments shall adopt a standard naming convention for devices (naming convention to be utilized as devices are serviced or purchased) that, at a minimum, includes the following:

- Department (see Appendix A for an example Department Listing)
- Facility (see Appendix B for an example Facility Listing)
- Device Type (see Appendix C for an example Device Type Listing)

1.2.3.4 Each department shall ensure that all software used on County systems and in the execution of County business shall be used legally and in compliance with licensing agreements.

1.2.4 Asset Inventory - Facilities

1.2.4.1 Departments shall maintain an inventory of its facilities. This listing shall be used by the department to assist with its risk management analysis.

1.2.4.2 Departments shall identify the facilities used by its critical services.

1.2.5 Access Controls

Refer to *User Provisioning Policy* for additional guidance.

1.2.5.1 Departments shall establish a procedure that ensures only users with legitimate business needs to access County IT resources are provided with user accounts.

1.2.5.2 Access to County information systems and information systems data shall be based on each user's access privileges. Access controls shall ensure that even legitimate users cannot access stored information unless they are authorized to do so. Access control should start by denying access to everything, and then explicitly granting access according to the "need to know" principle.

1.2.5.3 Access to County information and County information assets should be based on the principle



of “least privilege,” that is, grant no user greater access privileges to the information or assets than County responsibilities demand.

- 1.2.5.4 The owner of each County system, or their designee, provides written authorization for all internal and external user access.
 - 1.2.5.5 All access to internal County computer systems shall be controlled by an authentication method involving a minimum of a user identifier (ID) and password combination that provides verification of the user’s identity.
 - 1.2.5.6 All County workforce members are to be assigned a unique user ID to access the network.
 - 1.2.5.7 A user account shall be explicitly assigned to a single, named individual. No group or shared computer accounts are permissible except when necessary and warranted due to legitimate business needs. Such need shall be documented prior to account creation and accounts activated only when necessary.
 - 1.2.5.8 User accounts shall not be shared with others including, but not limited to, someone whose access has been denied or terminated.
 - 1.2.5.9 Departments shall conduct regular reviews of the registered users’ access level privileges. System owners shall provide user listings to departments for confirmation of user’s access privileges.
- 1.2.6 Asset Sanitation/Disposal**
- 1.2.6.1 Unless approved by County management, no County computer equipment shall be removed from the premises.
 - 1.2.6.2 Prior to re-deployment, storage media shall be appropriately cleansed to prevent unauthorized exposure of data.
 - 1.2.6.3 Surplus, donation, disposal or destruction of equipment containing storage media shall be appropriately disposed according to the terms of the equipment disposal services contract.
 - 1.2.6.4 Sanitization methods for media containing County information shall be in accordance with NSA standards (for example, clearing, purging, or destroying).
 - 1.2.6.5 Disposal of equipment shall be done in accordance with all applicable County, state or federal surplus property and environmental disposal laws, regulations or policies.



2 CONTROLS MANAGEMENT

The Controls Management domain focuses on the processes by which an organization plans, defines, analyzes, and assesses the controls that are implemented internally. This process helps the organization ensure the controls management objectives are satisfied.

This domain focuses on the resilience controls that allow an organization to operate during a time of stress. These resilience controls are implemented in the organization at all levels and require various levels of management and staff to plan, define, analyze, and assess.

2.1 GOALS AND OBJECTIVES

- 2.1.1 Control objectives are established.
- 2.1.2 Controls are implemented.
- 2.1.3 Control designs are analyzed to ensure they satisfy control objectives.
- 2.1.4 Internal control system is assessed to ensure control objectives are met.

2.2 CONTROL MANAGEMENT POLICY STATEMENTS

2.2.1 Physical and Environmental Security

- 2.2.1.1 Procedures and facility hardening measures shall be adopted to prevent attempts at and detection of unauthorized access or damage to facilities that contain County information systems and/or processing facilities.
- 2.2.1.2 Restricted areas within facilities that house sensitive or critical County information systems shall, at a minimum, utilize physical access controls designed to permit access by authorized personnel only.
- 2.2.1.3 Physical protection measures against damage from external and environmental threats shall be implemented by all departments as appropriate.
- 2.2.1.4 Access to any office, computer room, or work area that contains sensitive information shall be physically restricted from unauthorized access.
- 2.2.1.5 Access points such as delivery and loading areas and other points where unauthorized persons may enter the premises shall be controlled and, if possible, isolated from information processing facilities to avoid unauthorized access. An example of this would be separating the two areas by a badge-only accessible door.
- 2.2.1.6 Continuity of power shall be provided to maintain the availability of critical equipment and information systems.
- 2.2.1.7 Power and telecommunications cabling carrying data or supporting information services shall be protected from interception or damage. Different, yet appropriate methods shall be utilized for internal and external cabling.
- 2.2.1.8 Equipment shall be properly maintained to ensure its continued availability and integrity.
- 2.2.1.9 All shared IT infrastructure by more than one department shall meet countywide security policy for facility standards, availability, access, data & network security.



2.2.2 Network Segmentation

NOTE: This section is applicable to Departments that manage their own network devices.

- 2.2.2.1 Segment (e.g., VLANs) the network into multiple, separate zones (based on trust levels of the information stored/transmitted) to provide more granular control of system access and additional intranet boundary defenses. Whenever information flows over a network of lower trust level, the information shall be encrypted.
- 2.2.2.2 Segment the network into multiple, separate zones based on the devices (servers, workstations, mobile devices, printers, etc.) connected to the network.
- 2.2.2.3 Create separate network segments (e.g., VLANs) for BYOD (bring your own device) systems or other untrusted devices.
- 2.2.2.4 The network infrastructure shall be managed across network connections that are separated from the business use of that network, relying on separate VLANs or, preferably, on entirely different physical connectivity for management sessions for network devices.

2.2.3 Mobile Computing Devices

To ensure that Mobile Computing Devices (MCDs) do not introduce threats into systems that process or store County information, departments' management shall:

- 2.2.3.1 Establish and manage a process for authorizing, issuing and tracking the use of MCDs.
- 2.2.3.2 Permit only authorized MCDs to connect to County information assets or networks that store, process, transmit, or connects to County information and information assets.
- 2.2.3.3 Implement applicable access control requirements in accordance with this policy, such as the enforcement of a system or device lockout after 15 minutes of inactivity requiring re-entering of a password to unlock.
- 2.2.3.4 Install an encryption algorithm that meets or exceeds industry recommended encryption standard for any MCD that will be used to store County information. See Section on Encryption.
- 2.2.3.5 Ensure that MCDs are configured to restrict the user from circumventing the authentication process.
- 2.2.3.6 Provide security awareness training to County employees that informs MCD users regarding MCD restrictions.
- 2.2.3.7 Label MCDs with County address and/or phone number so that the device can be returned to the County if recovered.
- 2.2.3.8 The installation of any software, executable, or other file to any County computing device is prohibited if that software, executable, or other file downloaded by, is owned by, or was purchased by an employee or contractor with his or her own funds unless approved by the department. If the device ("i" device or smartphone, only) complies with the mobile device management security standards (see section 9.2.3 Mobile Computing Devices), this is not applicable.

2.2.4 Personally Owned Devices

Personal computing devices include, but are not limited to, removable media such as thumb or USB drives, external hard drives, laptop or desktop computers, cellular phones, or personal digital assistants (PDA's) owned by or purchased by employees, contract personnel, or other non-County users.

- 2.2.4.1 The connection of any computing device not owned by the County to a County network (except the Public Wi-Fi provided for public use) or computing device is prohibited unless previously



approved.

- 2.2.4.2 The County authorizes the use of personal devices to access resources that do not traverse the County network directly. Such resources include County's Microsoft Office 365 environment, OC Expediter, and VTI timesheet applications, to name a few. Access to some agency specific applications, e.g. applications that are subject to compliance regulations may require prior approval of the County CISO and the associated Department Head.
- 2.2.4.3 The County will respect the privacy of a user's voluntary use of a personally owned device to access County IT resources.
- 2.2.4.4 The County will only request access to the personally owned device in order to implement security controls; to respond to litigation hold (aka: e-discovery) requests arising out of administrative, civil, or criminal directives, Public Record Act requests, and subpoenas; or as otherwise required or permitted by applicable state or federal laws. Such access will be performed by an authorized technician or designee using a legitimate software process.

2.2.5 Logon Banners and Warning Notices

- 2.2.5.1 At the time of network login, the user shall be presented with a login banner.
- 2.2.5.2 All computer systems that contain or access County information shall display warning banners informing potential users of conditions of use consistent with state and federal laws.
- 2.2.5.3 Warning banners shall remain on the screen until the user takes explicit actions to log on to the information system.
- 2.2.5.4 The banner message shall be placed at the user authentication point for every computer system that contains or accesses County information. The banner message may be placed on an initial logon screen in situations where the logon provides access to multiple computer systems.
- 2.2.5.5 At a minimum, banner messages shall provide appropriate privacy and security information and shall contain information informing potential users that:
- User is accessing a government information system for conditions of use consistent with state and federal information security and privacy protection laws.
 - System usage may be monitored, recorded, and subject to audit.
 - Unauthorized use of the system is prohibited and subject to criminal and civil penalties.
 - Use of the system indicates consent to monitoring and recording.

2.2.6 Authentication

- 2.2.6.1 Authenticate user identities at initial connection to County resources.
- 2.2.6.2 Authentication mechanisms shall be appropriate to the sensitivity of the information contained.
- 2.2.6.3 Users shall not receive detailed feedback from the authenticating system on failed logon attempts.

2.2.7 Passwords

- 2.2.7.1 County approved password standards and/or guidelines shall be applied to access County systems. These standards extend to mobile devices (see Section 9.2.4 Mobile Computing Devices for additional guidance on mobile devices) and personally owned devices used for work (see Section 9.2.5 Personally Owned Devices for additional guidance on personally owned devices).
- 2.2.7.2 Passwords are a primary means to control access to systems and shall therefore be selected, used, and managed to protect against unauthorized discovery or usage. Passwords shall satisfy the following complexity rule:



- Passwords will contain a minimum of one upper case letter
- Passwords will contain a minimum of one lower case letter
- Passwords will contain a minimum of one number: 1- 0
- Passwords will contain a minimum of one symbol: !, @, #, \$, %, ^, &, *, (,)
- Password characters will not be sequential (Do not use: ABCD , This is ok: ACDB)
- Password characters will not be repeated in a row (Do not use: P@\$\$\$. This is ok: P@\$\$)
- COMPLEX PASSWORD EXAMPLE: P@\$WoRd13

2.2.7.3 Passwords shall have a minimum length of 8 characters.

2.2.7.4 Passwords shall not be reused for twelve iterations.

2.2.7.5 Departments shall require users to change their passwords periodically (e.g., every 90 days at the maximum). Changing passwords more often than 90 days is encouraged.

2.2.7.6 Network and application systems shall be configured to enforce automatic expiration of passwords at regular intervals (e.g., every 90 days at the maximum) when the technology is feasible or available.

2.2.7.7 Newly-created accounts shall be assigned a randomly generated password prior to account information being provided to the user.

2.2.7.8 No user shall give his or her password to another person under any circumstances. Workforce members who suspect that their password has become known by another person shall change their password immediately and report their suspicion to management in accordance with Section 12: Incident Management.

2.2.7.9 Users who have lost or forgotten their passwords shall make any password reset requests themselves without using a proxy (e.g., another County employee) unless approved by management. Prior to processing password change requests, the requester shall be authenticated to the user account in question. (e.g., Verification with user's supervisor or the use of passphrases can be used for this authentication process.) New passwords shall be provided directly and only to the user in question.

2.2.7.10 When technologically feasible, a new or reset password shall be set to expire on its initial use at log on so that the user is required to change the provided password to one known only to them.

2.2.7.11 All passwords are to be treated as sensitive information.

2.2.7.12 User Accounts shall be locked after five consecutive invalid logon attempts within a 24-hour period. The lockout duration shall be at least 30 minutes or until a system administrator enables the user ID after investigation. These features shall be configured as indicated when the technology is feasible or available.

2.2.7.13 All systems containing sensitive information shall not allow users to have multiple concurrent sessions on the same system when the technology is feasible or available.

2.2.8 Inactivity Timeout and Restricted Connection Times

2.2.8.1 Automatic lockouts for system devices, including workstations and mobile computing devices (refer to Section 9.2.4 Mobile Computing Devices), after no more than 15 minutes of inactivity.

2.2.8.2 Automated screen lockouts shall be used wherever possible using a set time increment (e.g., 15 minutes of non-activity). In situations where it is not possible to automate a lockout, operational procedures shall be implemented to instruct users to lock the terminal or equipment so that unauthorized individuals cannot make use of the system. Once logged on, workforce members shall not leave their computer unattended or available for someone else to use.



2.2.8.3 When deemed necessary, user logins and data communications may be restricted by time and date configurations that limit when connections shall be accepted.

2.2.9 Account Monitoring

2.2.9.1 Access to a County network and its resources shall be strictly controlled, managed, and reviewed to ensure only authorized users gain access based on the privileges granted. (e.g., Kiosks provide physical and public access to County networks. These shall be secured to ensure County resources are not accessed by unauthorized users.)

2.2.9.2 The control mechanisms for all types of access to County IT resources by contractors, customers or vendors are to be documented.

2.2.9.3 Monitor account usage to determine dormant accounts that have not been used for a given period, such as 45 days, notifying the user or user's manager of the dormancy.

2.2.9.4 After a longer period, such as 60 days, the account shall be disabled by the system when the technology is feasible or available.

2.2.9.5 On a periodic basis, such as quarterly or at least annually, departments shall require that managers match active employees and contractors with each account belonging to their managed staff. Security or system administrators shall then determine whether to disable accounts that are not assigned to active employees or contractors.

2.2.10 Administrative Privileges

2.2.10.1 Systems Administrators shall use separate administrative accounts, which are different from their end user account (required to have an individual end user account), to conduct system administration tasks.

2.2.10.2 Administrative accounts shall only be granted to individuals who have a job requirement to conduct systems administration tasks.

2.2.10.3 Administrative accounts shall be requested in writing and must be approved by the Department Head or designated representative (e.g., DISO) using the Security Review and Approval Process.

2.2.10.4 Systems Administrator accounts that access County enterprise-wide systems or have enterprise-wide impact shall be approved by the CISO using the Security Review and Approval Process.

2.2.10.5 Systems Administrators shall use separate administrative accounts to manage Mobile Device Management (MDM) platforms but may use the local user's credentials when configuring a mobile phone or tablet device.

2.2.10.6 All passwords for privileged system-level accounts (e.g., root, enable, OS admin, application administration accounts, etc.) shall comply with Section 9.2.8.

2.2.11 Remote Access

2.2.11.1 Departments shall take appropriate steps, including the implementation of appropriate encryption, user authentication, and virus protection measures, to mitigate security risks associated with allowing users to use remote access or mobile computing methods to access County information systems.

2.2.11.2 Remote access privileges shall be granted to County workforce members only for legitimate business needs and with the specific approval of department management.



