



**CITY OF SANTA FE**

**"REQUEST FOR PROPOSALS"**

**UTILITY CUSTOMER INFORMATION AND  
BILLING SYSTEM SOLUTION  
IMPLEMENTATION PROJECT  
MANAGEMENT AND CONSULTING  
SERVICES**

**RFP #'17/06/P**

**PROPOSAL DUE:**

**August 23, 2016**

**2:00 P.M.**

**PURCHASING OFFICE**

**CITY OF SANTA FE**

**2651 SIRINGO ROAD**

**BUILDING "H" Santa Fe,**

**NEW MEXICO 87505**

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**REQUEST FOR PROPOSALS**

**PROPOSAL NUMBER '17/06/P**

Proposals will be received by the City of Santa Fe and shall be delivered to the City of Santa Fe Purchasing Office, 2651 Siringo Road Building "H" Santa Fe, New Mexico 87505 **until 2:00 P.M. local prevailing time, August 23, 2016**. Any proposal received after this deadline will not be considered. This proposal is for the purpose of procuring professional services for the following:

**PROJECT MANAGEMENT FOR UTILITY CUSTOMER INFORMATION AND  
BILLING SYSTEM SOLUTION IMPLEMENTATION**

The proponent's attention is directed to the fact that all applicable Federal Laws, State Laws, Municipal Ordinances, and the rules and regulations of all authorities having jurisdiction over said item shall apply to the proposal throughout, and they will be deemed to be included in the proposal document the same as though herein written out in full.

The City of Santa Fe is an Equal Opportunity Employer and all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, sexual orientation or national origin. The successful proponent will be required to conform to the Equal Opportunity Employment regulations.

Proposals may be held for sixty (60) days subject to action by the City. The City reserves the right to reject any of all proposals in part or in whole. Proposal packets are available by contacting: Shirley Rodriguez, City of Santa Fe, Purchasing Office, 2651 Siringo Road, Building "H" Santa Fe, New Mexico, 87505, (505) 955-5711.



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Robert Rodarte, Purchasing Officer

Received by the Santa Fe New Mexican Newspaper on: 07/21/16

To be published on: 07/26/16

Received by the Albuquerque Journal Newspaper on: 07/21/16

To be published on: 07/26/16

## PROPOSAL SCHEDULE

### RFP # '17/06/P

1. Advertisement July 26, 2016
2. Issuance of RFP: July 26, 2016
3. Receipt of proposals: August 23, 2016 at 2:00 p.m. MST  
Purchasing Office 2651  
Siringo Road Bldg., "H"  
Santa Fe, New Mexico  
87505 (505) 955-5711
4. Evaluation of proposals: September 6, 2016
5. Interviews: September 13, 2016
6. Recommendation of award to Finance Committee: October 4, 2016
7. Recommendation of award to City Council: October 13, 2016

**DATES OF CONSIDERATION BY FINANCE COMMITTEE AND CITY COUNCIL ARE TENTATIVE AND SUBJECT TO CHANGE WITHOUT NOTICE.**

## **INFORMATION FOR PROPONENTS**

### **1. RECEIPT OF PROPOSALS**

The City of Santa Fe (herein called "City"), invites firms to submit five copies of the proposal. Proposals will be received by the Purchasing Office, until 2:00 p.m. local prevailing time, August 23, 2016.

The packets shall be submitted and addressed to the Purchasing Office, at 2651 Siringo Road Bldg. "H" Santa Fe, New Mexico 87505. No late proposals will be accepted whether hand delivered, mailed or special delivery. Do not rely on "overnight delivery" without including some lead-time. "Overnight delivery" will be determined to be non-responsive if delivered late, no matter whose fault it was. It is recommended that extra days be included in the anticipated delivery date to ensure delivery is timely. The Purchasing Office is closed 12:00 p.m. to 1:00 p.m. The outside of the envelope should clearly indicate the following information:

Proposal number: 17/06/P

Title of the proposal: Utility Customer Information and Billing System Solution Implementation Project Management and Consulting Services

Name and address of the proponent:

Any proposal received after the time and date specified shall not be considered. No proposing firm may withdraw a proposal within 60 days after the actual date of the opening thereof.

### **2. PREPARATION OF PROPOSAL**

Offerors shall comply with all instructions and provide all the information requested. Failure to do so may disqualify your proposal. All information shall be given in ink or typewritten. Any corrections shall be initialed in ink by the person signing the proposal.

This request for proposal may be canceled or any and all proposals may be rejected in whole or in part, whenever the City of Santa Fe determines it is in the best interest of the city.

### **3. ADDENDA AND INTERPRETATIONS**

No oral interpretation of the meaning of any section of the proposal documents will be binding. Oral communications are permitted in order to make an assessment of the need for an addendum. Any questions concerning the proposal must be addressed prior to the date set for receipt of proposal.

Every request for such interpretation should be in writing addressed to, Purchasing Officer, 2651 Siringo Road Bldg. "H" Santa Fe, New Mexico, 87505 and to be given consideration must be received at least (5) days prior to the date set for the receiving of proposals.

Any and all such interpretations and any supplemental instruction will be in the form of written addenda to the RFP, which if issued, will be delivered to all prospective firms not later than three days prior to the date fixed for the receipt of the proposals. Failure of any proposing firm to receive any such addenda or interpretations shall not relieve such firm from any obligation under their proposal as submitted. All addenda so issued shall become part of the contract documents.

The City reserves the right to not comply with these time frames if a critical addendum is required or if the proposal deadline needs to be extended due to a critical reason in the best interest of the City of Santa Fe.

**4. LAWS AND REGULATIONS**

The proposing firm's attention is directed to the fact that all applicable Federal Laws, State Laws, Municipal Ordinances, and the rules and regulations of all authorities having jurisdiction over said item shall apply to the contract throughout. They will be deemed to be included in the contract the same as though herein written out in full.

**5. METHOD OF AWARD**

The proposal is to be awarded based on qualified proposals as per the enclosed rating system and at the discretion and consideration of the governing body of the City of Santa Fe. The selection committee may interview the top three rated proponents; however, contracts may be awarded without such interviews. At its discretion the city reserves the right to alter the membership or size of the selection committee. The City reserves the right to change the number of firms interviewed.

**6. COMPLIANCE WITH CITY'S MINIMUM WAGE RATE ORDINANCE (LIVING WAGE ORDINANCE)**

A copy of the City of Santa Fe Ordinance No. 2003-8, passed by the Santa Fe City Council on February 26, 2003 is attached. The proponent or bidder will be required to submit the proposal or bid such that it complies with the ordinance to the extent applicable. The recommended Contractor will be required to comply with the ordinance to the extent applicable, as well as any subsequent changes to the Ordinance throughout the term of this contract.

**7. RESIDENT, LOCAL OR VETERANS PREFERENCE**

**INTENT AND POLICY**

The city recognizes that the intent of the state resident preference statute is to give New Mexico businesses and contractors an advantage over those businesses,

policy is to give a preference to those persons and companies who contribute to the economy of the State of New Mexico by maintaining businesses and other facilities within the state and giving employment to residents of the state (1969 OP. Att'y Gen. No. 69-42). The city also has adopted a policy to include a local preference to those persons and companies who contribute to the economy of the County of Santa Fe by maintaining businesses and other facilities within the county and giving employment to residents of the county.

With acknowledgment of this intent and policy, the preference will only be applied when bids are received from in-state and county businesses, manufacturers and contractors that are within 5% of low bids received from out-of-state businesses, manufacturers and contractors (13-1-21 (A) -1-21 (F) and 13-4-2 (C) NMSA 1978).

To be considered a resident for application of the preference, the in-state bidder must have included a valid state purchasing certification number with the submitted bid.

Thus it is recommended that in-state bidders obtain a state purchasing certification number and use it on all bids, in order to have the preference applied to their advantage, in the event an out-of-state bid is submitted. In submitting a bid, it should never be assumed that an out-of-state bid will not be submitted.

For information on obtaining a state purchasing certification number, the potential bidder should contact the State of New Mexico Taxation and Revenue Department.

All resident preferences shall be verified through the State Purchasing Office. Applications for resident preference not confirmed by the state Purchasing Office will be rejected. The certification must be under the bidder's business name submitting the bid.

#### NON-APPLICATION-COMPETING IN-STATE BIDDERS

If the lowest responsive bid and the next responsive bids within 5% of the lowest bid, are all from the state of New Mexico, then the resident preference will not be applied and the state purchasing certification number will not be considered. To be considered an in-state bidder in this situation, the bidders must meet the definition criteria of Chapter 13-1-21 (A)(1) and Chapter 13-4-2 (A) NMSA 1978. After examining the information included in the bid submitted, the city Purchasing Director may seek additional information of proof to verify that the business is a valid New Mexico business. If it is determined by the city Purchasing Director that the information is not factual and the low responsive bid is actually an out-of-state bidder and not a New Mexico business, then the procedures in the previous section may be applied.