- 2.2.11.3 All remote access implementations that utilize the County's trusted network environment and that have not been previously deployed within the County shall be submitted to and reviewed by OCIT Enterprise Privacy and Cybersecurity. A memorandum of understanding (MOU) shall be utilized for this submittal and review process. This is required for any Suppliers utilizing remote access to conduct maintenance.
- 2.2.11.4 Remote sessions shall be terminated after 15 minutes of inactivity requiring the user to authenticate again to access County resources.
- 2.2.11.5 All remote access infrastructures shall include the capability to monitor and record a detailed audit trail of each remote access attempt.
- 2.2.11.6 All users of County networks and computer systems are prohibited from connecting and/or activating unauthorized dial-up or broadband modems on workstations, laptops, or other computing devices that are simultaneously connected to any County network.
- 2.2.11.7 Periodic assessments shall be performed to identify unauthorized remote connections. Results shall be used to address any vulnerabilities and prioritized according to criticality.
- 2.2.11.8 Users granted remote access to County IT infrastructure shall follow all additional policies, guidelines and standards related to authentication and authorization as if they were connected locally. For example, this applies when mapping to shared network drives.
- 2.2.11.9 Users attempting to use external remote access shall utilize a County-approved multi-factor authentication process.
- 2.2.11.10 All remote access implementations that involve non-County infrastructures shall be reviewed and approved by both the department DISO and OCIT Enterprise Privacy and Cybersecurity. This approval shall be received prior to the start of such implementation. The approval shall be developed as a memorandum of understanding (MOU).
- 2.2.11.11 Remote access privileges to County IT resources shall not be given to contractors, customers or vendors unless department management determines that these individuals or organizations have a legitimate business need for such access. If such access is granted, it shall be limited to those privileges and conditions required for the performance of the specified work.
- 2.2.12 Wireless Access**
- 2.2.12.1 Departments shall take appropriate steps, including the implementation of appropriate encryption, user authentication, device authentication and malware protection measures, to mitigate risks to the security of County data and information systems associated with the use of wireless network access technologies.
- 2.2.12.2 Only wireless systems that have been evaluated for security by both department management and OCIT Enterprise Privacy and Cybersecurity shall be approved for connectivity to County networks.
- 2.2.12.3 County data that is transmitted over any wireless network shall be protected in accordance with the sensitivity of the information.
- 2.2.12.4 All access to County networks or resources via unapproved wireless communication technologies is prohibited. This includes wireless systems that may be brought into County facilities by visitors or guests. Employees, contractors, vendors and customers are prohibited from connecting and/or activating wireless connections on any computing device that are simultaneously connected to any County network, either locally or remotely.
- 2.2.12.5 Each department shall make a regular, routine effort to ensure that unauthorized wireless networks, access points, and/or modems are not installed or configured within its IT environments. Any unauthorized connections described above shall be disabled immediately.



2.2.13 System and Network Operations Management

- 2.2.13.1 Operating procedures and responsibilities for all County information processing facilities shall be formally authorized, documented, and updated.
- 2.2.13.2 Departments shall establish controls to ensure the security of the information systems networks that they operate.
- 2.2.13.3 Operational system documentation for County information systems shall be protected from unauthorized access.
- 2.2.13.4 System utilities shall be available to only those users who have a business case for accessing the specific utility.

2.2.14 System Monitoring and Logging

- 2.2.14.1 Systems operational staff shall maintain appropriate log(s) of activities, exceptions and information security events involving County information systems and services.
- 2.2.14.2 Each department shall maintain a log of all faults involving County information systems and services.
- 2.2.14.3 Logs shall be protected from unauthorized access or modifications wherever they reside.
- 2.2.14.4 The clocks of all relevant information processing systems and attributable logs shall be synchronized with an agreed upon accurate time source such as an established Network Time Protocol (NTP) service.
- 2.2.14.5 Auditing and logging of user activity shall be implemented on all critical County systems that support user access capabilities.
- 2.2.14.6 Periodic log reviews of user access and privileges shall be performed in order to monitor access of sensitive information.

2.2.15 Malware Defenses

- 2.2.15.1 Departments shall implement endpoint security on computing devices connected to the County network. Endpoint security may include one or more of the following software: anti-virus, anti-spyware, personal firewall, host-based intrusion detection (IDS), network-based intrusion detection (IDS), intrusion prevention systems (IPS), and white listing and black listing of applications, web sites, and IP addresses.
- 2.2.15.2 Special features designed to filter out malicious software contained in either email messages or email attachments shall be implemented on all County email systems.
- 2.2.15.3 Where feasible, any computing device, including laptops and desktop PCs, that has been connected to a non-County infrastructure (including employee home networks) and subsequently used to connect to the County network shall be verified that it is free from viruses and other forms of malicious software prior to attaining connectivity to the County network.

2.2.16 Data Loss Prevention

- 2.2.16.1 Departments shall implement host-based Data Loss Prevention (DLP) to reduce the risk of data breach related to sensitive information.
- 2.2.16.2 Departments shall deploy encryption software on mobile devices containing sensitive. See Section 9.2.19 Encryption for additional guidance.

2.2.17 Data Transfer

- 2.2.17.1 Agreements shall be implemented for the exchange of information between the County and other entities. As well as between departments.



2.2.17.2 County information accessed via electronic commerce shall have security controls implemented based on the assessed risk.

2.2.18 Encryption

2.2.18.1 The decision to use cryptographic controls and/or data encryption in an application shall be based on the level of risk of unauthorized access and the sensitivity of the data that is to be protected.

2.2.18.2 The decision to use cryptographic controls and/or data encryption on a hard drive shall be based on the level of risk of unauthorized access and the sensitivity of the data that is to be protected.

2.2.18.3 Where appropriate, encryption shall be used to protect confidential (as defined by County policy) application data that is transmitted over open, untrusted networks, such as the Internet.

2.2.18.4 When cryptographic controls are used, procedures addressing the following areas shall be established by each department:

- Determination of the level of cryptographic controls
- Key management/distribution steps and responsibilities

2.2.18.5 Encryption keys shall be exchanged only using secure methods of communication.

2.2.19 System Acquisition and Development

2.2.19.1 Departments shall identify all business applications that are used by their users in support of primary business functions. This includes all applications owned and/or managed by the department as well as other business applications that are used by the department but owned and/or managed by other County organizations. All business applications used by a department shall be documented in the department's IT security plan as well as their Business Impact Analysis (BIA).

2.2.19.2 An application owner shall be designated for each internal department business application.

2.2.19.3 All access controls associated with business applications shall be commensurate with the highest level of data used within the application. These same access controls shall also adhere to the policy provided in Section 7: Access Control.

2.2.19.4 Security requirements shall be incorporated into the evaluation process for all commercial software products that are intended to be used as the basis for a business application. The security requirements in question shall be based on requirements and standards specified in this policy.

2.2.19.5 In situations where data needs to be isolated because there would be a conflict of interest (e.g., DA and OCPD data cannot be shared), data security shall be designed and implemented to ensure that isolation.

Business Requirements

2.2.19.6 The business requirements definition phase of system development shall contain a review to ensure that the system shall adhere to County information security standards.

System Files

2.2.19.7 Operating system files, application software and data shall be secured from unauthorized use or access.

2.2.19.8 Clear-text data that results from testing shall be handled, stored, and disposed of in the same



manner and using the same procedures as are used for production data.

2.2.19.9 System tests shall be performed on data that is constructed specifically for that purpose.

2.2.19.10 System testing shall not be performed on operational data unless the necessary safeguards are in place.

2.2.19.11 A combination of technical, procedural and physical safeguards shall be used to protect application source code from unintentional or unauthorized modification or destruction. All County proprietary information, including source code, needs to be protected through appropriate role-based access controls. An example of this is a change control tool that records all changes to source code including new development, updates, and deletions, along with check-in and check-out information.

System Development & Maintenance

2.2.19.12 The development of software for use on County information systems shall have documented change control procedures in place to ensure proper versioning and implementation.

2.2.19.13 When preparing to upgrade any County information systems, including an operating system, on a production computing resource; the process of testing and approving the upgrade shall be completed in advance in order to minimize potential security risks and disruptions to the production environment.

2.2.19.14 Any outside suppliers used for maintenance that are visitors to the facility are to be escorted and monitored while performing maintenance to critical systems. This does not apply to contractors that are assigned to work at the facility.

2.2.19.15 Systems shall be hardened, and logs monitored to ensure the avoidance of the introduction and exploitation of malicious code.

2.2.19.16 All County workforce members shall not create, execute, forward, or introduce computer code designed to self-replicate, damage, or impede the performance of a computer's memory, storage, operating system, or application software.

2.2.19.17 In conjunction with other access control policies, any opportunity for information leakage shall be prevented through good system design practices.

2.2.19.18 Departments are responsible for managing outsourced software development related to department-owned IT systems.

System Requirements

Any system that processes or stores County Information shall:

2.2.19.19 Baseline configuration shall incorporate Principle of Least Privilege and Functionality.

2.2.19.20 Systems shall be deployed where feasible to utilize existing County authentication methods.

2.2.19.21 Session inactivity timeouts shall be implemented for all access into and from County networks.

2.2.19.22 All applications are to have access controls unless specifically designated as a public access resource.

2.2.19.23 Meet the password requirements defined in Section 9.2.8: Passwords.

2.2.19.24 Strictly control access enabling only privileged users or supervisors to override system controls or the capability of bypassing data validation or editing problems.

2.2.19.25 Monitor special privilege access, e.g. administration accounts.

2.2.19.26 Restrict authority to change master files to persons independent of the data processing function.



- 2.2.19.27 Have access control mechanisms to prevent unauthorized access or changes to data, especially, the server file systems that are connected to the Internet, even behind a firewall.
- 2.2.19.28 Be capable of routinely monitoring the access to automated systems containing County Information.
- 2.2.19.29 Log all modifications to the system files.
- 2.2.19.30 Limit access to system utility programs to necessary individuals with specific designation.
- 2.2.19.31 Maintain audit logs on a device separate from the system being monitored.
- 2.2.19.32 Delete or disable all default accounts.
- 2.2.19.33 Restrict access to server file-system controls to ensure that all changes such as direct write, write access to system areas and software or service changes shall be applied only through the appropriate change control process.
- 2.2.19.34 Restrict access to server-file-system controls that allow access to other users' files.
- 2.2.19.35 Ensure that servers containing user credentials shall be physically protected, hardened and monitored to prevent inappropriate use.

2.2.20 Procurement Controls

- 2.2.20.1 Breach notification requirements clause to be included in new or renewal contracts (once policy is effective) for systems containing sensitive information.

Contractor shall report to the County within 24 hours as defined in this contract when Contractor becomes aware of any suspected data breach of Contractor's or Sub-Contractor's systems involving County's data.

- 2.2.20.2 Departments shall review all procurements and renewals for software and equipment (hosted/managed by the vendor) that transmits, stores, or processes sensitive information to ensure that vendors and contractors are aware of and are in compliance with County's cybersecurity policies. Departments shall obtain documentation supporting the business partners, contractors, consultants, or vendors compliance with County's cybersecurity policies such as:

- SOC 1 Type 2
- SOC 2 Type 2
- Security Certifications (ISO, PCI, etc.)
- Penetration Test Results

2.2.21 IT Services Provided to Public

- 2.2.21.1 Public access to County electronic information resources shall provide desired services in accordance with safeguards designed to protect County resources. All County electronic information resources are to be reviewed at least quarterly.

2.2.22 Removable Media

- 2.2.22.1 When no longer required, the contents of removable media shall be permanently destroyed or rendered unrecoverable in accordance with applicable department, County, state, or federal record disposal and/or retention requirement



3 CONFIGURATION & CHANGE MANAGEMENT

Configuration and Change Management (CCM) is the process of maintaining the integrity of hardware, software, firmware, and documentation related to the configuration and change management process. CCM is a continuous process of controlling and approving changes to information or technology assets or related infrastructure that support the critical services of an organization. This process includes the addition of new assets, changes to assets, and the elimination of assets.

Cybersecurity is an integral component to information systems from the onset of the project or acquisition through implementation of:

- Application and system security
- Configuration management
- Change control procedures
- Encryption and key management
- Software maintenance, including but not limited to, upgrades, antivirus, patching and malware detection response systems

As the complexity of information systems increases, the complexity of the processes used to create these systems also increases, as does the probability of accidental errors in configuration. The impact of these errors puts data and systems that may be critical to business operations at significant risk of failure that could cause the organization to lose business, suffer damage to its reputation, or close completely. Having a CCM process to protect against these risks is vital to the overall security posture of the organization.

3.1 GOALS AND OBJECTIVES

- 3.1.1 The lifecycle of assets is managed.
- 3.1.2 The integrity of technology and information assets is managed.
- 3.1.3 Asset configuration baselines are established.

3.2 CONFIGURATION & CHANGE MANAGEMENT POLICY STATEMENTS

- 3.2.1 Changes to all information processing facilities, systems, software, or procedures shall be strictly controlled according to formal change management procedures.
- 3.2.2 Changes impacting security appliances managed by OCIT (e.g., security architecture, security appliances, County firewall, Website listings, application listings, email gateway, administrative accounts) shall be reviewed by OCIT Enterprise Privacy and Cybersecurity in accordance with the County Security Review and Approval Process.
- 3.2.3 Only authorized users shall make any changes to system and/or software configuration files.
- 3.2.4 Only authorized users shall download and/or install operating system software, service-related software (such as web server software), or other software applications on County computer systems without prior written authorization from department IT management. This includes, but is not limited to, free software, computer games and peer-to-peer file sharing software.
- 3.2.5 Each department shall develop a formal change control procedure that outlines the process to be used for identifying, classifying, approving, implementing, testing, and documenting changes to its IT resources.



County of Orange

Information Technology Security Standards

- 3.2.6 Each department shall conduct periodic audits designed to determine if unauthorized software has been installed on any of its computers.
- 3.2.7 As appropriate, segregation of duties shall be implemented by all County departments to ensure that no single person has control of multiple critical systems and the potential for misusing that control.
- 3.2.8 Production computing environments shall be separated from development and test computing environments to reduce the risk of one environment adversely affecting another.
- 3.2.9 System capacity requirements shall be monitored, and usage projected to ensure the continual availability of adequate processing power, bandwidth, and storage.
- 3.2.10 System acceptance criteria for all new information systems and system upgrades shall be defined, documented, and utilized to minimize risk of system failure.



4 VULNERABILITY MANAGEMENT

The Vulnerability Management domain focuses on the process by which organizations identify, analyze, and manage vulnerabilities in a critical service's operating environment.

4.1 GOALS AND OBJECTIVES

- 4.1.1 Preparation for vulnerability analysis and resolution activities is conducted.
- 4.1.2 A process for identifying and analyzing vulnerabilities is established and maintained.
- 4.1.3 Exposure to identified vulnerabilities is managed.
- 4.1.4 The root causes of vulnerabilities are addressed.

4.2 VULNERABILITY MANAGEMENT POLICY STATEMENTS

- 4.2.1 Departments shall develop and maintain a vulnerability management process as part of its Cybersecurity Program.



5 CYBERSECURITY INCIDENT MANAGEMENT

Information Security Incident Management establishes the policy to be used by each department in planning for, reporting on, and responding to computer security incidents. For these purposes an incident is defined as any irregular or adverse event that occurs on a County system or network. The goal of incident management is to mitigate the impact of a disruptive event. To accomplish this goal, an organization establishes processes that:

- detect and identify events
- triage and analyze events to determine whether an incident is underway
- respond and recover from an incident
- improve the organization's capabilities for responding to a future incident

This domain defines management controls for addressing cyber incidents. The controls provide a consistent and effective approach to Cyber Incident Response aligned with Orange County's Cyber Incident Response Plan, to include:

- Collection of evidence related to the cyber incident as appropriate
- Reporting procedures including any and all statutory reporting requirements
- Incident remediation
- Minimum logging procedures
- Annual testing of the plan

5.1 GOALS AND OBJECTIVES

- 5.1.1 A process for identifying, analyzing, responding to, and learning from incidents is established.
- 5.1.2 A process for detecting, reporting, triaging, and analyzing events is established.
- 5.1.3 Incidents are declared and analyzed.
- 5.1.4 A process for responding to and recovering from incidents is established.
- 5.1.5 Post-incident lessons learned are translated into improvement strategies.

5.2 CYBERSECURITY INCIDENT MANAGEMENT POLICY STATEMENTS

- 5.2.1 Cybersecurity incident management procedures shall be established within each department to ensure quick, orderly, and effective responses to security incidents. In the event a department has not established these procedures, the department may adopt the County's Cyber Incident Response Plan. The steps involved in managing a security incident are typically categorized into six stages:
 - 5.2.2 System preparation
 - 5.2.3 Problem identification
 - 5.2.4 Problem containment
 - 5.2.5 Problem eradication
 - 5.2.6 Incident recovery
 - 5.2.7 Lessons learned
- 5.2.8 The DISO shall act as the liaison between applicable parties during a cybersecurity incident. The DISO shall be the department's primary point of contact for all IT security issues.



Information Technology Security Standards

- 5.2.9 A directory or phone tree shall be created listing all department cybersecurity incident liaison contact information.
- 5.2.10 Departments shall conduct periodic (at least annually) cybersecurity incident scenario sessions for personnel associated with the cybersecurity incident handling team to ensure that they understand current threats and risks, as well as their responsibilities in supporting the cybersecurity incident handling team.
- 5.2.11 Departments shall develop and document procedures for reporting cybersecurity incidents. For example, all employees, contractors, vendors and customers of County information systems shall be required to note and report any observed or suspected security weaknesses in systems to management. In the event a department has not established these procedures, the department may adopt the County's Cyber Incident Response Plan.
- 5.2.12 Each department shall familiarize its employees on the use of its cybersecurity incident reporting procedures.
- 5.2.13 Contact with local authorities, including law enforcement, shall be conducted through an organized, repeatable process that is both well documented and communicated.
- 5.2.14 Contact with special interest groups, including media and labor relations, shall be conducted through an organized, repeatable process that is both well documented and communicated.
- 5.2.15 Where a follow-up action against an entity after a cybersecurity incident shall involve civil or criminal legal action, evidence shall be collected, retained, and presented to conform to the rules for evidence as demanded by the relevant jurisdiction(s). At the Department's discretion, they may obtain the services of qualified external professionals to complete these tasks.
- 5.2.16 Departments shall report cybersecurity incidents to the Central IT Service Desk in accordance with the County's Cyber Incident Reporting Policy.
- 5.2.17 Confirmed cybersecurity incidents that meet the criteria defined in the Significant Incident/Claim Reporting Protocol shall be reported by the County's Chief Information Security Officer to the Chief Information Officer (CIO), County Executive Officer (CEO), and the Board of Supervisors within 24 hours of determination that a cybersecurity incident has occurred.



6 SERVICE CONTINUITY MANAGEMENT

Service continuity planning is one of the more important aspects of resilience management because it provides a process for preparing for and responding to disruptive events, whether natural or man-made. Operational disruptions may occur regularly and can scale from so small that the impact is essentially negligible to so large that they could prevent an organization from achieving its mission. Services that are most important to an organization's ability to meet its mission are considered essential and are focused on first when responding to disruptions. The process of identifying and prioritizing services and the assets that support them is foundational to service continuity.

Service continuity planning provides the organization with predefined procedures for sustaining essential operations in varying adverse conditions, from minor interruptions to large-scale incidents. For example, a power interruption or failure of an IT component may necessitate manual workaround procedures during repairs. A data center outage or loss of a business or facility housing essential services may require the organization to recover business or IT operations at an alternate location.

The process of assessing, prioritizing, planning and responding to, and improving plans to address disruptive events is known as service continuity. The goal of service continuity is to mitigate the impact of disruptive events by utilizing tested or exercised plans that facilitate predictable and consistent continuity of essential services.

This domain defines requirements to document, implement and annually test plans, including the testing of all appropriate cybersecurity provisions, to minimize impact to systems or processes from the effects of major failures of information systems or disasters via adoption and annual testing of:

- Business Continuity Plan
- Disaster Recovery Plan
- Cyber Incident Response Plan

Business Continuity is intended to counteract interruptions in business activities and to protect critical business processes from the effects of significant disruptions. Disaster Recovery provides for the restoration of critical County assets, including IT infrastructure and systems, staff, and facilities.

6.1 GOALS AND OBJECTIVES

- 6.1.1 Service continuity plans for high-value services are developed.
- 6.1.2 Service continuity plans are reviewed to resolve conflicts between plans.
- 6.1.3 Service continuity plans are tested to ensure they meet their stated objectives.
- 6.1.4 Service continuity plans are executed and reviewed.


6.2 SERVICE CONTINUITY MANAGEMENT POLICY STATEMENTS


- 6.2.1 Backups of all essential electronically-maintained County business data shall be routinely created and properly stored to ensure prompt restoration.
- 6.2.2 Each department shall implement and document a backup approach for ensuring the availability of critical application databases, system configuration files, and/or any other electronic information critical to maintaining normal business operations within the department.





Information Technology Security Standards

- 6.2.3 The frequency and extent of backups shall be in accordance with the importance of the information and the acceptable risk as determined by each department.
- 6.2.4 Departments shall ensure that locations where backup media are stored are safe, secure, and protected from environmental hazards. Access to backup media shall be commensurate with the highest level of information stored and physical access controls shall meet or exceed the physical access controls of the data's source systems.
- 6.2.5 Backup media shall be labeled and handled in accordance with the highest sensitivity level of the information stored on the media.
- 6.2.6 Departments shall define and periodically test a formal procedure designed to verify the success of the backup process.
- 6.2.7 Restoration from backups shall be tested initially once the process is in place and periodically afterwards. Confirmation of business functionality after restoration shall also be tested in conjunction with the backup procedure test.
- 6.2.8 Departments shall retain backup information only as long as needed to carry out the purpose for which the data was collected, or for the minimum period required by law.
- 6.2.9 Alternate storage facilities shall be used to ensure confidentiality, integrity and availability of all County systems.
- 6.2.10 Each department shall develop, periodically update, and regularly test business continuity and disaster recovery plans in accordance with the County's Business Continuity Management Policy.
- 6.2.11 Departments shall review and update their Risk Assessments (RAs) and Business Impact Analyses (BIAs) as necessary, determined by department management (annually is recommended). As detailed in Section 14: Risk Assessment and Treatment, RAs include department identification of risks that can cause interruptions to business processes along with the probability and impact of such interruptions and the consequences to information security. A BIA establishes the list of processes and systems that the department has deemed critical after performing a risk analysis.
- 6.2.12 Continuity plans shall be developed and implemented to provide for continuity of business operations in the event that critical IT assets become unavailable. Plans shall provide for the availability of information at the required level and within the established Recovery Time Objective (RTO) and their location, as alternate facilities shall be used to maintain continuity.
- 6.2.13 Each department shall maintain a comprehensive plan document containing its business continuity plans. Plans shall be consistent, address information security requirements, and identify priorities for testing and maintenance. Plans shall be prepared in accordance with the standards established by the County's Business Continuity Management Policy.
- 6.2.14 Each department shall define failure prevention protocols to maintain confidentiality, integrity and availability. Departments shall automate failover procedures where applicable and maintain adequate (predictable) levels of ancillary components to meet this provision.

		COUNTY STANDARD ADMINISTRATIVE RECORDS RETENTION SCHEDULE						
		DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE: 5/24/1977	REVISION DATES: 9/14/1999, 9/26/2017, 9/10/2019	SCHEDULE NO. 16D
		Countywide	All	All	All			
Item No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION	DISPOSITION	APPLICABLE LAW	LOCATION	REMARKS		
1	ACCOUNTING RECORDS (SUPPORTING DOCUMENTATION ONLY) Supporting documentation for Journal Vouchers, Petty Cash Records, Invoices Paid, Requests for Checks and Vouchers, Notice of Checks Returned and Expense Account Records.	Retain current FY + 5 years and until after all scheduled audits.	Destroy after 5 years and after all scheduled audits.	Gov. Code § 26907	Computer networks and applications, office filing cabinets			
2	APPOINTMENT CALENDARS	Retain 2 years minimum.	May destroy after 2 years.	Gov. Code § 26202	Computer networks and applications, office filing cabinets, email software			
3	AUTHORIZED SIGNATURE LIST FILE Signatures of employees authorized to sign purchasing, payroll, personnel, and other forms.	Retain until updated or 5 years, whichever is longer.	May destroy after updated.	Gov. Code § 26202	Computer networks and applications, office filing cabinets			
4	CASH REGISTER TAPES, RECEIPT BOOKS AND CANCELLED CHECKS Records pertaining to monies received for various departmental services.	Retain current FY + 5 years and until after all scheduled audits.	May destroy after 5 years and after all scheduled audits.	Gov. Code § 26202	Computer networks and applications, office filing cabinets, Records Center			
5	CONTRACTS AND AGREEMENTS RECORDS Records documenting purchase, rental, lease, maintenance, service, and construction agreements with vendors. Includes bids, proposals, change notices, contracts, and other supporting documents.	Retain until end of FY of final action or expiration of contract + 4 years.	May destroy documents after 4 years. However, documents stored electronically in ERMI/CAPS+ and Bidsync are kept permanently.	Code of Civil Procedure § 337	Computer networks and applications, office filing cabinets			
6	DATA INPUT DOCUMENTS Records used only as data input sources for a computer system.	Retain until revised and administrative value ends or 2 years, whichever is longer.	Retain until revised and administrative value ends or 2 years, whichever is longer.	Gov. Code § 26202	Computer networks and applications, office filing cabinets			
7	DEPOSIT ORDERS AND DEPOSIT RECEIPTS (SUPPORTING DOCUMENTATION ONLY) Supporting documentation and related records.	Retain current FY + 5 years and until after all scheduled audits.	Destroy after 5 years and after all scheduled audits.	Gov. Code § 26907.2	Computer networks and applications, office filing cabinets			
8	FISCAL RECORDS Documentation collected for budget preparation.	Retain current FY + 2 years.	May destroy after 2 years.	Gov. Code § 26202	Computer networks and applications, office filing cabinets			
9	FIXED ASSET RECORDS (SUPPORTING DOCUMENTATION ONLY) Supporting documentation relating to inventory of all departmental fixed assets, control of fixed assets within the department, fixed asset documents, disposition orders and related records.	Retain until final disposition of fixed asset + 5 years.	Destroy 5 years after final disposition of fixed asset.	Gov. Code § 24051	Computer networks and applications, office filing cabinets			

		COUNTY STANDARD ADMINISTRATIVE RECORDS RETENTION SCHEDULE						
		DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE: 5/24/1977	REVISION DATES: 9/14/1999, 9/26/2017, 9/10/2019	SCHEDULE NO. 16D
		Countywide	All	All	All			
Item No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION	DISPOSITION	APPLICABLE LAW	LOCATION	REMARKS		
10	INTELLECTUAL PROPERTY Includes records relating to the County's intellectual property (e.g. copyright, trademarks, and patents) rights such as contracts, amendments, change orders, license agreements and amendments thereto, assignment agreements, applications and registrations, supporting documents, and other documents evidencing the development, ownership, and/or transfer of such rights by the County and/or to the County.	Life of the intellectual property right + 7 years and until County Counsel and applicable department head approve the destruction of the records in writing.	May destroy after life of the intellectual property right + 7 years and until County Counsel and applicable department head approve the destruction of the records in writing.	Copyright Act of 1976 [17 U.S.C. §§ 101-§10 and related statutes]; the Lanham (Trademark) Act [15 U.S.C. Ch. 22 and related statutes]; and the U.S. Patent Act [35 U.S.C. §§ 1 <i>et seq.</i> and related statutes].	Computer networks and applications, office filing cabinets			
11	MEMBERSHIP RECORDS Includes invoices, authorizations, and payment method.	Retain 2 years minimum.	May destroy after 2 years.	Gov. Code § 26202	Computer networks and applications, office filing cabinets, Records Center			
12	MILEAGE CLAIMS Records of employee mileage claims requesting reimbursement. Includes claim forms and supporting documentation.	Retain for 5 years.	Scanned into ERMI. Paper copies are destroyed upon scanning into ERMI. Images kept in ERMI for 5 years. May destroy after 5 years, providing audits are complete.	Gov. Code § 26907	Computer networks and applications, office filing cabinets, Records Center			
13	POLICIES AND PROCEDURES, REGULATIONS AND RULES Officially-adopted policies, procedures or public rules affecting the entire County. Internal procedures and instructions. Guidance on any routine internal procedures or protocols required for day-to-day business operations.	Retain until revised and administrative value ends or 2 years, whichever is longer.	Retain until revised and administrative value ends or 2 years, whichever is longer.	Gov. Code § 26202	Computer networks and applications, office filing cabinets	Departments may want to consider preserving these records as reference materials.		
14	POSTAGE RECORDS Records of postage added to postage meter, postage refunds, and postage usage.	Retain 2 years minimum.	May destroy after 2 years.	Gov. Code § 26202	Computer networks and applications, office filing cabinets			
15	PROCUREMENT RECORDS Various documents relating to the acquisition of office supplies, forms, equipment, and services from vendors. Includes purchase orders, invoices, correspondence, and supporting data. [Note: Requisitions are described below]	Retain current FY + 4 years.	May destroy documents after 4 years. However, documents stored in ERMI/CAPS+ are kept permanently.	Code of Civil Procedure § 337	Computer networks and applications, office filing cabinets			

		COUNTY STANDARD ADMINISTRATIVE RECORDS RETENTION SCHEDULE						
		DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE: 5/24/1977	REVISION DATES: 9/14/1999, 9/26/2017, 9/10/2019	SCHEDULE NO. 16D
		Countywide	All	All	All			
Item No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION	DISPOSITION	APPLICABLE LAW	LOCATION	REMARKS		
16	PROCUREMENT REQUISITIONS Requisitions for supplies, equipment, printing services, and other material and services.	Retain current FY + 3 years.	May destroy documents after 3 years. However, documents stored in OC Expediter are kept permanently.	Gov. Code § 25501.5	Computer networks and applications, office filing cabinets			
17	PUBLIC RECORDS ACT REQUESTS Requests, responses and responsive records.	Retain 2 years minimum.	May destroy after 2 years.	Gov. Code § 26202	Computer networks and applications	Note that the retention period for the original/non redacted responsive records could expire, but the responsive records should be kept for 2 years.		
18	RECORD DESTRUCTION DOCUMENTATION Records documenting the routine, periodic destruction of departmental records. Includes authorizations to destroy records and other supporting information.	Retain 2 years minimum.	May destroy after 2 years.	Gov. Code § 26202	Computer networks and applications, office filing cabinets			
19	RECORDINGS OF PHONE AND RADIO COMMUNICATIONS	Retain for 100 days or until pending investigation is over.	May destroy after 100 days or until pending investigation is over.	Gov. Code § 26202.6	Computer networks and applications			
20	RESEARCH Includes questionnaires, surveys, and similar records used to gather data for reports and studies.	Retain until administrative value ends.	May destroy after revised and after administrative value ends.	Gov. Code § 26205.1, 64 Cal. Op. Att'y Gen. 317 (1981)	Computer networks and applications, office filing cabinets			
21	ROUTINE VIDEO MONITORING	Retain 1 year or until pending investigation is over.	May destroy after 1 year or until pending investigation is over.	Gov. Code § 26202.6	Computer networks and applications			
22	TELEPHONE BILLS Copies of paid bills.	Retain 2 years minimum.	May destroy after 2 years.	Gov. Code § 26202	Computer networks and applications, office filing cabinets			
23	TRAVEL REQUESTS Includes all supporting documentation.	Retain for 5 years.	May destroy after 5 years, providing audits are complete.	Gov. Code § 26907	Computer networks and applications, office filing cabinets, Records Center			