If the bidder has met the above criteria, the low responsive "resident" bid shall be multiplied by .95. If that amount is then lower than the low responsive bid of a "non-resident" bidder, the award will be based taking into consideration the resident preference of 5%.

#### APPLICATION FOR LOCAL PREFERENCE

For the purposes of this section, the terms resident business and resident manufacturer shall be defined as set out in Section 13-1-21 NMSA 1978; the term local as applied to a business or manufacturer shall mean:

Principal Office and location must be stated: To qualify for the local preference, the principal place of business of the enterprise must be physically located within the Santa Fe County Geographic Boundaries. The business location inserted on the Form must be a physical location, street address or such. DO NOT use a post office box or other postal address. Principal place of business must have been established no less than six months preceding application for certification.

The PREFERENCE FACTOR for resident and local preferences applied to bids shall be .95 for resident and .90 for local. The preference for proposals shall be 1.10 for local.

New Mexico Resident Veteran Business Preference: New Mexico law, Section 13-1-22 NMSA 1978, provides a preference in the award of a public works contract for a "resident veteran business". Certification by the NM Department of Taxation and Revenue for the resident veteran business requires the Offeror to provide evidence of annual revenue and other evidence of

veteran status.

An Offeror who wants the veteran business preference to be applied to its proposal is required to submit with its proposal the certification from the NM Department of Taxation and Revenue..

If an Offeror submits with its proposal a copy of a valid and current veteran resident business certificate, 7%, 8%, or 10% of the total weight of all the evaluation factors used in the evaluation of proposal may be awarded.

The local preference or resident business preference is not cumulative with the resident veteran business preference.

Proposals for Goods and Services. When proposals for the purchase of goods or services pursuant to Section 23 are received, the evaluation score of the proposal receiving the highest score of all proposals from those proponents in the first category listed above shall be multiplied by the Preference Factor. If the resulting score of that proposal receiving the preference is higher than or equal to the highest score of all proposals received, the contract shall be recommended to that proponent receiving the preference. If no proposal are received from proponents in

the first category, or if the proposal receiving the preference does not qualify for an award after multiplication by the Preference Factor, the same procedure shall be followed with respect to the next category of proposals listed to determine if a proponent qualifies for award.

Qualifications for Local Preference. The Central Purchasing Office shall have available a form to be completed by all bidders/proponents who desire to apply for the local preference as a local business. The completed form with the information certified by the offeror must be submitted by the bidders/proponents with their bid or proposal to qualify for this preference.

Limitation. No offeror shall receive more than a 10% for local preference pursuant to this section on any one offer submitted. A bidder may not claim cumulative preferences.

Application. This section shall not apply to any purchase of goods or services when the expenditure of federal and/or state funds designated for a specific purchase is involved and the award requirements of the funding prohibit resident and/or local preference(s). This shall be determined in writing by the department with the grant requirements attached to the Purchasing Office before the bid or request for proposals is issued.

Exception. The City Council at their discretion can approve waiving the Local Preference requirements for specific projects or on a case by case basis if it is the City's best interest to do so.

## **8. PROTESTS AND RESOLUTIONS PROCEDURES**

Any proponent, offeror, or contractor who is aggrieved in connection with a procurement may protest to the Purchasing Officer. The protest must be in writing and submitted within fifteen (15) days and requirements regarding protest and resolution of protests are available from the Purchasing Office upon request.

## **SPECIAL CONDITIONS**

1. **GENERAL**

When the City's Purchasing Officer issues a purchase order document in response to the Offeror's bid, a binding contract is created.

2. **ASSIGNMENT**

Neither the order, nor any interest therein, nor claim under, shall be assigned or transferred by the Offeror, except as expressly authorized in writing by the City Purchasing Officer's Office. No such consent shall relieve the Offeror from its obligations and liabilities under this order.

3. **VARIATION IN SCOPE OF WORK**

No increase in the scope of work of services or equipment after award will be accepted, unless means were provided for within the contract documents. Decreases in the scope of work of services or equipment can be made upon request by the city or if such variation has been caused by documented conditions beyond the Offeror's control, and then only to the extent, as specified elsewhere in the contract documents.

4. **DISCOUNTS**

Any applicable discounts should be included in computing the bid submitted. Every effort will be made to process payments within 30 days of satisfactory receipt of goods or services. The City Purchasing Officer shall be the final determination of satisfactory receipt of goods or services.

5. **TAXES**

The price shall include all taxes applicable. The city is exempt from gross receipts tax on tangible personal property. A tax exempt certificate will be issued upon written request.

6. **INVOICING**

(A) The Offeror's invoice shall be submitted in duplicate and shall contain the following information: invoice number and date, description of the supplies or services, quantities, unit prices and extended totals. Separate invoices shall be submitted for each and every complete order.

(B) Invoice must be submitted to ACCOUNTS PAYABLE and NOT THE CITY PURCHASING AGENT.

7. **METHOD OF PAYMENT**

Every effort will be made to process payments within 30 days of receipt of a detailed invoice and proof of delivery and acceptance of the products hereby contracted or as otherwise specified in the compensation portion of the contract documents.

8. **DEFAULT**

The City reserves the right to cancel all or any part of this order without cost to the City if the Offeror fails to meet the provisions for this order, and except as otherwise provided herein, to hold the Offeror liable for any excess cost occasioned by the city due to the Offeror's default. The Offeror shall not be liable for any excess cost if failure to perform the order arises out of causes beyond the control and with the fault or negligence of the Offeror and these causes have been made known to the City of Santa Fe in written form within five working days of the Offeror becoming aware of a cause which may create any delay; such causes include, but are not limited to, acts of God or the public enemy, acts of the State or of the Federal Government, fires, floods, epidemics, quarantine restrictions, strikes, freight embargoes, unusually severe weather and defaults of sub-contractors due to any of the above unless the city shall determine that the suppliers or services to be furnished by the sub-contractor are obtainable from other sources in sufficient time to permit the Offeror to meet the required delivery schedule. The rights and remedies of the city are not limited to those provided for in this paragraph and are in addition to any other rights provided for by law.

9. **NON-DISCRIMINATION**

By signing this City of Santa Fe bid or proposal, the Offeror agrees to comply with the Presidents Executive Order No. 11246 as amended.

10. **NON-COLLUSION**

In signing this bid or proposal, the Offeror certifies they have not, either directly or indirectly, entered into action in restraint of full competition in connection with this bid or proposal submittal to the City of Santa Fe.

## SCOPE OF WORK

### I. SUMMARY

#### **Background**

The City's current Utility Billing and Customer System is Denovo JDEdwards Utility Customer Information System (UCIS) Version 7.3. The database for UCIS is DB2 and currently runs on I-Series/AS400 platform operating system V7.1. UCIS is a stable application used for billing refuse, sewer and water for over 35,000 utility customers. The City of Santa Fe recently replaced over 32,000 residential meters with Badger Beacon new automated meter reading cellular technology. The City issued an RFP for a new Water Utility software solution in 2014 to improve the level of business process and service automation and achieve operational efficiencies.

The new software being implemented by the City is Advanced Utility System's (AUS) CIS Infinity Version 3.0. There have been several delays that have prevented the system from going live. The City entered into a contract with AUS to implement Infinity CIS in 2014. The City and AUS initially targeted early 2015 for system Go-Live. By December 2014, project participants (AUS and City) determined that a January or February 2015 Go-Live was not feasible. The Go-Live date was postponed to August 2015 and was subsequently postponed to October 2015. All project activities ceased in October 2015. Prior to the work stoppage, AUS had requested a Change Order to add additional project hours, which was being reviewed by the City.

In April 2016, as a result of the project delays and remaining implementation activities, the City retained Berry, Dunn, McNeil, and Parker, LLC (BerryDunn) to conduct a point-in-time assessment of the project undertaken by the City and AUC to implement Infinity CIS. The Assessment is included as reference in Appendix A. The Assessment identifies the delivery and acceptance of the following plans and implementation activities as needed to ensure a successful system implementation: Implementation Plan, Project Work Plan, System Integration Plan, Communication Plan, Data Interface Plan, Testing Plan and Test cases, Training Plan, Data Conversion Plan, Risk Management Plan, and Go-Live Plan.