		COUNTY STANDARD ADMINISTRATIVE RECORDS RETENTION SCHEDULE						
		DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE: 5/24/1977	REVISION DATES: 9/14/1999, 9/26/2017, 9/10/2019	SCHEDULE NO. 16D
		Countywide	All	All	All			
Item No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION	DISPOSITION	APPLICABLE LAW	LOCATION	REMARKS		
24	TRAINING RECORDS Curriculum and materials developed.	Retain until revised and administrative value ends or 2 years, whichever is longer.	Retain until revised and administrative value ends or 2 years, whichever is longer.	Gov. Code § 26202	Computer networks and applications, office filing cabinets			
25	TUITION REIMBURSEMENTS Includes all supporting documentation.	Retain for 5 years.	May destroy after 5 years, providing audits are complete.	Gov. Code § 26907	Computer networks and applications, office filing cabinets, Records Center			
26	VOLUNTEER/INTERN FILES May include, but are not limited to, application/registration/placement documents, background screening verification, monitoring/reporting/training/service records.	Retain records for duration of Volunteer/Intern placement + minimum of 2 years.	May destroy records 2 years after Volunteer/Intern placement has ended.	Gov. Code § 26202	Computer networks and applications, office filing cabinets			
27	WORK REQUESTS (SUPPORTING DOCUMENTATION ONLY) Supporting documentation relating to requests for alterations, repairs, improvements, and construction.	Retain 2 years minimum.	May destroy after 2 years.	Gov. Code § 26202	Computer networks and applications, office filing cabinets			

NOTE:


- Records prepared or received other than pursuant to state statute or county charter, or records that are not expressly required by law or County policy to be filed and preserved may be destroyed.
- The County Archivist should be consulted to preserve records of historical value prior to their ultimate disposition. Records subject to a legal hold or Public Records Act request must be retained.
- Departments should not store duplicate copies at the Records Center, although Departments may have duplicate copies of the following records in which the County official record is kept by a single department pursuant to its Departmental Records Retention Schedule, including but not limited to:


Auditor-Controller: Labor Distribution Reports, Bi-Weekly Timesheets, Payroll Registers, Fixed Asset Inventory, Requests for Checks and Vouchers, Invoices Paid, Deposit Orders and Receipts, Journal Vouchers, Petty Cash, Cancelled Checks, Notice of Checks Returned, Expense Account.


Clerk of the Board: Audit Reports Issued by Internal Audit and Office of Performance Audit, Board of Supervisors Minutes and Agendas. County Counsel: County Counsel Opinions.


County Executive Office - Human Resource Services: Employee Personnel, Personnel Recruitment, Employee Review Notification Report, Master Position Control Report. County Executive Office - Information Technology: Telephone Services.


County Executive Office - Risk Management: Injury and Illness Prevention Program, Workers' Compensation Claim Files.


DEPARTMENTAL RECORDS RETENTION SCHEDULE							Attachment B
	DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE:	REVISION DATES:	SCHEDULE NO.
Item No.	TITLE AND DESCRIPTION OF RECORDS		RETENTION	DISPOSITION	APPLICABLE LAW	LOCATION	REMARKS


 RECORDS CONTROL SCHEDULE						
DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	EXECUTIVE ADMINISTRATION			10/19/2010	10/19/2010	348A
				APPROVAL	PAGE	
				Board Minute Order	1 of 1	
ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS	
		OFFICE	RECORDS CENTER	DISPOSITION		
1	Subpoenas for Personnel Records	Current + 1 year	Retain 4 years	Destroy after 5 years	<p>Government Code Section 26202 requires 2 years. Records are kept longer for research and possible audits. Subpoena documents include request and response documents.</p> <p>Personnel records are kept by Claims and Disbursing Unit.</p>	
<p>Note - Unless stated otherwise, all retention periods begin with the end of the fiscal year in which the records are generated.</p>						

 RECORDS CONTROL SCHEDULE						
DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	ADMINISTRATION	FINANCE & ADMINISTRATIVE SERVICES		08-07-2001	10/19/2010	318B
				APPROVAL	PAGE	
				Board Minute Order	1 of 1	
ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS	
		OFFICE	RECORDS CENTER	DISPOSITION		
1	Auditor-Controller Client Satisfaction Surveys - a. County-wide b. Intradepartmental	Current + 2 years	N/A	Destroy after 2 years	Biennial surveys. No specific statutory requirements.	
2	Annual Budget Files - Includes strategic financial plan reports and schedules, A-C dept and unit budget worksheets, available financing reports and schedules, and budget expenditure/revenue projection worksheets	Current + 5 years	N/A	Destroy after 5 years	Government Code Section 26202.	
3	Purchasing Files - Includes purchase orders and price agreements file folders, Cal Card statements and supporting documents, and paid invoices	Current + 1 year	Retain 4 years	Destroy after 5 years	Government Code Section 26907.	
<p>Note - Unless stated otherwise, all retention periods begin with the end of the fiscal year in which the records are generated.</p>						

 RECORDS CONTROL SCHEDULE						
DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	CAPS PROGRAM OFFICE	CAPS PROGRAM OFFICE		08-07-2001	10/19/2010	330B
				APPROVAL	PAGE	
				Board Minute Order	1 of 1	
ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS	
		OFFICE	RECORDS CENTER	DISPOSITION		
1	Systems Project Files - a. Upgrade documents b. Training materials c. Miscellaneous project documentation	Current + 1 year	Retain for 9 years	Destroy after 10 years	Contains documents supporting each project and upgrade. No specific statutory requirements.	
2	CAPS System Modification Documentation - a. Issues papers b. Design documents c. Migration tracking database	Current	N/A	Retain for life of system	Documentation of our system modifications will be required for as long as we are using the current system.	
3	AMS System Documentation - a. Hardcopy manuals b. Online documentation	Current	N/A	Keep for one major release back	Per CAPS Program Office policy.	
4	AMS Release Tapes / Discs	Current	N/A	Keep for one major release back	Per CAPS Program Office policy.	
<p>Note - Unless stated otherwise, all retention periods begin with the end of the fiscal year in which the records are generated.</p>						

 RECORDS CONTROL SCHEDULE						
DEPARTMENT		DIVISION		SECTION	UNIT	EFFECTIVE DATE
AUDITOR-CONTROLLER		INFORMATION TECHNOLOGY		COST SYSTEMS OPERATIONS		08-07-2001
						10/19/2010
					APPROVAL	SCHEDULE NO.
					Board Minute Order	331B
						PAGE
						1 of 1
ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS	
		OFFICE	RECORDS CENTER	DISPOSITION		
1	Microfiche - Originals Payroll	Current Calendar Year	Retain 50 years	Destroy after 50 years	Board Resolution No. 74-1102, passed on 7/30/74.	
2	Microfiche - Originals Labor Distribution	None	Retain 50 years	Destroy after 50 years	Board Resolution No. 74-1102, passed on 7/30/74.	
3	Microfiche - Originals Job Cost Accounting	None	Retain current FY plus 20 years	Destroy after 20 years	No specific statutory requirement.	
4	Microfiche - Copies Payroll	Current Calendar Year		Destroy after 1 Calendar Year	No specific statutory requirement.	
5	Labor Distribution Reconciliations	Retain current FY	Retain 5 Years	Destroy after 5 years	No specific statutory requirement.	
<p>Note - Unless stated otherwise, all retention periods begin with the end of the fiscal year in which the records are generated.</p>						

 RECORDS CONTROL SCHEDULE						
DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	INTERNAL AUDIT AND STAFF SERVICES	STAFF SERVICES		08-07-2001	10/19/2010	363A
				APPROVAL	PAGE	
				Board Minute Order	1 of 1	
ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS	
		OFFICE	RECORDS CENTER	DISPOSITION		
1	Updates of County Accounting Procedures (CAPs)	Retain until next update	N/A	Destroy after next update	Individual CAPS will be updated as needed. No specific statutory requirements.	
2	Special Assignments / Projects for Other Sections of the Auditor-Controller Department - summary work papers and correspondence	Current + 2 years	N/A	Destroy after 2 years	Government Code Section 26202. Detailed information on each project to be retained in the A-C sections which requested the work to be done.	
3	Auditor-Controller Mandates Listing	Retain until next update	N/A	Destroy after next update	Listing is to be updated annually per A-C policy. No specific statutory requirements.	
4	Special Districts Audit Reports Audit reports to the submitted to the Auditor-Controller by Orange County Special Districts.	Current + 1 year	5 years	Destroy after 7 years.		
Note - Unless stated otherwise, all retention periods begin with the end of the fiscal year in which the records are generated.						

 RECORDS CONTROL SCHEDULE						
DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	INTERNAL AUDIT AND STAFF SERVICES	INTERNAL AUDIT		10/19/2010	10/19/2010	364A
				APPROVAL	PAGE	
				Board Minute Order	1 of 1	
ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS	
		OFFICE	RECORDS CENTER	DISPOSITION		
1	Audit Work Papers Reports issued by the Internal Audit Unit and supporting work paper files.	Current + 2 years	Retain 7 Years	Destroy after 10 years.		
2	Audit Report Copies	Current + 5 years	N/A	Destroy after 5 years	Government Code Section 26202.	
Note - Unless stated otherwise, all retention periods begin with the end of the fiscal year in which the records are generated.						

RECORDS CONTROL SCHEDULE

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
1	Annual Budget Files - contains budgets, hearing folders, revenue and expenditure projection worksheets, line-item budget schedules, balancing schedules, computer printouts, tax rate computation information and worksheets, property tax revenue estimates and districts for which tax rates are computed, etc., for all County departments.	Current + 5 years	N/A	Destroy after 5 years, except for permanent library copy.	Government Code Section 26202. One copy of each year's proposed and final budgets retained permanently in A-C library.
2	Available Financing Reports and Related Schedules - includes detailed supporting worksheets, Department/ Agency Net County Cost Projection to Budget Schedules and Supporting Detail, and related correspondence, etc.	Current + 5 years	N/A	Destroy after 5 years	Government Code Section 26202. Department/Agency supporting worksheets retained as part of budget files. Available Financing Reports prepared by Colin Hoffmaster. R&B retains copy as part of budget files.
3	GANN Appropriations Limits Files - Annual Computation of Appropriations Limits, Board Resolutions and AITs, Compliance Reports, and all supporting detailed worksheets.	All - retain permanently	N/A	Permanent retention	Need to retain permanently, for retroactive adjustment or legal changes as necessary.
4	Revenue Files - Board actions on fees and other revenue-producing items, correspondence, revenue statutes, etc.	Current + 5 years	N/A	Destroy after 5 years	Government Code Section 26202.
5	Sales Tax - includes monthly and quarterly sales tax returns, detailed supporting worksheets, correspondence, journal vouchers, Requests for Check, State Bulletins/ Rulings/Statutes.	Current + 4 years	N/A	Destroy after 4 years	In accordance with California State Board of Equalization requirements. (Publication 116)




DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	ACCOUNTING OPERATIONS AND REPORTING	GENERAL ACCOUNTING	COST, REVENUE & BUDGET	08-07-2001	10/19/2010	309B
APPROVAL					PAGE	
Board Minute Order					1 of 2	

RECORDS CONTROL SCHEDULE

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
6	Franchise / Agreements, Payment Schedules Worksheets, Correspondence, etc..	Current - all	N/A	Destroy after 10 years	Government Code Section 26202.
7	Local Agency Budgets - Budgets submitted by local agencies.	Current + 5 years	N/A	Destroy after 5 years	Government Code Section 53901.
8	Cost Analysis Folders - contains working papers and reports relating to the computation of various rates and costs for the County departments	Current + 3 years after end of calendar year of study	Retain for 4 years	Destroy 7 years after end of calendar year of study	Government Code Section 26202.
9	County Wide Cost Allocation Plan (CWCAP) - includes working papers and supporting documentation used to allocate costs to General Fund support to recipients of service	Current until received by State + 2 years	Retain for 1 year	Destroy 3 years after received by State	OMB Circular A-87
10	Trial Court Funding - Correspondence	Current + 5 years	N/A	Destroy after 5 years	Government Code Section 26202.
11	Trial Court Funding - a. Monthly / Quarterly Reports b. Excess Revenue Reports c. MOE Payment Reports d. Penalty Assessment Reports e. DNA Distribution Reports f. Court Facility Payments	Current + 5 years	Retain for 5 years	Destroy after 10 years	Government Code Section 26202.

RECORDS CONTROL SCHEDULE

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS				
		OFFICE	RECORDS CENTER	DISPOSITION					
									
DEPARTMENT		DIVISION		SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.	
AUDITOR-CONTROLLER		ACCOUNTING OPERATIONS AND REPORTING		FINANCIAL REPORTING & MANDATED COSTS		08-07-2001	10/19/2010	310B	
APPROVAL						Board Minute Order			PAGE
						1 of 1			
1	Comprehensive Annual Financial Reports and Single Audit Reports - including backup working papers and other documentation. a. Final & Draft CAFRs b. 1st and 2nd Close Reports c. Adjusting Journal Entries d. All detail, summarizing, and summary schedules and work papers e. Related correspondence f. Federal Financial Assistance Schedules, Management Representation Letters, Outside Auditor's Management Letter, etc.	Current + 2 years	Retain 5 years	Destroy after 7 years	- OMB Circular A-133 requires 3 years retention for Single Audit. However, records are kept longer for audits and reviews. - GC 25250 and 25253				
2	Grant Accounting Folders - Contains documents relating to each grant (e.g. application, grant contract, fiscal reports, correspondence, and work papers that support entries in the Grant Trust Funds.)	Current + 1 year	Retain 4 years	Destroy after 5 years only if all audit issues are resolved	Office of Emergency Services (OES) requires 3 years from termination of grant funding period retention per OES Grantee Handbook. However, records are kept longer for audits and reviews.				
3	Mandated Cost Claim Records - a. Cost estimates b. Test claims c. All estimated and actual claim filings d. Correspondence with State and other County Departments e. State audits and disallowances	Current + 2 years only if claim is fully reimbursed, and all disallowances and audit issues resolved	Retain 5 years	Destroy after 7 years	- State requires 2 years retention for audit per Mandated Cost Manual for Counties. However, records are kept longer for audits and reviews. - GC 17558.5				
4	Child Support IV-D Administrative Claim and supporting documentation - includes quarterly claims and supplemental claims from District Attorney, plus fiscal reports, correspondence, and work papers that support entries in the IV-D Trust Fund.	Current + 1 year	Retain for 4 years	Destroy after 5 years only if all audit issues are resolved	- State requires 3 years retention per California-SDSS-Manual-FMC. However, records are kept longer for audits and reviews. - GC 17558.5				


RECORDS CONTROL SCHEDULE

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
1	Audit Trails of Roll Corrections - detail correction data on secured, prior year, and current year tax rolls.	Current + 1 year	Retain for 11 years	Destroy after 12 years with approval from Board of Supervisors	Revenue and Taxation Code Section 4377 requires retention of all secured tax-roll related data for 12 years. Record destruction must be approved by BOS.
2	Audit Trails of Roll Corrections - detail correction data on unsecured, prior year, and current year tax rolls.	Current + 1 year	Retain for 4 years	Destroy after 5 years	Revenue and Taxation Code Section 2928 requires retention of unsecured tax roll data for 5 years.
3	City and District Tax Rate Resolutions	Current + 12 years	N/A	Destroy after 12 years	Revenue and Taxation Code Section 4377.
4	District Valuation Reports	Current + 12 years	N/A	Destroy after 12 years	Revenue and Taxation Code Section 4377.
5	Homeowner and Business Inventory Tax Loss Claim to State	Current + 2 years	Retain for 3 years	Destroy after 5 years	State Controller's Accounting Manual. Government Code Section 26907.
6	Proof of Taxes - audit trail of secured and unsecured tax levy computation	Current + 5 years	Retain for 7 years	Destroy after 12 years	Revenue and Taxation Code Section 4377.
7	Public Utility Roll - Assessed by State Board of Equalization	Current + 5 years	Retain for 7 years	Destroy after 12 years	Revenue and Taxation Code Section 4377.
8	Special Assessment Audit Trails - a. Data processing listings b. Supporting data submitted by cities and districts	Current + 2 years	Retain for 10 years	Destroy after 12 years	Revenue and Taxation Code Section 4377 - (Secured).


RECORDS CONTROL SCHEDULE

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
9	Tax Apportionment Audit Trails - a. Accumulation of allocated taxes by district b. Allocated taxes c. Collection charge computation d. Summary total of collections	Current + 1 year	Retain for 4 years	Destroy after 5 years	Government Code Section 26907 requires a 5 year retention for county checks and backup documentation.
10	Tax Collection Reports certified by the Tax Collector - summaries of tax collections by code areas	Current + 5 years	Retain for 7 years	Destroy after 12 years	Revenue and Taxation Code Section 4377 - (Secured). Revenue and Taxation Code Section 2928 - (Unsecured).
11	Tax Ledgers, Secured and Unsecured - summary of tax levy, amounts apportioned and delinquent taxes	Current + 12 years	N/A	Destroy after 12 years	Revenue and Taxation Code Section 4377 - (Secured). Revenue and Taxation Code Section 2928 - (Unsecured).
12	Tax Roll Correction Authorization - a. Assessor roll corrections b. Assessment appeals board minutes c. Tax cancellation evaluations	Current + 3 years	Retain for 9 years	Destroy after 12 years	Revenue and Taxation Code Section 4377.
13	Work papers and Reports - a. Tax apportionments, school bond budgets and miscellaneous state reports b. City and special district valuation reports and worksheets c. Secured, unsecured, and miscellaneous tax revenue records d. Special assessment and district annexation records	Current + 3 years	Retain for 9 years	Destroy after 12 years	Revenue and Taxation Code Section 4377 - (Secured). Revenue and Taxation Code Section 2928 - (Unsecured).
14	Apportionment of State Allocations	Current + 2 years	Retain for 3 years	Destroy after 5 years	State Controller's Accounting Manual. Government Code Section 26907.

RECORDS CONTROL SCHEDULE

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS			
		OFFICE	RECORDS CENTER	DISPOSITION				
								
DEPARTMENT		DIVISION		SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER		ACCOUNTING OPERATIONS AND REPORTING		PROPERTY TAX		08-07-2001	10/19/2010	311B
APPROVAL						Board Minute Order		PAGE
								3 of 3
15	Redevelopment Agencies - base year values, adopted plan and resolutions, etc.	Current + 2 years	Retain for 3 years	Destroy after superseded/ obsolete + 5 years	Destroy records 5 years after the plan is paid or ended. State Controller's Accounting Manual.			
16	School Bond Budgets - data used to compute tax rates and set yearly allocations for school bond budgets	Current + 2 years	Retain for 3 years	Destroy after 5 years	State Controller's Accounting Manual. Government Code Section 26907.			
17	State Tax Reports - a. State Controller b. State Department of Education c. State Board of Equalization, etc.	Current + 2 years	Retain for 3 years	Destroy after 5 years	State Controller's Accounting Manual. Government Code Section 26907.			
18	Franchise / CRA Pass-Through Files - Franchise and CRA Pass-Through Contracts	Current + All	N/A	Destroy after 10 years	Government Code Section 26202.			
Note - Unless stated otherwise, all retention periods begin with the end of the fiscal year in which the records are generated.								

RECORDS CONTROL SCHEDULE

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS			
		OFFICE	RECORDS CENTER	DISPOSITION				
RECORDS CONTROL SCHEDULE								
		DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE 08-07-2001	REVISION DATE 10/19/2010	SCHEDULE NO. 312B
		AUDITOR-CONTROLLER	ACCOUNTING OPERATIONS AND REPORTING	GENERAL ACCOUNTING	GENERAL LEDGER	APPROVAL Board Minute Order	PAGE 1 of 4	
1	Accounting Reports - a. General Ledger (CAPS) FS15A101 (CAPS+) F-GA-05M01 b. Expense Budget to Actual (CAPS) FS16A101 (CAPS+) F-GA-06M01 c. Other FS16 Expenditure Reports (CAPS+) Other F-GA-06 Reports d. Revenue Budget to Actual FS17A101 (CAPS+) F-GA-07M01 e. Other FS17 Revenue Reports (CAPS+) Other F-GA-07 Reports f. Open Purchase Order (Encumbrances) (CAPS) FS13A101 (CAPS+) N/A (CAPS) FS13A201 (CAPS+) F-PR-04301	Stored in ERMI indefinitely. Microfiche - Prior to ERMI Reports. CAPS+ Reports stored indefinitely.			<i>Monthly Reports</i> Microfiche version from 1992/1993 through 2004 retained indefinitely. Retained in ERMI indefinitely since 1999. <i>Semi-Monthly Reports</i> Retained in ERMI indefinitely since 1999.	The State Controller's Manual recommends permanent retention of microfiche copies of General Ledger accounting records.		
2	Fixed Asset Cards - a. Equipment b. Land c. Structures and Improvements	Current + 10 years after disposition of asset	N/A		Destroy after 10 years from disposition of fixed asset	Government Code Section 24051 requires retention of inventory records for at least 5 years. County policy requires a 10 year retention for research purposes. OMB Circular A-87 requires an inventory of all County property at least every 3 years.		
3	AC42 Reports	2 years	3 years		Destroy after 5 years			
4	Fixed Asset Inventories and Related Correspondence	Current + 6 years after inventory	N/A		Destroy after 6 years on the order of the Board of Supervisors	OMB Circular A-87 requires an inventory of all County property at least every 3 years. The inventory reports and supporting documents must be retained at least 5 years, and may be destroyed on order of the Board of Supervisors, per Government Code Section 24051.		

RECORDS CONTROL SCHEDULE

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
5	Capital Leases - copies of contracts and amortization schedules for CAFR financial reporting purposes, Master Lease Records - CEO/Public Finance Acct, Other equipment and real property leases - General	Current + 5 years after lease is completed.	N/A	Destroy 5 years after lease is completed.	State Controller's Manual recommends 5 year retention after lease is completed.
6	Bankruptcy Files and Records - a. Bankruptcy Journal Vouchers b. Bankruptcy-Related Cash Flows c. Arthur Andersen Binders (currently at CEO / County Counsel) d. Negative Net Available work papers e. Bankruptcy Drawdown Requests f. Available Cash Distribution Allocations and worksheets g. All other Bankruptcy-Related files	Retain Indefinitely	N/A	Files and records are currently retained for bankruptcy reference	No specific statutory requirements. Requests for destruction shall be cleared with Central Operations Accounting Division Head prior to destruction.
7	Copies of Affidavits and supporting documents for lost/stolen/forged/destroyed checks - a. Declaration of Forgery b. Replacement Warrant c. Investigation Report	Current + 5 years	N/A	Destroy after 5 years	Government Code Section 26907. Originals are kept in Check Writing.
8	Journal Vouchers and Supporting Documents	Current + 2 years	Retain prior to ERMI (March 2002)	Retain copies that are not in ERMI. Destroy paper copies of those in ERMI after 10 years. Note: Bankruptcy journal vouchers and ERMI files are being retained indefinitely.	State Controller's Manual recommends 10 year retention. Government Code Section 26907 requires 10 years. (Considered equivalent to checks).
9	Treasurer's Monthly Cash Balance Report, Reconciliation Reports, and related worksheets	Current + 5 years	N/A	Destroy after 5 years	Government Code Section 26907 requires a 5 year retention.

RECORDS CONTROL SCHEDULE

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
10	Cash Flows (other than bankruptcy-related) and all back-up documentation	Current + 5 years	N/A	Destroy after 5 years	No specific statutory provisions apply. These should be retained 5 years to support TRAN borrowings.
11	Expense and Revenue Budget Transfers, Board Resolutions and Minute Orders - for budgetary actions such as transfers of appropriations funded by unanticipated revenues or interfund transfers	Current + 5 years	N/A	Destroy after 5 years	No specific statutory provisions apply. State Controller's Manual recommends 5 years for appropriations transfers and budget worksheets.
12	Check Outstanding Reports and Cash Reconciliation Reports and worksheets	Current + 2 years	Retain for 3 years	Destroy after 5 years	Government Code Section 26907. State Controller's Manual.
13	General Accounting Records - a. Welfare Payroll Reports b. County Payroll Reports c. Trust Register d. Cash Balance Reports e. Transaction Registers f. Accounts Payable / Trust Check Registers g. Supplemental Property Tax Apportionments	Current + 2 years	Retain for 13 years	Destroy after 15 years	County of Orange Auditor-Controller policy requires a 15 year retention.
14	Proposition 172 Public Safety Sales Tax, Supplemental Law Enforcement Services, Fund / Citizens for Public Safety (COPS), and Allocation files	Current + 5 years	N/A	Destroy after 5 years	



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	ACCOUNTING OPERATIONS AND REPORTING	GENERAL ACCOUNTING	GENERAL LEDGER	08-07-2001	10/19/2010	312B
APPROVAL					PAGE	
Board Minute Order					3 of 4	

RECORDS CONTROL SCHEDULE

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
15	Annual State Controller's Reports on Financial Transactions of the County (State Controller's Report) and Financial Transactions of Special Districts (DOCBARs)	Current + 5 years	N/A	Destroy after 5 years	The State Controller's Manual recommends retention for 5 years. GC Section 12463, 12463.1, 53891, and 53891.1 require preparation and provision of annual reports to the State Controller. GC 12465 requires retention of reports for 5 years by State Controller.
16	Cash Flow Loans	Current + 5 years	N/A	Destroy after 5 years	State Controller's Manual recommends 5 year retention.
17	1099 Forms and Reports	Current + 5 years	Retain for 10 years	Destroy after 15 years	State Controller's Manual recommends 5 year retention. However, Auditor-Controller retains 1099 records for 15 years because of past requirements for 1099 research.
<p>Note - Unless stated otherwise, all retention periods begin with the end of the fiscal year in which the records are generated.</p>					



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	ACCOUNTING OPERATIONS AND REPORTING	GENERAL ACCOUNTING	GENERAL LEDGER	08-07-2001	10/19/2010	312B
APPROVAL					PAGE	
Board Minute Order					4 of 4	


RECORDS CONTROL SCHEDULE

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
1	Board Approved Contracts and other Agreements	Current + 1 year after final payment or scanned to final payment	Retain 4 years	Destroy after 5 years	Government Code Section 26907.
2	Purchase Orders (P.O.), Price Agreements	Current + 1 year or scanned to ERMI	Retain for 4 years	Destroy after 5 years	Government Code Section 26907.
3	Stop Notices and Associated Correspondence	Current + 5 years	N/A	Destroy after 5 years	Government Code Section 26907.
4	Miscellaneous Correspondence and Documents	Current + 2 years	N/A	Destroy after 2 years	Government Code Section 26202.
5	Bankruptcy Claim Check Copies, Stipulations, and backup documentation - includes all bankruptcy court orders relating to payment and all stipulations	N/A - stored offsite	30 years	Destroy after July 1, 2026 or date of last payment on Recovery COPs	Back-up documentation for what was funded by the 1996 Recovery Certificates of Participation needs to be retained until July 1, 2026, when the certificates are paid off.




DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	ACCOUNTING OPERATIONS AND REPORTING	CLAIMS AND DISBURSING	CLAIMS	08-07-2001	10/19/2010	314B
APPROVAL					PAGE	
Board Minute Order					1 of 1	

RECORDS CONTROL SCHEDULE

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS				
		OFFICE	RECORDS CENTER	DISPOSITION					
									
DEPARTMENT		DIVISION		SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.	
AUDITOR-CONTROLLER		ACCOUNTING OPERATIONS AND REPORTING		CLAIMS AND DISBURSING	DISBURSING	08-07-2001	10/19/2010	315B	
APPROVAL						Board Minute Order			PAGE
						1 of 3			
1	<u>PAYROLL</u> Attendance Reports / Time Sheets / VTI - biweekly attendance reports or time sheets submitted by all County Departments / Agencies Sheriff Department provides timekeeping through file. Detailed records are retained by Sheriff fiscal.	Retain paper copy until microfilmed or scanned, retain microfilm or scanned images for 7 years.	N/A	Destroy/Delete after 7 years.	OCERS doesn't use timesheets to do retirement research. May be held for longer period if needed for audits.				
2	Run Control Listing - contains payroll deduction information for all County employees	ERMI - no paper	N/A	N/A	Deleted as needed.				
3	Employee Payroll Folder (County-wide) - contains various forms relating to the County-wide payroll function, such as: a. Personnel Change Form b. Pay Adjustment Form c. Deduction Authorization Forms	Scanned into ERMI - Paper copies destroyed upon scanning into ERMI.	N/A	Paper copies destroyed upon scanning into ERMI.	Images kept in ERMI				
4	Form W-2, Employer Copy	35 years	N/A	Destroy after 35 years.	Current storage on microfilm. Future storage on Paystub Portal/ERMI. Used for deferred comp calculations.				
5	Payroll Deduction Register	ERMI - No paper	N/A	N/A	Delete as needed.				
6	Payroll Register - computer printout (by pay period) of gross earnings, deductions, and net pay for all employees	ERMI / Microfilm - No paper	N/A	Destroy after 35 years as needed	Retention period to provide backup to retirement records, (previous requirement was 15 years).				
7	Tax Report - Records used to report quarterly earnings and taxes taxes withheld. Form 941, State Quarterly Wage and Withholding Report.	Scanned on network	N/A	Delete after 15 years	IRS and State quarterly tax forms are scanned into file on Manager's computer.				