The functions that will be included in the new Utility Software Solution include, but are not limited to:

- Refuse and Recycle Billing for Commercial and Residential Accounts
- Waste Water Billing for Commercial and Residential Accounts including COD (Consumption on Demand)
- Water Billing for Commercial and Residential Accounts
- Point of Sale Cashiering System that interfaces with Utility Billing Software
- Infinity Link Customer web portal
- Infinity Mobile for service orders
- Automated Interface with new Beacon Automated Meter Reading Software
- Automated Interface with Wells Fargo for Payment Processing
- Automated Interface with Oracle Enterprise One Financials

#### **Statement of Work**

The City is seeking the professional services of a Utility Software Solution Implementation Project Management and Consulting firm for the following:

- Develop Project Management Plan
- Develop Project Work Plan
- Update Project Work Plan on a Bi-Weekly Basis
- Conduct Weekly Project Team Meetings
- Prepare Weekly Project Team Meeting Minutes
- Review Implementation Deliverables
- Manage Deliverable Review and Approval Process
- Manage Invoice Review and Approval Process
- Prepare Monthly Project Status Reports
- Prepare Project Steering Committee Materials
- Prepare Project Steering Committee Meeting Minutes
- Conduct On-Site Project Management Activities as Needed
- Develop Go-Live Readiness Assessments
- Develop a Communications Plan
- Prepare and Maintain a Risk Management Plan
- Prepare and Maintain a Change Management Plan
- Prepare and Maintain an Issues Log for Timely Completion By Vendor and Core Project Team
- Lead the team in development
- Lead the team in the Development of "Testing Materials" i.e. Test Plan, Functional Test Scripts, UAT Test Scripts. Integration End to End Test Scripts.
- Lead the team in the Development of new CIS Workflow Diagrams for all Functional Areas" i.e. Re-engineering of New Business Processes
- Lead the team in the Development of Solution for Unapplied Cash
- Lead the team in the Development of Standard Report
- Lead the team in the Development of Forms
- Lead the team in the Development of Users Manuals
- Lead the team in the Development of User Security Matrix for testing and Go- Live Operations
- Lead Core Project Team in Developing Business Processes
- Prepare and Execute a Training Plan in Collaboration with Vendor and City
- Develop and Execute a Test Plan (system, parallel, stress, user acceptance test) in Collaboration with Vendor and City
- Manage the System Implementation to Meet Schedule and Budget Targets
- Other services required to ensure that the recommendations in the City of Santa Fe Utility Billing Assessment Report are successfully completed. See attached report as Appendix A.

## **RFP RESPONSE FORMAT**

### **a. Organizational and Personnel Qualifications**

The Offeror shall provide an overview of their company, emphasizing lines of business, size, business results (key performance indicators), professional qualifications, organizational strengths and opportunities for improvement, customer satisfaction results. Provide an organization chart with #of employees specified for each area; provide profiles of the owners and executives and key personnel anticipated to perform work on the project. Additionally, include the length of time in operation under the current business structure. The organization shall provide the qualifications of personnel with utility industry expertise.

The Offeror shall provide resumes for the specific personnel who are anticipated to work with the City of Santa Fe on the project.

The Offeror shall provide a back-up staffing plan in the event of turnover during the project, to ensure that there will be no absence of required expertise and experience throughout the project.

### **b. Project Experience & Qualifications**

The Offeror shall describe their experience in serving as a Utility Software Solution selection and acquisition expert, leader and consultant for Utility Software solution specifications, evaluations, selections and implementations.

The Offeror shall provide detailed information on at least three (3) recent, within the past three (3) years, customer engagements that reflect experience with projects of a similar type and scope. Additionally, provide customer references for these three (3) engagements, including the name of the organization; contact name, title and project role, phone number and email address. Ensure that engagements provided are for work performed by members of the project team being proposed.

### **c. Project Approach**

The Offeror shall describe their understanding of the project scope, the proposed approach to performing the services (refer to Summary section - professional services and deliverables for the list of services), and submit a proposed schedule, including project milestones and deliverables that cover the scope of work requested.

The Offeror shall provide samples of major deliverables, including but not limited to:

- Project Management Plan
- Project Work Plan
- Risk Management Plan
- Change Management Plan
- Communications Plan
- Weekly Project Team Meeting Agendas and Minutes
- Software Implementation Deliverable Review Documents
- Invoice Review Documents
- Risk Register
- Issue Log

- Test Scripts
- Training Plan
- Test Plan
- Business Process Specifications
- Monthly Project Status Report
- Project Steering Committee Materials
- Go-Live Readiness Assessments
- Monthly Project Status Report
- Project Steering Committee Materials
- Go-Live Readiness Assessments

**d. Cost Proposal**

Provide a grand total, not to exceed, cost for the rendering of all services, including any additional expenses (e.g. travel, per diem, etc.) that will be charged to the City of Santa Fe. Please use the table in Exhibit D to submit the cost proposal.

**SELECTION CRITERIA**

Proposals will be evaluated based on the selection factors listed below; the relative weight that each factor will receive in the evaluation is shown below.

**Selection Factors:**

**1. Organizational and Personnel Qualifications (20 points)**

Evaluation criteria will include 1) relevant organization and personnel experience and knowledge including industry expertise , 2) business, organizational and technical skills; and 3) quality of staffing plan.

**2. Project Experience & Qualifications (30 points)**

Evaluation criteria will include 1) the number and types of similar Utility Software projects the Offeror or its employees have completed successfully; 2) the general level of experience in the areas of project leadership, execution and monitoring; 3) the organization’s ability to satisfy project objectives; and 4) the level of satisfaction expressed by the customer references provided.

**3. Project Approach (30 points)**

Evaluation criteria will include 1) the detail and clarity of the proposed approach to successfully execute the project; 2) the inclusion of any unique approaches designed to save time and money or increase the benefits or effectiveness of the proposed work; and 3) the quality, clarity and completeness of the sample deliverables.

**4. Cost of Proposal (20 points)**

The cost criterion is rated by giving the proposal with the lowest total cost the maximum number of Cost points available. The remaining proposals are rated by applying the following formula:

$$1- \frac{(B-A)}{C} \times D = E$$

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A

- A—the lowest Offeror’s cost.
- B—the Offeror’s cost being scored.
- C—the maximum number of cost points available.
- D—Offeror’s cost score (points).

Note: If the formula results in a negative number (which will occur when the Offeror’s cost is more than twice the lowest cost), zero points shall be assigned.

Evaluation committee members:

- ITT Designee
- Purchasing Office, Designee
- Utility Billing, Designee

At its discretion, the City reserves the right to alter the membership and size of the committee.

Scores of the evaluation committee members will be totaled to determine the top rated firms.

If interviews are conducted for the top three rated firms, those scores totaled from the evaluation committee members from the interview evaluations will determine the final top rated firm, unless other tangible extenuating circumstances are documented.

Unless noted elsewhere in this RFP, the same evaluation form will be used to separate the interview scores.

**5. Evidence of Liability Insurance Coverage. (Mandatory)**

## INSTRUCTIONS RELATING TO LOCAL PREFERENCE CERTIFICATION FORM

1. **All information must be provided.** A 10% local preference may be available for this procurement. To qualify for this preference, an offeror **must** complete and submit **the local preference certification form with its offer**. If an offer is received without the form attached, completed, notarized, and signed or if the form is received without the required information, the preference will not be applied. **The local preference form or a corrected form will not be accepted after the deadline for receipt of bids or proposals.**
2. **Local Preference precedence over State Preference:** The Local Preference takes precedence over the State Resident Preference and only one such preference will be applied to any one bid or proposal. If it is determined that the local preference applies to one or more offerors in any solicitation, the State Resident Preference will not be applied to any offers.
3. **Principal Office and location must be stated:** To qualify for the local preference, the principal place of business of the enterprise must be physically located within the Santa Fe County Geographic Boundaries. The business location inserted on the Form must be a physical location, street address or such. **DO NOT** use a post office box or other postal address. Principal place of business must have been established no less than six months preceding application for certification.
4. **Subcontractors do not qualify:** Only the business, or if joint venture, one of the parties of the joint venture, which will actually be performing the services or providing the goods solicited by this request and will be responsible under any resulting contract will qualify for this preference. A subcontractor may not qualify on behalf of a prime contractor.
5. **Definition:** The following definition applies to this preference.

A local business is an entity with its Principal office and place of business located in Santa Fe County.

A Principal office is defined as: The main or home office of the business as identified in tax returns, business licenses and other official business documents. A Principal office is the primary location where the business conducts its daily operations, for the general public, if applicable. A temporary location or movable property, or one that is established to oversee a City of Santa Fe project does not qualify as a Principal office.

**Additional Documentation:** If requested a business will be required to provide, within 3 working days of the request, documentation to substantiate the information provided on the form. Any business which must be registered under state law must be able to show that it is a business entity in good standing if so requested.

# LOCAL PREFERENCE CERTIFICATION FORM

RFP/RFB NO: \_\_\_\_\_

Business Name: \_\_\_\_\_

Principal Office: \_\_\_\_\_  
Street Address City State Zip Code

City of Santa Fe Business License # \_\_\_\_\_ (Attach Copy to this Form)

Date Principal Office was established: \_\_\_\_\_ (Established date must be six months before date of Publication of this RFP or RFB).