RECORDS CONTROL SCHEDULE

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS			
		OFFICE	RECORDS CENTER	DISPOSITION				
								
DEPARTMENT		DIVISION		SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER		ACCOUNTING OPERATIONS AND REPORTING		CLAIMS AND DISBURSING	DISBURSING	08-07-2001	10/19/2010	315B
APPROVAL						Board Minute Order		PAGE
								2 of 3
8	Catastrophic Leaves records the transfer of paid leave from one employee to another who is suffering from a catastrophic illness.	Scanned into ERMI - Paper copies destroyed upon scanning into	N/A	Delete after 5 years	Catastrophic leave requests are maintained in ERMI by donee and calendar year.			
9	Garnishment and Wage Attachments includes garnishments from different sources, attachments and court orders.	Scanned into ERMI - Paper copies destroyed upon scanning into	N/A	Delete after 6 years after termination or update.	Wage attachments are scanned into ERMI as backup to hard copy files. Terminated orders scanned into employee's personnel file in ERMI.			
10	Workers' Compensation files used to maintain records of payments from the payment system for workers' comp 4850's.	Scanned into ERMI - Paper copies destroyed upon scanning into	N/A	Delete after 5 years.	Terminated workers' comp employee records are scanned into employee's personnel file in ERMI.			
11	<u>CHECK WRITING</u> Request for Trust Check/GAT	Scanned into Paper copies destroyed upon scanning into	N/A	Delete after 5 years as needed	Prior to July 1, 2009 records retained in ERMI. After July 1, 2009 workflow documents in CAPS.			
12	Accounts Payable - back-up documentation such as vendor invoices, receivers, vouchers, and payment detail	Scanned into ERMI - Paper copies sent offsite.	Retain for 5 years.	Delete after 5 years as needed.	Paper copies may be stored offsite for 5 years as needed for backup to ERMI.			
13	Check Action Memos - A/P & Trust Reissues/Duplicates, Cancelled Checks (lost/stolen/forged/destroyed check affidavits, etc.)	Scanned into ERMI - Paper copies sent offsite.	Retain for 5 years.	Destroy after 5 years	Paper copies may be stored offsite for 5 years as needed for backup to ERMI.			
14	Returned Check Ledger	3 Years	N/A	N/A	2007 to current ledgers are retained in Check Writing Unit.			

RECORDS CONTROL SCHEDULE

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
15	Returned Check Memo Memos sent to departments when check is returned so department can determine how to proceed.	Scanned into Network	N/A	Delete after 5 years.	2008 and prior memos are currently in storage. 2009 to current memos are saved in network drive.
16	Returned Checks	Retain originals onsite and send paper copies offsite.	Retain for 15 years	Destroy after 15 years as needed.	Checks retained in Check Writing Unit.
17	Returned Check Memo Memos sent to departments when check is returned so department can determine how to proceed.	Scanned into Network	N/A	Delete after 5 years.	2008 and prior memos are currently in storage. 2009 to current memos are saved in network drive.
18	Returned Check	6 months or until check stale dates.	N/A	N/A	Transfer to General Ledger after stale date.
19	Expired Check Ledgers	Generated and retained in ERMI - No paper copies produced.	N/A	Destroy after 30 years as needed.	1977-2004 reports are in Check Writing. 2005 to current reports are retained in ERMI.

RECORDS CONTROL SCHEDULE

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
1	Debtor C# Files (hard copy files) - Including medical accounts	Current until paid in full and archived	N/A	Destroy hard copy after scanning into ERMI and stored indefinitely.	Accounting information is in the archived records (stored in ERMI).
2	Archived Records	Current + 20 years	N/A	Destroy after 20 years	Retained for future reference and analysis.
3	Accounting Ledgers - a. A/R Subsidiary Ledger b. Monthly Summary of Financial Transactions	Current + 10 years	N/A	Stored in ERMI indefinitely.	Government Code Section 26202.
4	Accounting Reports and Records - a. Cash Advances b. Monthly System Balance Reconciliation c. Performance Report d. State Intercept back-up e. Year-end accruals	Current + 5 years	Retain for 2 years	Destroy after 7 years	Government Code Section 26202.
5	Accounting Reports and Records - a. Funds Transferred Report b. Trust Fund Reconciliation	Current + 7 years	Retain for 3 years	Destroy after 10 years	Government Code Section 26202.
6	Billing Records - a. Quarterly Billing b. State Intercept Billing	Current + 5 years	N/A	Destroy after 5 years	Government Code Section 26202.
7	Court Distributions	Current + 7 years	Retain for 3 years	Destroy after 10 years	Government Code Section 26202.
8	Deposit Orders - including back-up documentation a. A-C deposit order back-up b. Batch reports	Current + 3 years	Transfer offsite as space is required onsite.	Stored in ERMI indefinitely.	Government Code Section 26907.2. Old DO's are periodically requested by departments.

RECORDS CONTROL SCHEDULE

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
9	Escheatment and Credit Balances	Until resolved + 3 years	N/A	Destroy after 3 years from resolve date (3 years after final disposition)	County Accounting Procedure R-1.
10	Handwritten Receipts	Current + 5 years	N/A	Stored in daily deposit order in ERMI.	County Accounting Procedure C-5
11	Paid Invoices	Current + 7 years	N/A	Stored in ERMI	Government Code Section 26202.
12	Accounts Receivable Reconciliation	Current + 10 years	N/A	Destroy after 10 years	Government Code Section 26202.
13	Remittance Advices	Current + 2 years	Retain for 3 years	Stored in ERMI with daily deposit orders.	Government Code Section 26202.
14	Collector Reports and Records - (Collector Performance Legal Collections Aging Reports)	Current + 7 years	N/A	Destroy after 7 years	Government Code Section 26202.
Note - Unless stated otherwise, all retention periods begin with the end of the fiscal year in which the records are generated.					



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	ACCOUNTING OPERATIONS AND REPORTING	ACCOUNTS RECEIVABLE & COLLECTIONS	COLLECTIONS	08-07-2001	10/19/2010	316B
APPROVAL					PAGE	
Board Minute Order					2 of 2	

RECORDS CONTROL SCHEDULE

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
1	Contracts and Agreements	Expiration + 4 years	N/A	Destroy after 4 years from expiration	Exception: 4 years after expiration of contracts with vendor per CCP337 (depending on contract).
2	Correspondence	Current + 5 years or until obsolete	N/A	Destroy after 5 years or after obsolete	Status Reports. No statutory requirements.
3	General Reference Files	Current + 2 years or until obsolete	N/A	Destroy after 2 years or after obsolete	Government Code Section 26202.
4	Petty Cash Records	Current + 5 years	N/A	Destroy after 5 years	Government Code Section 26202.
5	Requests for Warrants	Current + 5 years	N/A	Destroy after 5 years	Government Code Section 26907.
6	Accounting Records	Current + 7 years or until obsolete	N/A	Destroy after 7 years or after obsolete	Budget: relief of accountability Government Code Section 26202.
7	CUBS System Documentation	Until system is replaced	N/A	Destroy after system is replaced	System upgraded in FY 99/00.



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	ACCOUNTING OPERATIONS AND REPORTING	ACCOUNTS RECEIVABLE & COLLECTIONS	ADMINISTRATION	08-07-2001	10/19/2010	317B
APPROVAL					PAGE	
Board Minute Order					1 of 1	

RECORDS CONTROL SCHEDULE



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	CEO / PUBLIC FINANCE ACCOUNTING		08-07-2001	10/19/2010	313B
				APPROVAL	PAGE	
				Board Minute Order	1 of 3	

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
1	CFD Bond Issue / Project Files	Current + 1 year	Year of last bond payment plus following 5 years	Destroy 5 years after final bond payment	State Controller's Manual*
2	AD Bond Issue / Project Files	Current + 1 year	Year of last bond payment plus following 5 years	Destroy 5 years after final bond payment	State Controller's Manual*
3	Recovery Bond Issues / Project Files	Current + 1 year	Year of last bond payment plus following 5 years	Destroy 5 years after final bond payment	State Controller's Manual*
4	County COP Bond Issues / Project Files	Current + 1 year	Year of last bond payment plus following 5 years	Destroy 5 years after final bond payment	State Controller's Manual*
5	Teeter Bond Issue / Project Files	Current + 1 year	Year of last bond payment plus following 5 years	Destroy 5 years after final bond payment	State Controller's Manual*
6	Redevelopment Bond Issues / Project Files	Current + 1 year	Year of last bond payment plus following 5 years	Destroy 5 years after final bond payment	State Controller's Manual*
7	Multi Family Bond Issues / Project Files	Current + 1 year	Year of last bond payment plus following 5 years	Destroy 5 years after final bond payment	State Controller's Manual*
8	Single Family Bond Issues / Project Files	Current + 1 year	Year of last bond payment plus following 5 years	Destroy 5 years after final bond payment	State Controller's Manual*

RECORDS CONTROL SCHEDULE



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	CEO / PUBLIC FINANCE ACCOUNTING		08-07-2001	10/19/2010	313B
				APPROVAL	PAGE	
				Board Minute Order	2 of 3	

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
9	SCHFA Family Bond Issues / Project Files	Current + 1 year	Year of last bond payment plus following 5 years	Destroy 5 years after final bond payment	State Controller's Manual*
10	CFD Band Statements	Current fiscal year	Year of last bond payment plus following 5 years	Destroy 5 years after final bond payment	State Controller's Manual*
11	AD Band Statements	Current fiscal year	Year of last bond payment plus following 5 years	Destroy 5 years after final bond payment	State Controller's Manual*
12	Recovery Bond Bank Statement	Current fiscal year	Year of last bond payment plus following 5 years	Destroy 5 years after final bond payment	State Controller's Manual*
13	County COP Bank Statements	Current fiscal year	Year of last bond payment plus following 5 years	Destroy 5 years after final bond payment	State Controller's Manual*
14	Teeter Bank Statements	Current fiscal year	Year of last bond payment plus following 5 years	Destroy 5 years after final bond payment	State Controller's Manual*
15	Master Lease	Current fiscal year	Year of last bond payment plus following 5 years	Destroy 5 years after final bond payment	State Controller's Manual*
16	Redevelopment Bank Statements	Current fiscal year	Year of last bond payment plus following 5 years	Destroy 5 years after final bond payment	State Controller's Manual*

RECORDS CONTROL SCHEDULE



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	CEO / PUBLIC FINANCE ACCOUNTING		08-07-2001	10/19/2010	313B
				APPROVAL	PAGE	
				Board Minute Order	3 of 3	

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
17	Multi Family Bank Statements	Current fiscal year	Year of last bond payment plus following 5 years	Destroy 5 years after final bond payment	State Controller's Manual*
18	Single Family Bank Statements	Current fiscal year	Year of last bond payment plus following 5 years	Destroy 5 years after final bond payment	State Controller's Manual*
19	SCHFA Bank Statements	Current fiscal year	Year of last bond payment plus following 5 years	Destroy 5 years after final bond payment	State Controller's Manual*
20	Arbitrage Reports	Current report and prior report	Year of last bond payment plus following 5 years	Destroy 5 years after final bond payment	State Controller's Manual*
21	Agreements / Contracts / Purchase Orders	Retain while current and/or active	5 years after superseded or obsolete	Destroy 5 years after superseded or obsolete	State Controller's Manual*
22	Paying Agent / Trustee Agreements - retain while current and/or active	Retain while current and/or active	5 years after superseded or obsolete	Destroy 5 years after superseded or obsolete	State Controller's Manual*
23	Payment Requests / Claims	Retain while current and/or active	5 years after superseded or obsolete	Destroy 5 years after superseded or obsolete	State Controller's Manual*
* Suggested retention period per the County Accounting Standards and Procedures Committee.					
Note - Unless stated otherwise, all retention periods begin with the end of the fiscal year in which the records are generated.					

RECORDS CONTROL SCHEDULE



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	JOHN WAYNE AIRPORT (JWA) ACCOUNTING		08-07-2001	10/19/2010	319B
				APPROVAL	PAGE	
				Board Minute Order	1 of 3	

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
1	Payroll Records	Current + 2 years	Retain for up to 5 years	Destroy after 7 years	
2	Employee Timesheets	Current + 2 years	Retain for 3 years	Destroy after 5 years	
3	Reports - a. General Ledger b. Expense c. Revenue d. Cost	Current + 3 years	Retain for 3 years	Destroy after 6 years	JWA Internal Policy
4	Job Cost Accounting Record Support	Current + 2 years	Retain for 3 years	Destroy after 5 years	JWA Internal Policy
5	Closed Contracts	Current + 1 to 2 years depending on space available	Retain for up to 6 years	Destroy after 7 years	
6	Paid Invoices	Current + 1 to 2 years depending on space available	Retain for up to 6 years	Destroy after 7 years	JWA Internal Policy
7	Tie down BPI Reports	Current + 2 years	Retain for 1 year	Destroy after 3 years	JWA Internal Policy
8	Tie down Statements	Current + 2 years	Retain for 1 year	Destroy after 3 years	JWA Internal Policy
9	FAA Grant Information	Retain Grants #2 - present	N/A	Destroy after 10 years of Grant closure	JWA Internal Policy
10	Fixed Asset Records	Current + 5 years	Retain for 5 years	Destroy after 10 years from disposition of fixed asset	JWA Internal Policy

RECORDS CONTROL SCHEDULE



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	JOHN WAYNE AIRPORT (JWA) ACCOUNTING		08-07-2001	10/19/2010	319B
				APPROVAL	PAGE	
				Board Minute Order	2 of 3	

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
11	Lease Payment Folders - Operating Leases	Current + 2 years	Retain for 2 years	Destroy after 4 years	JWA Internal Policy
12	Terminated Leases	Current + 1 year after termination	Retain for 3 years	Destroy after 4 years from termination	JWA Internal Policy
13	JWA Revenue Reports	Current + 2 years	Retain for 2 years	Destroy after 5 years	JWA Internal Policy
14	Lessee Financial Statements	Current + 2 years for current leases	Retain for 2 years	Destroy after 4 years	JWA Internal Policy
15	Daily Deposit Orders	Current + 1 year	Retain for 4 years	Destroy after 5 years from date of deposit	Government Code Section 26907.2.
16	Petty Cash Reconciliations	Current + 2 years	Retain for up to 7 years	Destroy after 7 years	
17	Closed Purchase Orders	Current + 2 years	Retain for 2 years	Destroy after 4 years	
18	Paid Invoices (PO)	Current + 2 years	Retain for 2 years	Destroy after 4 years	
19	Ground Transportation BPI Reports	Current + 1 year	Retain for 2 years	Destroy after 3 years	JWA Internal Policy
20	Ground Transportation Statements	Current + 6 months	Retain for 2 years	Destroy after 3 years	JWA Internal Policy
21	Parking Refunds	Current Fiscal Year	Retain for 2 years	Destroy after 3 years	JWA Internal Policy
22	PCI Parking Tickets and Tapes	Current Month	Retain for 11 months	Destroy after 1 year	JWA Internal Policy

RECORDS CONTROL SCHEDULE



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	JOHN WAYNE AIRPORT (JWA) ACCOUNTING		08-07-2001	10/19/2010	319B
				APPROVAL	PAGE	
				Board Minute Order	3 of 3	

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
23	PCI Daily Reports	Current Month	Retain for 3 years	Destroy after 3 years	JWA Internal Policy
24	PCI Monthly Parking Account Summary Reports - (including employee parking)	Current + 1 year	Retain for 2 years	Destroy after 3 years	JWA Internal Policy
25	Valet Tickets and Daily Reports	Current month + 2 months	Retain for 3 years	Destroy after 3 years	JWA Internal Policy

RECORDS CONTROL SCHEDULE




DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	OC COMMUNITY RESOURCES ACCOUNTING		08-07-2001	10/19/2010	324B
				APPROVAL	PAGE	
				Board Minute Order	1 of 3	

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
1	WIA - Contracts/Invoice files, state quarterly reports, support service files, miscellaneous files	Current + 2 years	Retain for 3 years (OCCS storage area)	Destroy after 5 years	JTPA Regulations Section (e)
2	County Auditor-Controller Reports - FY 03-04 and earlier	Current + 2 years	Retain for 3 years (OCCS storage area)	Destroy after 5 years	JTPA Regulations Section 165 (e)
3	Other Programs - a. Domestic Violence b. Community Social Programs c. Dispute Resolution d. SSA Funded Programs e. Senior Aides	Current + 2 years	Retain for 3 years (OCCS storage area)	Destroy after 5 years	County Program Requirement
4	OCCR Accounting - Grand reports	Current + 2 years	Retain for 3 years (OCCS storage area)	Destroy after 5 years	JTPA Regulations Section 165 (e)
5	Closed Park Grants - files consist of some grant programs providing funds for construction, development, operation, maintenance, and improvements of various parks located in the County of Orange; it includes the following documentation: Proposal for the Project, Schedule/Summary of Costs, Bids and Contract Agreement with Contractor, Request for Check, Invoices, Project Agreement with State, Final Request for Payment, and other miscellaneous correspondence and documents pertinent to the project	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	
6	Local Parks Receipts - files consists of receipts for local park fees charged by the department to property owners or housing tract developers to meet the Local Park Code Requirements for the tract	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	

Note - Unless stated otherwise, all retention periods begin with the end of the fiscal year in which the records are generated.

RECORDS CONTROL SCHEDULE

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS			
		OFFICE	RECORDS CENTER	DISPOSITION				
								
DEPARTMENT		DIVISION		SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER		SATELLITE ACCOUNTING OPERATIONS		OC COMMUNITY RESOURCES ACCOUNTING		08-07-2001	10/19/2010	324B
APPROVAL								
Board Minute Order								
PAGE								
2 of 3								
7	Section 8 - a. Budgets, cash requisitions, settlement statements, and ACC's b. Receivable records	6 years and 3 months after the end of the FY covered by the documents Current year + 3 years		Destroy 6 years and 3 months after the end of the FY covered by the documents 4 years in storage facility Destroy after 7 years	HUD requirement Industry recommendation			
8	Section 8 - a. Bank-deposit slips, reconciliations, and statements b. Check register and paid checks (paper) c. Paid checks (CD Rom) d. General Ledger, JV's, misc forms and reports	Current year + 3 years Current year + 3 years Current year + 7 years Current year + 3 years	4 years in storage facility 4 years in storage facility 4 years in storage facility 4 years in storage facility	Destroy after 7 years Destroy after 7 years Destroy after 7 years Destroy after 7 years	Industry recommendation Industry recommendation Industry recommendation Industry recommendation			
9	Orange County Development Agency - State Controller's Report	3 years	2 years	Destroy after 5 years	Per State Controller, retention period is 3 years. However, records are held longer for audits and reviews.			
10	a. Contract folders, invoices and supporting document CDBG ESG HOME b. Financial reports, supporting document for draws, & other miscellaneous forms and reports	Year contract closes + 3 Year contract closes + 4 Year contract closes + 5 Current year + 3 years	2 years in storage facility 2 years in storage facility	Destroy after 5 years Destroy after 6 years Destroy after 7 years Destroy after 5 years	HUD requirement is 3 years HUD requirement is 4 years HUD requirement is 5 years However, records are held longer for audits and reviews. HUD recommendation is 5 years			

RECORDS CONTROL SCHEDULE



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	OC COMMUNITY RESOURCES ACCOUNTING		08-07-2001	10/19/2010	324B
				APPROVAL	PAGE	
				Board Minute Order	3 of 3	

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
11	Notes Receivable - loan agreements, promissory notes, Trust Deeds, amortization schedules, and repayment records	Year loan is fully repaid plus 3 years.	2 years in storage facility	Destroy 5 years after note is fully repaid	No statutory requirement.
12	General correspondence and misc documents	5 years		Destroy after 5 years	No statutory requirement.
13	Animal Control Invoices & Billings	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Government Code Section 26907.

RECORDS CONTROL SCHEDULE



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	OC PUBLIC WORKS ACCCOUNTING		08-07-2001	10/19/2010	322B
				APPROVAL	PAGE	
				Board Minute Order	1 of 6	

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
1	Storm Documentation - file includes records of claims reimbursable under the provisions of the Federal Aid Emergency Program on expenditures incurred during emergency repairs in storm-damaged facilities in the County of Orange. The following documents may be included in the file: Damage Survey Report, Job Detail Report, Request for Check, Detail Schedule Costs, Contract Agreements, Auditor's Report of Examination, Bi-weekly Time Sheets, Final Billing, P.O. Receipts, Invoices, Request for Reimbursements, Correspondence, and other pertinent documents and accounting records	Current + 1 year	Retain for 9 years	Destroy after 10 years providing audits are complete	Pursuant to Government Code Section 26907 and extra time for pending audit.
2	Monthly Trust Fund Reconciliations - includes monthly subsidiary ledgers	Current + 1 year	Retain for 4 years	Destroy after 5 years	Pursuant to Government Code Section 26907.
3	Accounts Payable a. Contract folders b. Invoices / Payment documentation c. Vendor correspondence	Current + 1 year after close of contract	Retain for 4 years	Destroy after 5 years providing audits are complete	Pursuant to Government Code Section 26907.
4	Job Transfers (JT's) - Documents job corrections or other job number transfers	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	
5	Watershed Grant Claims - includes backup documentation, cost reports, grant documents	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	Pursuant to Government Code Section 26907.
6	Equipment Usage / Time Cards - files on equipment data reports; consist of cards which show records of the number of hours or miles for equipment usage to be charged to appropriate funds and job numbers; used for input to the computer system, the card includes information on Reporting Period; Timekeeping Location Code, Equipment Type & ID Code, Work Order number, number of hours or miles per day, and total units	Current + 1 year	Retain for 9 years	Destroy after 10 years providing audits are complete	

RECORDS CONTROL SCHEDULE

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
7	Map Check Closeout Reports - Documents showing history and detail of charges against specific maps to support recognition of revenues and/or refunds	Current + 1 year	Retain for 9 years	Destroy after 10 years providing audits are complete	
8	TUF and Road, Flood, and HBP - Security Refunds and supporting documentation	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	Pursuant to Government Code Section 26907.
9	Parking Tickets, Tapes, and Daily Cash Reports	Current + 3 months	Retain for 3 years	Destroy after 4 years	
10	Parking Deposit Orders, Validation billings, keycards	Current + 1 year	Retain for 3 years	Destroy after 4 years	
11	Revenue Lease Files a. Lease Agreements b. Lease payment documents c. Correspondence	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	Pursuant to Government Code Section 26907.
12	OCPW Rate Studies a. OCPW Overhead Rate b. OCPW Equipment Rates	Current + 5 years	Retain for 5 years	Destroy after 10 years providing audits are complete	
13	Dana Point Operator Agreement Records a. Daily / Monthly Revenue Reports b. Monthly Expense Reimbursements c. Monthly Management Fee d. Operator's Bank Account Records	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	
14	GASB 34 Project Completion Notices - files and records to support capitalized amounts for OCPW infrastructure projects	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	

RECORDS CONTROL SCHEDULE



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	OC PUBLIC WORKS ACCCOUNTING		08-07-2001	10/19/2010	322B
				APPROVAL	PAGE	
				Board Minute Order	3 of 6	

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
15	Transportation Billing Reports - Billing and Exception Reports for Fuel, Pool, Parts, Depreciation and Asset Management costs	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	Pursuant to Government Code Section 26907.
16	OCPW Daily Cash Receipts / Deposit Orders	Current + 4 years	Retain for 5 years	Destroy after 10 years	Pursuant to Government Code Section 26907.
17	OCGIS Journal Vouchers	Current + 1 year	Retain for 4 years	Destroy after 5 years	
18	Facility Operations G Account Billings	Current + 1 year	Retain for 4 years	Destroy after 5 years	Pursuant to Government Code Section 26907.
19	Complex Utility Records - meter readings, invoices, Steam & Chilled Water billings	Current + 1 year	Retain for 4 years	Destroy after 5 years	Pursuant to Government Code Section 26907.
20	Equipment Report - consists of computer printouts on OCPW Monthly Equipment Report which shows some information on equipment number, description of equipment usage in hours or miles, dollar amount for usage, and rate per mile or hour	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	Pursuant to Government Code Section 26907.
21	Road Final Accounting including Measure M and TEA 21 Grants, cooperative agreements	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	Pursuant to Government Code Section 26907.
22	Santa Ana River Project Claims - includes quarterly claims, DWR, engineering reports, and any related backup documentation	Retain until audited by both the State and Corps of Engineers + 1 year.	Retain for 5 years	Destroy after 5 years providing audits are complete	Pursuant to Government Code Section 26907.

RECORDS CONTROL SCHEDULE



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	OC PUBLIC WORKS ACCCOUNTING		08-07-2001	10/19/2010	322B
				APPROVAL	PAGE	
				Board Minute Order	4 of 6	

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
23	SARP Escrow Fund - includes backup for each transaction, reconciliations, journal vouchers, etc.	Retain until the escrow fund is closed and all audits are complete + 1 year	Retain for 5 years	Destroy after 5 years providing audits are complete	Pursuant to Government Code Section 26907.
24	Road Report - includes all supporting documentation	Retain until audited by the State + 1 year	Retain for 5 years	Destroy after 5 years providing audits are complete	
25	Miscellaneous Journal Vouchers - documents used to record accounting entries into the County accounting system (includes supporting documentation)	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	Pursuant to Government Code Section 26907.
26	Invoices - documents used to recover costs from entities outside the County	Open projects + 1 year after close of projects	Retain for 5 years after close of project	Destroy 5 years after close of project providing audits completed	Pursuant to Government Code Section 26907.
27	Credit Memos - documents used to cancel amounts recorded by invoices	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	Pursuant to Government Code Section 26907.
28	Requests for Checks / Trust Fund Checks - documents used to request the disbursement of funds from the general or special revenue funds, or the trust fund	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	Pursuant to Government Code Section 26907.
29	Deposit Order Corrections - memos prepared and submitted to A-C Accounts Receivable to correct deposit order coding	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	Pursuant to Government Code Section 26907.

RECORDS CONTROL SCHEDULE



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	OC PUBLIC WORKS ACCCOUNTING		08-07-2001	10/19/2010	322B
				APPROVAL	PAGE	
				Board Minute Order	5 of 6	

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
30	Job Code Request Forms - requests to establish a job number for a new project, includes supporting documentation (such as PERMITS system deposit receipt, planning application)	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	
31	Direct Billing Journal Vouchers - journal vouchers that reimburse OCPW for services provided to B&S, OCPW, Flood, etc. (includes documentation such as ACCESS reports of downloaded job # information)	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	Pursuant to Government Code Section 26907.
32	Program 10 Journal Vouchers - journal vouchers that reimburse OCPW for services provided to other County departments (includes supporting documentation such as ACCESS reports of downloaded job # information)	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	Pursuant to Government Code Section 26907.
33	Indirect Billing Journal Vouchers - journal vouchers that reimburse 080 for administrative costs incurred and allocated to other OCPW funds (includes supporting documentation such as ACCESS reports of downloaded information)	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	Pursuant to Government Code Section 26907.
34	Management Information Reports - Various reports summarizing expenditure or revenue activity, as requested by OCPW management	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	
35	Escheatment Files - forms that summarize liability / deposit account balances for possible escheatment (submitted to Treasurer)	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	Pursuant to Government Code Section 26907.

RECORDS CONTROL SCHEDULE



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	OC PUBLIC WORKS ACCCOUNTING		08-07-2001	10/19/2010	322B
				APPROVAL	PAGE	
				Board Minute Order	6 of 6	

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
36	Schedule of Expenditure of Federal Awards - schedule of fiscal year's expenditures of federally funded programs	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	Pursuant to Government Code Section 26907.
37	Negotiable Instrument Subsidiary Ledger - listing of negotiable instruments received and held, prepared by OCPW staff	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	Pursuant to Government Code Section 26907.
38	CDEF / PDEF Error Listing - report of invalid job # labor charges	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	
39	Permits Accounting Detail Report - report of project information including deposits made by applicant	Open project + 1 year after close of projects	Retain for 5 years after close of project	Destroy 5 years after close of project providing audits completed	Pursuant to Government Code Section 26907.
40	Permits Activity Report - report of project activity (deposits, staff charges, balance of deposit)	Open project + 1 year after close of projects	Retain for 5 years after close of project	Destroy 5 years after close of project providing audits completed	Pursuant to Government Code Section 26907.
41	Invoices Issued Report - listing of invoices issued then submitted to A-C Accounts Receivable	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	Pursuant to Government Code Section 26907.

RECORDS CONTROL SCHEDULE



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	OC WASTE & RECYCLING ACCOUNTING		08-07-2001	10/19/2010	323B
				APPROVAL	PAGE	
				Board Minute Order	1 of 1	

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
1	Payroll a. Adjustments b. Leave Usage Logs (i.e. Worker's Comp, jury duty, etc.)	Current + 5 years	N/A	Destroy after 5 years	Per OCWR, retain files for 5 years.
2	Accounts Payable - a. Contract folders b. Invoices / Payment documentation c. Vendor correspondence	Current + 1 year from FY of final action or expiration of contract	Retain for 4 years	Destroy after 5 years	Government Code Section 26907. Per OCWR, retain files for 5 years.
3	Correspondence Files	Current + 3 years	Retain for 2 years	Destroy after 5 years	Per OCWR, retain for 5 years.
4	Accounting Reports	Current + 3 years	Retain for 2 years	Destroy after 5 years	Per OCWR, retain for 5 years.
5	Accounts Receivable Monthly Statements (PDF)	Current + 5 years	N/A	Destroy after 5 years	Per OCWR, retain for 5 years.
6	Landfill Tickets	Current + 1 month	Retain for 5 years	Destroy after 5 years	Per OCWR, retain for 5 years.
7	Adjustment Memos	Current + 1 year	Retain for 4 years	Destroy after 5 years	Per OCWR, retain for 5 years.
8	Deposit Orders	Current + 3 months	Retain for 5 years	Destroy after 5 years	Per OCWR, retain for 5 years.
9	Accounts Receivable Other Documents	Current + 3 months	Retain for 5 years	Destroy after 5 years	Per OCWR, retain for 5 years.