## CERTIFICATION

I hereby certify that the business set out above is the principal Offeror submitting this offer or is one of the principal Offerors jointly submitting this offer (e.g. as a partnership, joint venture). I hereby certify that the information which I have provided on this Form is true and correct, that I am authorized to sign on behalf of the business set out above and, if requested by the City of Santa Fe, will provide within 3 working days of receipt of notice, the necessary documents to substantiate the information provided on this Form.

Signature of Authorized Individual: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Title: \_\_\_\_\_ Date: \_\_\_\_\_

Subscribed and sworn before me by \_\_\_\_\_ this \_\_\_\_\_, day of \_\_\_\_\_

My commission expires \_\_\_\_\_

Notary Public

SEAL

**YOU MUST RETURN THIS FORM WITH YOU OFFER**

**RESIDENT VETERANS PREFERENCE CERTIFICATION**

\_\_\_\_\_ (NAME OF CONTRACTOR) hereby certifies the following in regard to application of the resident veterans' preference to this procurement.

**Please check one box only:**

I declare under penalty of perjury that my business prior year revenue starting January 1 ending December 31 is less than \$1M allowing me the 10% preference discount on this solicitation. I understand that knowingly giving false or misleading information about this fact constitutes a crime.

I declare under penalty of perjury that my business prior year revenue starting January 1 ending December 31 is more than \$1M but less than \$5M allowing me the 8% preference discount on this solicitation. I understand that knowingly giving false or misleading information about this fact constitutes a crime.

I declare under penalty of perjury that my business prior year revenue starting January 1 ending December 31 is more than \$5M allowing me the 7% preference discount on this solicitation. I understand that knowingly giving false or misleading information about this fact constitutes a crime.

I agree to submit a report or reports to the State Purchasing Division of the General Services Department declaring under penalty of perjury that during the last calendar year starting January 1 and ending on December 31, the following to be true and accurate:

In conjunction with this procurement and the requirements of this business application for a Resident Veteran Business Preference/Resident Veteran Contractor Preference under Sections 13-1-21 or 13-1-22 NMSA 1978, which awarded a contract which was on the basis of having such veterans preference, I agree to report to the State Purchasing Division of the General Services Department the awarded amount involved. I will indicate in the report the award amount as a purchase from a public body or as a public works contract from a public body as the case may be.

I understand that knowingly giving false or misleading information on this report constitutes a crime.

I declare under penalty of perjury that this statement is true to the best of my knowledge. I understand that giving false or misleading statements about material fact regarding this matter constitutes a crime.

\_\_\_\_\_  
(Signature of Business Representative)\*

\_\_\_\_\_  
(Date)

\*Must be an authorized signatory of the Business.

The representation made by checking the above boxes constitutes a material representation by the business. If the statements are proven to be incorrect, this may result in denial of an award or un-award of the procurement.

SIGNED AND SEALED THIS \_\_\_\_\_ DAY OF \_\_\_\_\_, 2012.

\_\_\_\_\_  
NOTARY PUBLIC

My Commission Expires:

\_\_\_\_\_



# City of Santa Fe Living Wage Ordinance

PURSUANT TO THE CITY OF SANTA FE  
LIVING WAGE ORDINANCE, SECTION 28-1 SFCC 1987  
EFFECTIVE MARCH 1, 2016 ALL WORKERS WITHIN THE  
CITY OF SANTA FE  
SHALL BE PAID A LIVING WAGE OF

**\$10.91**  
**PER HOUR**

## **Santa Fe's Living Wage**

-  The Santa Fe Living Wage Ordinance establishes minimum hourly wages.
-  The March Living Wage increase corresponds to the increase in the Consumer Price Index (CPI).
-  All employers required to have a business license or registration from the City of Santa Fe ("City") must pay at least the adjusted Living Wage to employees for all hours worked within the Santa Fe city limits.

## **Who is Required to Pay the Living Wage?**

-  The City to all full-time permanent workers employed by the City;
-  Contractors for the City, that have a contract requiring the performance of a service but excluding purchases of goods;
-  Businesses receiving assistance relating to economic development in the form of grants, subsidies, loan guarantees or industrial revenue bonds in excess of twenty-five thousand dollars (\$25,000) for the duration of the City grant or subsidy;
-  Businesses required to have a business license or registration from the City; and
-  Nonprofit organizations, except for those whose primary source of funds is from Medicaid waivers.
-  For workers who customarily receive more than one hundred dollars (\$100) per month in tips or commissions, any tips or commissions received and retained by a worker shall be counted as wages and credited towards satisfaction of the Living Wage provided that, for tipped workers, all tips received by such workers are retained by the workers, except that the pooling of tips among workers shall be permitted.

REQUEST FOR PROPOSALS  
CITY OF SANTA FE  
PROFESSIONAL SERVICES AGREEMENT

THIS AGREEMENT is made and entered into by and between the City of Santa Fe (the "City") and [Contractor] (the "Contractor"). The date of this Agreement shall be the date when it is executed by the City and the Contractor, whichever occurs last.

1. SCOPE OF SERVICES

A. The Contractor shall provide the following project management and consulting services related to the implementation of a Utility Customer Information and Billing Software Solution, further described as deliverables in Exhibit "A" attached hereto and incorporated herein, to the City as represented in their proposal to the City in response to RFP #16/XX/P.

- 1) Lead system implementation activities and the development of system implementation deliverables, including, but not limited to, the following areas: business process design, software configuration, software testing, software training, system interfaces, reports and forms, and data conversion
- 2) Lead project management activities and the development of project management deliverables including, but not limited to, the following areas: project communications, status reporting, task and resource scheduling and allocation, organizational change management, risk management, project governance, issue management, and scope management
- 3) Lead software vendor contract management activities and the development of contract management deliverables including, but not limited to, the following areas: deliverable review and acceptance and invoice review and acceptance
- 4) Lead system go-live readiness reviews and associated follow-up activities

B. All terms and conditions of RFP #16/XX/P and the Contractor's response to such document(s) are attached hereto and incorporated herein by reference and as Exhibit "B".

2. STANDARD OF PERFORMANCE; LICENSES

A. The Contractor represents that it possesses the personnel experience and knowledge necessary to perform the services described under this Agreement.

B. The Contractor agrees to obtain and maintain throughout the term of this Agreement, all applicable professional and business licenses required by law, for itself, its employees, agents, representatives and subcontractors.

3. COMPENSATION

A. The City shall pay to the Contractor in full payment for services rendered, a sum not to exceed dollars \_\_\_\_\_(\$\_\_\_\_), exclusive of applicable gross receipts taxes.

B. The Contractor shall be responsible for payment of gross receipts taxes levied by the State of New Mexico on the sums paid under this Agreement.

C. Payment shall be made upon receipt, approval and acceptance by the City of detailed statements containing a report of services and deliverables completed. Compensation shall be paid only for services and deliverables actually performed and accepted by the City. A fixed price for each deliverable is specified in Exhibit "A" attached hereto and incorporated herein.

4. APPROPRIATIONS

The terms of this Agreement are contingent upon sufficient appropriations and authorization being made by the City for the performance of this Agreement. If sufficient appropriations and authorization are not made by the City, this Agreement shall terminate upon written notice being given by the City to the Contractor. The City's decision as to whether sufficient appropriations are available shall be accepted by the Contractor and shall be final.

5. TERM AND EFFECTIVE DATE

This Agreement shall be effective when signed by the City and the Contractor, whichever occurs last, and shall terminate on June 30, 2017 unless sooner pursuant to Article 6 below.

6. TERMINATION

A. This Agreement may be terminated by the City upon 30 days written notice to the Contractor.

(1) The Contractor shall render a final report of the services performed up to the date of termination and shall turn over to the City original copies of all work product, research or papers prepared under this Agreement.

(2) If compensation is not based upon hourly rates for services rendered, therefore the City shall pay the Contractor for the reasonable value of services satisfactorily performed through the date Contractor receives notice of such termination, and for which compensation has not already been paid.

(3) If compensation is based upon hourly rates and expenses, Contractor shall be paid for services rendered and expenses incurred through the date

Contractor receives notice of such termination.

7. STATUS OF CONTRACTOR; RESPONSIBILITY FOR PAYMENT OF EMPLOYEES AND SUBCONTRACTORS

A. The Contractor and its agents and employees are independent contractors performing professional services for the City and are not employees of the City. The Contractor, and its agents and employees, shall not accrue leave, retirement, insurance, bonding, use of City vehicles, or any other benefits afforded to employees of the City as a result of this Agreement.

B. Contractor shall be solely responsible for payment of wages, salaries and benefits to any and all employees or subcontractors retained by Contractor in the performance of the services under this Agreement.

C. The Contractor shall comply with City of Santa Fe Minimum Wage, Article 28-1-SFCC 1987, as well as any subsequent changes to such article throughout the term of this Agreement.

8. CONFIDENTIALITY

Any confidential information provided to or developed by the Contractor in the performance of this Agreement shall be kept confidential and shall not be made available to any individual or organization by the Contractor without the prior written approval of the City.

9. CONFLICT OF INTEREST

The Contractor warrants that it presently has no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of services required under this Agreement. Contractor further agrees

that in the performance of this Agreement no persons having any such interests shall be employed.

10. ASSIGNMENT; SUBCONTRACTING

The Contractor shall not assign or transfer any rights, privileges, obligations or other interest under this Agreement, including any claims for money due, without the prior written consent of the City. The Contractor shall not subcontract any portion of the services to be performed under this Agreement without the prior written approval of the City.

11. RELEASE

The Contractor, upon acceptance of final payment of the amount due under this Agreement, releases the City, its officers and employees, from all liabilities, claims and obligations whatsoever arising from or under this Agreement. The Contractor agrees not to purport to bind the City to any obligation not assumed herein by the City unless the Contractor has express written authority to do so, and then only within the strict limits of that authority.

12. INSURANCE

A. The Contractor, at its own cost and expense, shall carry and maintain in full force and effect during the term of this Agreement, comprehensive general liability insurance covering bodily injury and property damage liability, in a form and with an insurance company acceptable to the City, with limits of coverage in the maximum amount which the City could be held liable under the New Mexico Tort Claims Act for each person injured and for each accident resulting in damage to property. Such insurance shall provide that the City is named as an additional insured

and that the City is notified no less than 30 days in advance of cancellation for any reason. The Contractor shall furnish the City with a copy of a Certificate of Insurance as a condition prior to performing services under this Agreement.

B. Contractor shall also obtain and maintain Workers' Compensation insurance, required by law, to provide coverage for Contractor's employees throughout the term of this Agreement. Contractor shall provide the City with evidence of its compliance with such requirement.

C. Contractor shall maintain professional liability insurance throughout the term of this Agreement providing a minimum coverage in the amount required under the New Mexico Tort Claims Act. The Contractor shall furnish the City with proof of insurance of Contractor's compliance with the provisions of this section as a condition prior to performing services under this Agreement.

13. INDEMNIFICATION

The Contractor shall indemnify, hold harmless and defend the City from all losses, damages, claims or judgments, including payments of all attorneys' fees and costs on account of any suit, judgment, execution, claim, action or demand whatsoever arising from Contractor's performance under this Agreement as well as the performance of Contractor's employees, agents, representatives and subcontractors.

14. NEW MEXICO TORT CLAIMS ACT

Any liability incurred by the City of Santa Fe in connection with this Agreement is subject to the immunities and limitations of the New Mexico Tort Claims Act, Section 41-4-1, et. seq. NMSA 1978, as amended. The City and its "public employees" as defined in the New Mexico Tort Claims Act, do not waive sovereign immunity, do not

waive any defense and do not waive any limitation of liability pursuant to law. No provision in this Agreement modifies or waives any provision of the New Mexico Tort Claims Act.

15. THIRD PARTY BENEFICIARIES

By entering into this Agreement, the parties do not intend to create any right, title or interest in or for the benefit of any person other than the City and the Contractor. No person shall claim any right, title or interest under this Agreement or seek to enforce this Agreement as a third party beneficiary of this Agreement.

16. RECORDS AND AUDIT

The Contractor shall maintain, throughout the term of this Agreement and for a period of three years thereafter, detailed records that indicate the date, time and nature of services rendered. These records shall be subject to inspection by the City, the Department of Finance and Administration, and the State Auditor. The City shall have the right to audit the billing both before and after payment. Payment under this Agreement shall not foreclose the right of the City to recover excessive or illegal payments.

17. APPLICABLE LAW; CHOICE OF LAW; VENUE

Contractor shall abide by all applicable federal and state laws and regulations, and all ordinances, rules and regulations of the City of Santa Fe. In any action, suit or legal dispute arising from this Agreement, the Contractor agrees that the laws of the State of New Mexico shall govern. The parties agree that any action or suit arising from this Agreement shall be commenced in a federal or state court of competent jurisdiction in New Mexico. Any action or suit commenced in the courts of the State of New Mexico shall be brought in the First Judicial District Court.

18. AMENDMENT

This Agreement shall not be altered, changed or modified except by an amendment in writing executed by the parties hereto.

19. SCOPE OF AGREEMENT

This Agreement incorporates all the agreements, covenants, and understandings between the parties hereto concerning the services to be performed hereunder, and all such agreements, covenants and understandings have been merged into this Agreement. This Agreement expresses the entire Agreement and understanding between the parties with respect to said services. No prior agreement or understanding, verbal or otherwise, of the parties or their agents shall be valid or enforceable unless embodied in this Agreement.

20. NON-DISCRIMINATION

During the term of this Agreement, Contractor shall not discriminate against any employee or applicant for an employment position to be used in the performance of services by Contractor hereunder, on the basis of ethnicity, race, age, religion, creed, color, national origin, ancestry, sex, gender, sexual orientation, physical or mental disability, medical condition, or citizenship status.

21. SEVERABILITY

In case any one or more of the provisions contained in this Agreement or any application thereof shall be invalid, illegal or unenforceable in any respect, the validity, legality, and enforceability of the remaining provisions contained herein and any other application thereof shall not in any way be affected or impaired thereby.

22. NOTICES

Any notices required to be given under this Agreement shall be in writing and served by personal delivery or by mail, postage prepaid, to the parties at the following addresses:

City of Santa Fe:

Contractor:

IN WITNESS WHEREOF, the parties have executed this Agreement on the date set forth below.

CITY OF SANTA FE:

CONTRACTOR:

\_\_\_\_\_  
MAYOR/CITY MANAGER

\_\_\_\_\_  
[Contractor]

DATE: \_\_\_\_\_

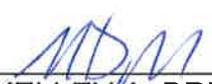
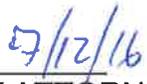
DATE: \_\_\_\_\_

CRS# \_\_\_\_\_  
City of Santa Fe Business  
Registration # \_\_\_\_\_

ATTEST:

\_\_\_\_\_  
YOLANDA Y. VIGIL, CITY CLERK

APPROVED AS TO FORM:

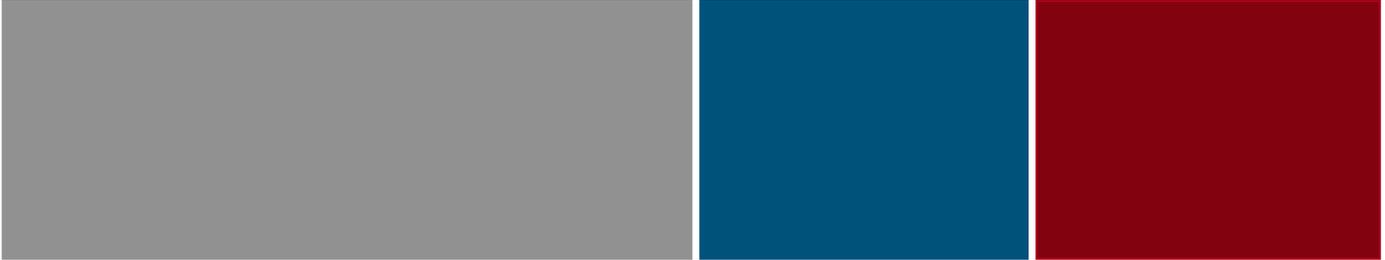
   
\_\_\_\_\_  
KELLEY A. BRENNAN, CITY ATTORNEY

APPROVED:

\_\_\_\_\_  
OSCAR RODRIGUEZ, FINANCE DIRECTOR  
XXXXX:XXXXXX  
Business Unit Line Item

EXHIBIT H. COST PROPOSAL FORM

<b>Deliverable Name</b>	<b>Estimated Hours (A)</b>	<b>Hourly Rate (B)</b>	<b>Total Cost (A x B)</b>	<b>Hourly Rate (Fully Loaded*)</b>
Project Management Plan		\$	\$	\$
Risk Management Plan		\$	\$	\$
Change Management Plan		\$	\$	\$
Communications Management Plan		\$	\$	\$
Project Work Plan with Bi-Weekly Updates		\$	\$	\$
Weekly Project Team Meetings & Minutes		\$	\$	\$
Business Process Specifications		\$	\$	\$
Test Scripts and Expected Results		\$	\$	\$
Software Implementation Deliverable Reviews		\$	\$	\$
Contract Management, including Invoice Reviews		\$	\$	\$
Monthly Project Status Reports		\$	\$	\$
Project Steering Committee Materials		\$	\$	\$
Go-Live Readiness Assessments		\$	\$	\$
Manage Testing Activities		\$	\$	\$
Manage Training Activities		\$	\$	\$
			<b>Sub Total</b>	\$
Other Recommended Deliverable A		\$	\$	\$
Other Recommended Deliverable B		\$	\$	\$
			<b>Sub Total</b>	\$
			<b>Grand Total</b>	\$



**Utility Billing System Implementation  
Assessment Report**  
**Point-In-Time Assessment for the Utility Billing System  
Implementation Project**

July 5, 2016





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Version	Delivered Date	Update Reason
Draft 1	June 7, 2016	Draft version delivered to the City Project Management Team for review.
Draft 2	June 24, 2016	Draft version delivered to the City Project Management Team for review.
Final	July 5, 2016	Final version delivered to the City Project Management Team.