RECORDS CONTROL SCHEDULE



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	SOCIAL SERVICES AGENCY ACCOUNTING		08-07-2001	10/19/2010	328B
				APPROVAL	PAGE	
				Board Minute Order	1 of 3	

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
1	Public Assistance Records - Includes all public assistance, social service, and administrative claiming records and their supporting documentation	Retain 3 years from the date the State submits the last expenditure report to the Federal Department of Health & Human Services (HHS)	N/A	Destroy after 3 years unless there is an open Federal or State audit. Retention periods vary among unresolved audits	Pursuant to All-County Letter (ACL) No. 05-15. Refer to Social Services Manual of Policies and Procedures Sections 23-353 thru 23-356 for exceptions to the general rule. Refer to Attachments in the ACL for a listing of the audits.
2	Case record material	Retain for 3 years after the date the last State expenditure report has been made to HHS for the period the records were last used to document eligibility	N/A	Destroy after 3 years from the date it was last used to document eligibility unless there are unresolved audits or court cases	Pursuant to All-County Letter (ACL) No. 05-15. Refer to Social Services Manual of Policies and Procedures Sections 23-353 thru 23-356 for exceptions to the general rule.
3	Case records in which criminal or civil litigation was involved - include records used in the determination of eligibility, including denials, for the amount of retroactive benefits	Retain for 3 years after the final claim is submitted for Federal reimbursement	N/A	Destroy after 3 years from when the final claim is submitted for Federal reimbursement	Refer to Attachment V in ACL 98-38 for a listing of court cases which require an extended retention period.
4	Form ABCD 278L - List of Authorizations to start, change, or stop aid payments	Retain in accordance with the retention period for the case record material. However, retain for 10 years following closure in all cases where notification by the Child Support Agency has been received	N/A	See case record material for disposition. Destroy after 10 years from closure in all cases where notification from Child Support Agency was received	Pursuant to All-County Letter (ACL) No. 98-38. Refer to Social Services Manual of Policies and Procedures Sections 23-353 thru 23-356 for exceptions to the general rule.
5	County Welfare Warrants	Retain for 5 years	N/A	Destroy after 5 years	Pursuant to ACL No. 05-15 page 2 item #5.

RECORDS CONTROL SCHEDULE

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
6	Warrant Registers - Retain for 5 years unless photographic record of the register has been made	Retain for 5 years	N/A	Destroy after 5 years	Pursuant to ACL No. 05-15 page 2 item #5. Supersedes ACL 04-06. AB 3472, Chapter 872, Section 53 amends 15 year retention period.
7	AFDC / CalWORKS case records and supporting documentation - those identified by California Dept of Social Services (CDSS) as federal sample quality control cases containing an error	Retain until the federal sanction process is resolved for applicable federal fiscal year	N/A	Varies depending on program and case	Pursuant to ACL No. 05-15. See Attachment VI for listing. Not required by regulation but desirable.
8	Food Stamp Records - Program includes all program records such as, but not limited to transaction receipts, master issuance files, records for issuance, authorization documents, cashier's daily reports, Notices of Change, Form FNS 250s, Household Issuance Record cards, and tally sheets	Retain for 3 years from the month of origin	N/A	Destroy after 6 years from month of origin unless documents are involved in a fiscal audit or investigation, if so retain 3 years from date audit or investigation is closed	Pursuant to ACL No. 05-15 page 5.
9	Food Stamp Records - includes all fiscal records and accountable documents which are involved in any billing or claim	Retain for 3 years from date of fiscal or administrative closure	N/A	Destroy after 3 years from date of fiscal or administrative closure unless documents are involved in a fiscal audit or investigation, if so retain for 3 years from date audit or investigation is closed	Pursuant to ACL No. 05-15 page 5.

RECORDS CONTROL SCHEDULE



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	SOCIAL SERVICES AGENCY ACCOUNTING		08-07-2001	10/19/2010	328B
				APPROVAL	PAGE	
				Board Minute Order	3 of 3	

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
10	Title IV-D Child Support Records	Close case records be retained for 3 years after the date that the last quarter's State expenditure report is made to the Federal Government for the Federal fiscal year that the records were closed. The normal period of time for that to happen would be a maximum of 4 years and 4 months.	N/A	Destroy after 4 years and 4 months unless they are involved in an open Federal or State audit, pending civil litigation, or a court order requires an extended retention period.	Pursuant to ACL No. 98-38 and Federal regulation 45 CFR 74.53.
<p>**The provisions of this retention schedule are extracted from the All-County Letter No. 98-38, and should be used as a general guideline. Please reference the actual ACL for a more complete understanding of the general guidelines for the records identified and the exceptions to the general rule. Please refer to the Auditor-Controller Retention Schedules for documents not covered by the ACL.</p>					

RECORDS CONTROL SCHEDULE



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	SOCIAL SERVICES AGENCY ACCOUNTING	ACCOUNTS RECEIVABLE - COLLECTIONS	10/19/2010	10/19/2010	360A
				APPROVAL	PAGE	
				Board Minute Order	1 of 1	

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
1	Escheatment Files	Current + 1 year	Retain for 4 years	Destroy after 5 years	Government Code Section 26907.
2	Fund Reconciliations	Current + 1 year	Retain for 4 years	Destroy after 5 years	Government Code Section 26907.
3	Request For Checks	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	Government Code Section 26907.
4	Trust Fund - Request For Checks	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	Government Code Section 26907.
5	Monthly Trust Fund Reconciliations	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	Government Code Section 26907.
6	Journal Voucher Folders (Suspense, Probation, Social Security, Tax Intercept, Overage, Coding Corrections, Year-End)	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	Government Code Section 26907.
7	Deposit Orders	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	Government Code Section 26907.
8	Deposit Order Correction Memorandums	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	Government Code Section 26907.
9	Birth Certificates	Current + 1 year	Retain for 4 years	Destroy after 5 years	
10	Tax Intercept Documents	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete	IRS Publication 1075 Guidelines.

RECORDS CONTROL SCHEDULE

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
1	Payroll Documents (VTI reports, Workers' Comp approval forms)	Current - 1 year	N/A	Destroy after 5 years	
2	Mileage and Other Expense Claims Forms	Current- 1 year	N/A	Destroy after 1 year. (These records are copies. Originals are with Central Payroll).	Originals submitted to Central Payroll.
3	Petty Cash Records (Voucher copies)	Current + 3 years	N/A	Destroy after 3 years	
4	A/P records (ESH, SED, R&R, Medical R & R, HCA Board & Care/P&I invoices, Demands)	Current +10 years	N/A	Destroy after 10 years	Government Code Section 26907
5	Revolving Checking Account (Bank Statements/ Cashed checks)	Current +10 years	N/A	Destroy after 10 years	Government Code Section 26907
6	A/R records (General Relief " Interim Assistance Assistance Program) + HCA Mental Health Board & Care	Current + past records.	N/A	Not destroyed	No Statute of Limitations for General Relief
7	Reports- SSA Internal (ESH, OCH, HCA - Mental Health Board & Care)	Current + 15 years	N/A	Destroy after 15 years	
8	Bus Pass Logs (copies)	Current + 2 years	N/A	Destroy after 2 years	
9	Deposit Orders (SSA Internal copies)	Current + 5 years	N/A	Destroy after 5 years	Government Code Section 26907
10	Receipt Books	Current + 5 years	N/A	Destroy after 5 years	County Accounting Procedure C-5 - Section 2.7

RECORDS CONTROL SCHEDULE



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	SOCIAL SERVICES AGENCY ACCOUNTING	GENERAL ACCOUNTING	10/19/2010	10/19/2010	361A
				APPROVAL	PAGE	
				Board Minute Order	2 of 2	

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
11	Trust Fund- Request for Checks	Current + 5 years	N/A	Destroy after 5 years	Government Code Section 26907

RECORDS CONTROL SCHEDULE



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	SOCIAL SERVICES AGENCY ACCOUNTING	CHILD SUPPORT UNIT	10/19/2010	10/19/2010	362A
				APPROVAL	PAGE	
				Board Minute Order	1 of 1	

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
1	Escheatment and Credit Balance	Until resolved + 3 years	N/A	Destroy after 3 years from resolve date (3 years after final disposition	
2	<u>CHECK WRITING</u> Trust Check Copies and Orders to Draw Trust Checks	Kept only until scanned within 5 days	Retain for 5 years	Destroy after 5 years as needed	Government Code Section 26907.
3	Accounting Reports and Records - a. Funds Transferred Report b. Trust Fund Reconciliation	Current + 7 years	Retain for 3 years	Destroy after 10 years	Government Code Section 26907.

RECORDS CONTROL SCHEDULE



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	HEALTH CARE AGENCY ACCOUNTING	All Units	08-07-2001	10/19/2010	347A
				APPROVAL	PAGE	
				Board Minute Order	1 of 6	

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
1	Realignment Files & Reports	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	
2	Audit Files	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	
3	Claims / Grants Invoices & Reports Including Cost Applies	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Government Code Section 26907.
4	Cost Reports	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Government Code Section 26907. Standard Agreement for Negotiated Net Amount / Drug Medi-Cal Contracts (ADAS Cost Report) Annual DMH Cost Report Policy Letter (Mental Health Cost Report)
5	Annual Behavioral Health Cost Analysis Report	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	
6	Escheatment Files	Current + 1 year	Retain for 4 years	Destroy after 5 years	Government Code Section 26907.
7	Fund Reconciliations & Subsidiary Ledgers	Current + 1 year	Retain for 4 years	Destroy after 5 years	Government Code Section 26907.
8	SB90 Claims	Current + 1 year	Retain for 4 years	Destroy after 5 years providing audits are complete.	Parameters and Guidelines issued by the State Controller's
9	Year-end Journal Voucher Folders - all units	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Confidential - Government Code Section 26907.

RECORDS CONTROL SCHEDULE

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
10	MAA / TCM Participation Files a. MAA / Claiming Plans & Files b. MAA & TCM Contracts c. TCM Participation Surveys	Current + 1 year	Retain for 5 years	Destroy after 6 years, providing audits are complete	Internal Policy based on PPL 09-007 issued 04/10/09
11	MAA / TCM Billing / Reimbursement documents a. MAA/TCM Invoices b. MAAA/TCM Match Analysis c. TCM Cost report (sets billing rate)	Current + 1 year	Retain for 5 years	Destroy after 6 years, providing audits are complete	Internal Policy based on PPL 09-007 issued 04/10/09
12	TCM Encounter Log	Current + 1 year	Retain for 5 years	Destroy after 6 years, providing audits are complete	Internal Policy based on PPL 09-007 issued 04/10/09
13	MAA & TCM Time Studies	Current + 1 year	Retain for 5 years	Destroy after 6 years, providing audits are complete	Internal Policy based on PPL 09-007 issued 04/10/09
14	Trust Fund - Requests for Checks	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Government Code Section 26907.
15	Client Refunds - Environmental Health	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Government Code Section 26907.
16	Contracts	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Government Code Section 26907.
17	Contracts - Ambulance	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Government Code Section 26907.
18	Price Agreements and Invoice Copies	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Government Code Section 26907.



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	HEALTH CARE AGENCY ACCOUNTING	All Units	08-07-2001	10/19/2010	347A
				APPROVAL	PAGE	
				Board Minute Order	2 of 6	

RECORDS CONTROL SCHEDULE



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	HEALTH CARE AGENCY ACCOUNTING	All Units	08-07-2001	10/19/2010	347A
				APPROVAL	PAGE	
				Board Minute Order	3 of 6	

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
19	Requests for Checks	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Government Code Section 26907.
20	Monthly Trust Fund Reconciliations - Environmental	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Government Code Section 26907.
21	Time Sheets and Other Payroll Documents	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	
22	Separated Employee Files	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	
23	Mileage and Other Expense Claims Forms	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Confidential - Government Code Section 26907.
24	Job Number Updates	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	
25	Job Cost Correction Reports	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Government Code Section 26907.
26	Vendor Updates	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Government Code Section 26907.
27	Deposit Orders	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Government Code Section 26907.

RECORDS CONTROL SCHEDULE



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	HEALTH CARE AGENCY ACCOUNTING	All Units	08-07-2001	10/19/2010	347A
				APPROVAL	PAGE	
				Board Minute Order	4 of 6	

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
28	Cash Receipt Books & Log	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Government Code Section 26907.
29	Returned Cash Receipt Books	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Government Code Section 26907.
30	Receipts and Deposits Files - for all fees collected - EH Accounting	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Government Code Section 26907.
31	Invoice Copies and Billing Files	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Government Code Section 26907.
32	Behavioral Health Client Financial Files	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Confidential
33	Client Visit Records (CVR's), Patient Treatment Records (PTR's), PM 160's, HCFA 150, UB92	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Confidential
34	IMD Billings & Payments Records	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Confidential - Government Code Section 26907.
35	Relief of Accountability (ROA) Statistics / Bankruptcy Dismissals	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Confidential - Government Code Section 26907.
36	ROA Collections/Write-Offs	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Confidential - Government Code Section 26907.
37	Public Health: FPACT, CHDP, ACC, TB DOTS, Lab Billings; Institutional Health Billings	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Confidential - Government Code Section 26907.

RECORDS CONTROL SCHEDULE



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	HEALTH CARE AGENCY ACCOUNTING	All Units	08-07-2001	10/19/2010	347A
				APPROVAL	PAGE	
				Board Minute Order	5 of 6	

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
38	SD / MC Weekly Invoices	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Confidential - Government Code Section 26907.
39	Medi-Cal Financial Reports - electronic copies only	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Confidential - Government Code Section 26907.
40	Medi-Cal Billing Documents	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Confidential - Government Code Section 26907.
41	Medi-Cal Remittance Information - electronic copies only	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Confidential - Government Code Section 26907.
42	Medicare Financial Report	Current + 1 year	Retain for 6 years	Destroy after 7 years, providing audits are complete	Confidential - Medicare claims audit guidelines.
43	Medicare Billing Documents	Current + 1 year	Retain for 6 years	Destroy after 7 years, providing audits are complete	Confidential - Medicare claims audit guidelines.
44	Medicare Remittance Information	Current + 1 year	Retain for 6 years	Destroy after 7 years, providing audits are complete	Confidential - Medicare claims audit guidelines.
45	Third Party Financial Reports - electronic copies only	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Confidential - Government Code Section 26907.
46	Third Party Billing Documents & Self-Pay	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Confidential - Government Code Section 26907.
47	Third Party Remittance Information	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Confidential - Government Code Section 26907.

RECORDS CONTROL SCHEDULE



DEPARTMENT	DIVISION	SECTION	UNIT	EFFECTIVE DATE	REVISION DATE	SCHEDULE NO.
AUDITOR-CONTROLLER	SATELLITE ACCOUNTING OPERATIONS	HEALTH CARE AGENCY ACCOUNTING	All Units	08-07-2001	10/19/2010	347A
				APPROVAL	PAGE	
				Board Minute Order	6 of 6	

ITEM No.	TITLE AND DESCRIPTION OF RECORDS	RETENTION			REMARKS
		OFFICE	RECORDS CENTER	DISPOSITION	
48	Monthly Revenue Reports - MBU - electronic copies only	Current + 1 year	Retain for 4 years	Destroy after 5 years, providing audits are complete	Government Code Section 26907.
49	IRIS Project Documents	Current + 1 year	Indefinitely	Retain until all phases of project are complete.	Government Code Section 26907.