**Table i: Version History of the Report**

## 1.0 Introduction

*This section of the report summarizes the project background, format of the report, work performed, and definitions of terms.*

### 1.1 Project Background

In April 2016, the City of Santa Fe retained Berry, Dunn, McNeil, and Parker, LLC (BerryDunn) to conduct a point-in-time assessment of the project undertaken by the City and Advanced Utilities (AU) to implement Infinity CIS, a utility billing software application. The City entered into a contract with AU, to implement Infinity CIS in 2014. The City and AU initially targeted early 2015 for system Go-Live. By December 2014, project participants (AU and City) determined that a January or February 2015 Go-Live was not feasible. The Go-Live date was postponed to August 2015 and was subsequently postponed to October 2015.

Project activities ceased in October 2015. Prior to the work stoppage, AU had requested a Change Order to add additional project hours, which was being reviewed by the City. As a result of the project delays and projected remaining activities, the City decided to conduct a point in time assessment of the project to determine the remaining activities needing completion before Go-Live.

The City had contracted with Schafer Consulting (Schafer) to assist in the procurement process and to provide project management services for the implementation of Infinity CIS. The City terminated its contract with Schafer in March 2015 and has used City staff for project management functions since March.

The purpose of this assessment is to summarize the current status of the project and provide observations on the activities remaining to be completed along with recommendations for moving forward. Additional technical, software and data conversion activities may be needed in addition to the items described in this report. It is important to note that the assessment is not focused on the prior project issues that lead to the current project delays and challenges.

BerryDunn contacted Advanced Utilities in preparation for this project and they declined to participate in the interview process. The observations and recommendations in this assessment do not include input or feedback from AU and the recommendations and observations could change based on additional information being presented by AU.

### 1.2 Report Format

This report is comprised of four sections, as described below:

1. **Introduction.** This section describes the background of the project, the format of the report, and the work performed in the development of the report.
2. **Assessment Methodology.** This section of the report describes the methodology used to conduct the Assessment.
3. **Assessment Observations.** This section of the report describes the observations and current status of each assessment area as well as BerryDunn's recommendations for future action.
4. **Next Steps.** This section of the report summarizes the key assessment observations and high-level next step recommendations.

### 1.3 Work Performed

In preparation for the Assessment Interviews, BerryDunn requested documentation relating to each of the 14 areas described in Section 2.2 from the City. The City provided the requested documentation, and prior to conducting the interviews, BerryDunn reviewed the documentation to gain background knowledge of the project and to identify specific areas of focus for the interviews.

BerryDunn conducted six individual Assessment Interviews with City staff in May 2016. For each of these interviews, BerryDunn reviewed 14 Critical Assessment Areas, which include the fundamental activities to consider with any system implementation. Each of the 14 areas is described in Section 2.2 of this report. It should be noted that the list is not intended to be the definitive list of all remaining project activities. Additional activities related to the project may exist; however, the 14 considered in this Assessment represent those activities considered to have the largest impact on a software implementation project.

Following the interviews, BerryDunn requested follow-up documentation from the City based on the conversations with project stakeholders and participants, including copies of Change Order cover letters and other documents that were not specifically requested in the initial documentation request. In preparation for the drafting of this Assessment, BerryDunn reviewed that additional documentation in light of the information gathered during the assessment interviews.

Using the information collected during the onsite fact-finding interviews and the documentation provided by the City, BerryDunn assessed the current status of the AU implementation project and developed observations and recommendations for each Assessment Area. Observations related to the Assessment are contained in Section 3.0 of this report alongside recommendations for future action.

## 1.4 Common Terms and Abbreviations

For purposes of clarity when discussing the project, the following terms and related definitions will be utilized. When appropriate, definitions for project management terms were adopted from the Project Management Institute's (PMI) Project Management Body of Knowledge.

Table 1.2: Definitions of Terms

Definitions of Terms	
Term	Definition
AU	Advanced Utilities
City	City of Santa Fe
BerryDunn	Berry Dunn McNeil & Parker, LLC
Infinity CIS	The utility billing software that the City entered into a contract with AU to provide
RFP	Request for Proposals
RTM	Requirements Traceability Matrix
SDLC	Software Development Life Cycle
UAT	User Acceptance Testing
UB	Utility Billing

## 2.0 Assessment Methodology

*This section of the report describes the methodology used to conduct the Assessment.*

### 2.1 Assessment Methodology

BerryDunn conducted Assessment Interviews with City staff in May 2016. For each of these interviews, BerryDunn focused the project review on 14 Assessment Areas, which include the fundamental activities to consider with any system implementation. Each of the 14 areas is described in Section 2.2 of this report. It should be noted that the list is not intended to be the definitive list of all project activities. Additional activities related to the project may exist; however, the 14 considered in this Assessment represent those activities considered to have the greatest impact on an implementation.

The interviews included specific departments and departmental staff involved in the AU implementation. During the interviews, BerryDunn discussed the 14 assessment areas with project participants to understand the activities that had been completed and those activities that still need to be completed. The meetings were conducted based on the following subject matter areas with the functional area lead listed in the following table:

**Table 2.1: Subject Matter Areas**

Subject Matter Areas		
No.	Subject Matter Areas	Meeting Date/Time
1	Project Management Team	May 17, 2016 / 9:00 a.m.
2	Utility Billing	May 17, 2016 / 10:30 a.m.
3	Solid Waste	May 17, 2016 / 1:00 p.m.
4	Waste Water	May 17, 2016 / 3:00 p.m.
5	Information Technology	May 18, 2016 / 8:30 a.m.
6	Finance	May 18, 2016 / 10:00 a.m.

### 2.2 Assessment Areas

The table below outlines the 14 Critical Assessment Areas of this report, including why each is necessary to the project. The Assessment Areas listed are not in priority order. Observations related to the Assessment are contained in Section 3.0 of this report.

Table 2.2: Assessment Areas

Preliminary Assessment Areas		
No.	Assessment Area	Description
1	Project Participants Understand Activities Remaining Prior to Go-Live	All project activities and tasks needing completion for Go-Live, in accordance with the Project Plan, must be adequately communicated to the responsible individuals and adequate resources must be designated to complete them. Succinct communications regarding outstanding project activities is required to ensure project participants are working on the most appropriate outstanding items, prioritized in order of importance so the most critical items are completed first.
2	Design, Development, and Configuration Activities are Complete	Design, development, and configuration activities related to system set-up must be completed in order for remaining project activities to occur. These would include but not be limited to workflow, table design, and screen layouts. Design, development, and configuration activities that are completed after the official completion of appropriate User Acceptance Testing (UAT) would require additional testing.
3	Deliverables from Advanced are Complete and Approved	All deliverables identified in the contract between Advanced and the City must be provided and accepted (signed off) by the City prior to live operation. In the event that modifications have been made to allow certain deliverables to be accepted after Go-Live, the deliverables schedule must be updated to reflect this. Any change orders must also be provided and accepted by the City prior to live operation.
4	Security is in Place and has Been Tested	Complete security has been implemented and tested to include both database and application security.
5	Interfaces are Complete	This assessment area relates to interfaces that are being developed during the AU implementation. Interfaces should be tested along with the testing of other system functionality and signed off on by the City.
6	Data Conversion is Complete	This assessment area relates to the data that must be converted for live operation. This data must be validated as a part of or in advance of UAT.
7	Reports are Complete	As part of the AU implementation, the City will identify standard reports needed in the system to replace the reports currently used. Areas where custom reporting needs exist will also need to be identified and Advanced and the City will need to develop a plan to create them.
8	Testing is Complete	The City must be assured that best-practice testing methodologies have been implemented to prove that the system is capable of meeting expectations. The City must sign off on the completion of UAT prior to live operations.



Preliminary Assessment Areas		
No.	Assessment Area	Description
9	Department Readiness	This project activity considers which project tasks departments believe to be complete or which tasks they will need to be aware of prior to Go-Live. This would include appropriate change management for business process changes.
10	Training is Complete	City personnel need appropriate end-user training in preparation for live operation. Without proper training, City staff will not be adequately prepared to perform their daily responsibilities in the new environment.
11	City Support Structure is Established	With any system implementation, there is a large impact on the support structure in the organization. Identifying and training these individuals is a critical activity in the project, in addition to developing support policies and procedures.
12	Technical Preparations are Complete	Technical preparations including the design of high-performing infrastructure, as well as validated rollout of the application to the desktop is needed prior to Go-Live to ensure an effective user experience.
13	Communications to External Agencies are Complete	Effective communications to external agencies that will be impacted by the Go-Live will promote effective use of the AU software and reduce the amount of support requests by these groups.
14	Go-Live Cutover Plan is Complete and Approved	The software Vendor is responsible for providing an effective Go-Live cutover plan to ensure a smooth transition to the Live system. The plan should include specific details of responsibilities, activities and deadlines that need to be met just prior to and after Go-Live



Assessment Observations

*This section of the report presents the observations and recommendations of each Assessment Area.*

Based on the fact-finding interviews conducted, BerryDunn compiled its observations in the below tables. Based on BerryDunn’s experience conducting similar assessments for software implementations, the following recommendations were.

Below is a table describing the information that can be found in the subsections for each assessment area:

Assessment Area	
AU Project Assessment Category Definitions	
Observations	Recommendations
<ul style="list-style-type: none"> <li><i>After reviewing project documentation provided by the City and conducting the onsite fact-finding meetings, BerryDunn has provided relevant observations regarding the Infinity CIS project going forward.</i></li> </ul>	<ul style="list-style-type: none"> <li><i>Leveraging industry best practices and BerryDunn’s experience in similar projects, we have provided recommendations for processes, strategies, and necessary project documentation to guide the Infinity CIS Implementation Project going forward and increase the likelihood of project success.</i></li> </ul>



**Assessment Area 1: Project Participants Understand Activities Remaining Prior to Go-Live**

Assessment Area 1: Project Participants Understand Activities Remaining Prior to Go-Live	
AU Project Assessment	
Observations	Recommendations
<ul style="list-style-type: none"> <li>• It was reported that City staff have an “understanding” of the remaining project activities prior to Go-Live, however there was consensus among City staff that many “to-be” business process decisions have not been discussed or agreed upon.</li> <li>• Several departments reported that the system was between 80-90% functional and ready for Go-Live. However, other assessments by City staff were as low as 40% readiness.</li> <li>• Changes in City project management have contributed to issues in contractor communications and work performance.</li> <li>• The Vendor has made several changes to key personnel without written City approval in conflict with the contract.</li> </ul>	<ul style="list-style-type: none"> <li>• Analyze the remaining tasks before Go-Live and develop a project schedule that is possible for both City and Vendor participants to achieve.</li> <li>• Engage in communication efforts with all project stakeholders to raise awareness of all tasks that must be completed prior to Go-Live and their respective intensities.</li> <li>• Seek Vendor agreement on contract changes including, but not limited to:               <ul style="list-style-type: none"> <li>○ Information contained in attachments to the contract should be contained within the main body of the contract..</li> <li>○ Explicitly reference the RFP as the basis of the contract.</li> <li>○ In Article 11, revise the warranties to include the “software” in addition to the “deliverables.”</li> </ul> </li> <li>• Establish a defined project management structure for the project, executive-level status reporting for accountability, and leverage an accepted project management methodology.</li> <li>• Establish a defined project management team that, among other things, will have chief responsibility for contract management tasks.</li> <li>• Establish an Executive Steering Committee that, among other tasks, will approve invoices..</li> <li>• Establish oversight for future payments to the Vendor to ensure compliance with the contract.</li> </ul>



## Assessment Area 2: Design, Development, and Configuration Activities are Complete

Assessment Area 2: Design, Development, and Configuration Activities are Complete	
AU Project Assessment	
Observations	Recommendations
<ul style="list-style-type: none"> <li>• It was reported that configuration processes have been executed multiple times.</li> <li>• It was reported that on one occasion, the entire system configuration was lost due to the Vendor's failure to back up the configuration prior to a data refresh.</li> <li>• It was reported that the Vendor made ad-hoc configuration and code changes that were not properly documented following software development life cycle (SDLC) best practices.</li> <li>• It was reported that the Vendor did not appear to follow an appropriate SDLC in the development of upgrades and fixes to the product and that the various environments did not mirror one another.</li> <li>• It was reported that the Vendor was unable to configure the solid waste module to accommodate vehicle routes as the Vendor agreed to in its response to the requirements matrix portion of the RFP.</li> <li>• The language in the contract does not fully specify the level of customization of the Infinity CIS system that is required by the City to meet its needs.</li> <li>• "To-be" business process review and acceptance was not completed to support system implementation.</li> <li>• It was reported that the contents of the discovery document may not have been fully leveraged by the project team during implementation.</li> <li>• It was reported that Infinity.Mobile for Solid Waste was not provided or implemented.</li> <li>• It was reported that at times, City staff felt that the expertise of the AU implementation team impeded project progress.</li> </ul>	<ul style="list-style-type: none"> <li>• The Vendor should adopt and adhere to an accepted SDLC methodology for future modifications and upgrades to the system.</li> <li>• The City should consider modification of its business processes or policies instead of customizing the system to meet current business processes.</li> <li>• Cite language in RFP and proposal that supports requirements for Vendor software configuration and modifications to meet City needs.</li> <li>• Review business process documentation prepared by the City and make revisions or document additional processes in preparation for project reactivation.</li> <li>• Examine the "as-is" business processes and identify business process improvements to be realized by a reactivated project.</li> <li>• Implement a change control process for any software changes made by the Vendor.</li> </ul>



**Assessment Area 3: Deliverables from Advanced are Completed and Approved**

Assessment Area 3: Deliverables from Advanced are Completed and Approved	
AU Project Assessment	
Observations	Recommendations
<ul style="list-style-type: none"> <li>• It was reported that several deliverables had not been provided by the Vendor, such as the Training Plan, Test Plan, Risk Management Plan, and Change Management Plan.</li> <li>• It was reported that the Monthly Invoice deliverable billing was based on criteria that were not agreed to in the Contract.</li> <li>• There is no provision in the contract for increasing payment for project schedule extensions. However, Change Orders #4 and #6 were submitted and approved to include labor and travel costs based on a schedule extension.</li> <li>• During the implementation process, an aggressive schedule was established by the Vendor and was subsequently modified multiple times due to project delays. Many of these delays involved Change Orders that incurred further financial costs on the City.</li> </ul>	<ul style="list-style-type: none"> <li>• Review all invoices (main contract, SW maintenance agreement, Change Orders) and tabulate payments. Identify potential overpayments (for Contract milestones not met, inappropriate change orders, and software maintenance costs) and compare the payments to the Vendor's fixed price proposal and article 4C of the contract.</li> <li>• Deliverables should be built into the project schedule as predecessors to tasks that will leverage them.</li> <li>• Deliverable acceptance (including invoices) should have a defined process in the City, including quality assurance and multiple levels of review.</li> <li>• Any and all future payment should be tied to deliverables and milestones.</li> <li>• Ensure delivery and acceptance of the following Plans: Implementation Plan, CIS Project Plan, System Integration Plan, Communication Plan, Data Interface Plan, Testing Plan and test cases, Training Plan, Data Conversion Plan, Risk Management Plan, and Go-Live Plan.</li> </ul>



**Assessment Area 4: Security is in Place and has Been Tested**

Assessment Area 4: Security is in Place and Has Been Tested	
AU Project Assessment	
Observations	Recommendations
<ul style="list-style-type: none"> <li>• It was reported that no users have been set up in the system with security permissions.</li> <li>• It was reported that the system has the capability to set up users in the system with security permissions.</li> <li>• It was reported that some training in the topic of system security has been given to the City.</li> </ul>	<ul style="list-style-type: none"> <li>• Develop a project plan that involves the setup of security permissions prior to training.</li> <li>• Develop a City user security matrix in conjunction with the Vendor that details the permissions and access that each City staff member will have during testing and live operations.</li> </ul>



**Assessment Area 5: Interfaces are Complete**

Assessment Area 5: Interfaces are Complete	
AU Project Assessment	
Observations	Recommendations
<ul style="list-style-type: none"> <li>• It was reported that some interfaces originally agreed upon have been abandoned, such as an interface with CityWorks.</li> <li>• It was reported that no interfaces are complete and have been fully tested.</li> <li>• It was reported that many of the interfaces that are under development are close to being production-ready.</li> <li>• It was reported that multiple interfaces have encountered development difficulties and delays.</li> <li>• It was reported that the City's implementation of smart water meters was not considered as part of this project and no integration has taken place to date.</li> </ul>	<ul style="list-style-type: none"> <li>• Develop a project plan that includes acceptance criteria, specifications and testing metrics to ensure the delivery of interfaces, including, but not limited to:                             <ul style="list-style-type: none"> <li>○ Esri ArcGIS</li> <li>○ Active Networks Payment Manager</li> <li>○ JD Edwards Enterprise One General Ledger and Accounts Payable</li> <li>○ Datamatic Routestar</li> <li>○ Selectron IVR</li> <li>○ ACH</li> <li>○ Wells Fargo Lockbox Payment</li> <li>○ Harris Payment Gateway</li> <li>○ InfoSend Third Party Bill Print</li> <li>○ Document Management</li> </ul> </li> <li>• Explore options for integration with the City's Badger Smart Meter Reading Software.</li> </ul>



**Assessment Area 6: Data Conversion is Complete**

Assessment Area 6: Data Conversion is Complete	
AU project Assessment	
Observations	Recommendations
<ul style="list-style-type: none"> <li>It was reported that the Vendor asked the City for information for data conversion in the form of a spreadsheet, which the City provided, however it is not clear if Vendor used the spreadsheet for conversion which may be a result of the lack of a data conversion plan.</li> <li>It was reported that unapplied cash cannot be brought over from the legacy system to the new system.</li> </ul>	<ul style="list-style-type: none"> <li>The Vendor should develop and implement a defined data conversion strategy based on the conditions of the legacy system and the needs of the new system.</li> <li>The City and the Vendor should develop and agree upon a schedule for data conversion validation that meets the needs and constraints of both parties.</li> <li>The City should allot appropriate resources to scheduled project tasks to comply with the agreed-upon project schedule.</li> </ul>

**Assessment Area 7: Reports are Complete**

Assessment Area 7: Reports are Complete	
AU Project Assessment	
Observations	Recommendations
<ul style="list-style-type: none"> <li>It was reported that standard reports were not configured by AU for the City's implementation.</li> <li>It was reported that service tickets were entered into Customer Wise by City Staff for the development of reports, but that the tickets were not addressed.</li> <li>It was reported that forms required by the City have not been developed.</li> </ul>	<ul style="list-style-type: none"> <li>Develop a reports matrix that details needed reports and provide the Vendor with existing sample reports for comparison</li> <li>Develop a forms matrix that details needed forms and provide the Vendor with existing sample forms for comparison</li> <li>Add the development of reports to the revised project plan.</li> <li>Add report testing to the revised testing plan</li> <li>Schedule regular project status meetings specific to reporting.</li> </ul>



**Assessment Area 8: Testing is Complete**

Assessment Area 8: Testing is Complete	
AU Project Assessment	
Observations	Recommendations
<ul style="list-style-type: none"> <li>• It was reported that user testing never progressed beyond the unit testing phase. Integration testing and UAT were never conducted.</li> <li>• It was reported that no defined test plan exists.</li> <li>• It was reported that the Vendor did not provide a robust set of test cases.</li> <li>• The Vendor was contractually obligated to provide generic test scripts and to lead the City in completion of specific test scripts but it was reported that these activities did not take place.</li> <li>• It was reported that the City did not develop test cases until after a significant amount of testing had been conducted.</li> <li>• It was reported that City testers were given little to no instruction on the system prior to the commencement of testing.</li> <li>• It was reported that both City and Vendor staff gave some push-back to user testing due to the lack of test cases and time constraints.</li> <li>• It was reported that the City requested that stress testing be conducted by the implementation team prior to Go-Live.</li> </ul>	<ul style="list-style-type: none"> <li>• Develop a comprehensive test plan defining elements including, but not limited to, the multiple stages of testing, entrance and exit criteria for each stage, the scope of each stage, participants in each stage, and oversight for testing activities.</li> <li>• Develop a robust, requirements-based test plan for each stage of testing that validates the requirements and verifies that they are being met by the Vendor. This recommendation includes the development of a requirements traceability matrix.</li> </ul>



**Assessment Area 9: Department Readiness**

Assessment Area 9: Department Readiness	
AU Project Assessment	
Observations	Recommendations
<ul style="list-style-type: none"> <li>• It was reported that departments eagerly await the implementation of the new utility billing system.</li> <li>• It was reported that training on the new system has been limited and that many employees describe themselves as “self-taught” on the new utility billing system.</li> <li>• It was reported that “to-be” business process mapping and/or any business process redesign has not taken place.</li> </ul>	<ul style="list-style-type: none"> <li>• Conduct visioning sessions to match system functionality to City requirements and goals for future system use.</li> <li>• Develop updated business processes to increase potential efficiency gains in the new system.</li> <li>• Develop updated desk procedure documentation that can be used as part of training and to support City staff at Go-Live.</li> </ul>



**Assessment Area 10: Training is Complete**

Assessment Area 10: Training is Complete	
AU Project Assessment	
Observations	Recommendations
<ul style="list-style-type: none"> <li>• It was reported that limited training has been completed.</li> <li>• It was reported that sessions that were referred to as training were used to test system functionality.</li> <li>• It was reported that the Vendor experienced difficulties in setting up and maintaining testing and training environments.</li> <li>• It was reported that end-user training has not taken place.</li> <li>• It was reported that sessions referred to as training were conducted prior to the completion of configuration.</li> <li>• It was reported that provided training materials and manuals do not address customizations made to the City's implementation of Infinity CIS.</li> </ul>	<ul style="list-style-type: none"> <li>• Implement a defined and agreed upon SDLC.</li> <li>• Develop and implement a comprehensive training plan that includes a training roster, training schedule, training goals, roles and responsibilities for training and methods of measuring effectiveness. .</li> <li>• Document all customizations in training materials and manuals.</li> </ul>



**Assessment Area 11: City Support Structure is Established**

Assessment Area 11: City Support Structure is Established	
AU Project Assessment	
Observations	Recommendations
<ul style="list-style-type: none"> <li>It was reported that the City has not received an IT support plan from the Vendor detailing City and Vendor support roles.</li> <li>There exists a separate agreement for maintenance with AU for Infinity CIS and two auxiliary services, Infinity.Link and Infinity.Mobile. It was reported that the City was billed for maintenance services prior to implementation.</li> </ul>	<ul style="list-style-type: none"> <li>The Vendor should develop and provide an IT support plan for City approval.</li> <li>The Vendor and the City should implement a mutually agreed-upon IT support plan.</li> <li>Review all past invoices to determine extent of billing for maintenance services prior to implementation.</li> <li>The City should seek a contract amendment to exclude the time period in which implementation activities occur from being subject to maintenance costs.</li> </ul>



**Assessment Area 12: Technical Preparations are Complete**

Assessment Area 12: Technical Preparations are Complete	
AU Project Assessment	
Observations	Recommendations
<ul style="list-style-type: none"> <li>City technical staff reported a concern about the age of the technical infrastructure used to support the new system due to the length of the implementation, i.e., some hardware purchased at the onset of the implementation may need to be replaced.</li> <li>It was reported that the testing environment is accessible and functional on City workstations.</li> <li>It was reported that the version of Infinity CIS currently installed on City systems for implementation activities is outdated.</li> </ul>	<ul style="list-style-type: none"> <li>Monitor the age and performance of hardware in question and implement a replacement schedule.</li> <li>Ensure that the City goes live with the most recent stable version of Infinity CIS.</li> <li>Evaluate the impact to the project schedule and resources of implementing the current version of Infinity CIS.</li> </ul>

**Assessment Area 13: Communications to External Agencies are Complete**

Assessment Area 13: Communications to External Agencies are Complete	
AU Project Assessment	
Observations	Recommendations
<ul style="list-style-type: none"> <li>The City reported that pre-Go-Live communication with Wells Fargo Bank and the Harris Payment Gateway will be necessary.</li> </ul>	<ul style="list-style-type: none"> <li>Ensure that pre-Go-Live communication activities are tracked in a project schedule and that the tasks have been assigned to appropriate owners.</li> </ul>



**Assessment Area 14: Go-Live Cutover Plan is Complete and Approved**

Assessment Area 14: Go-Live Cutover Plan is Complete and Approved	
AU Project Assessment	
Observations	Recommendations
<ul style="list-style-type: none"> <li>It was reported that the City has received a cutover plan from the Vendor, however, it is dated and needs to be refreshed and has not been approved by the City.</li> </ul>	<ul style="list-style-type: none"> <li>Review the cutover plan with the Vendor, City Project team and IT to agree upon cutover tasks and incorporate them into the Project Plan.</li> <li>Update the cutover plan for any changes made necessary by configuration changes.</li> </ul>

## 3.0 Next Steps

*This section of the report presents the 14 Critical Assessment Areas and when they should be completed.*

Following the completion of this Assessment, in addition to the recommendations presented in Section 3.0, BerryDunn recommends the City complete the following tasks in conjunction with AU:

- Identify a resource to serve as Project Manager for the City. This resource should be dedicated full time to the project and should expect to spend 28-32 hours per week on average on the project.
- Work with AU to baseline a new project schedule in conjunction with a staffing plan for City and AU staff. The new Go-Live date should take into account the remaining project activities as identified in Section 3.0 as well as additional activities identified by AU.
- Outline the specific project management plans (staffing, testing, data conversion, training, etc.) to be used for the remainder of the project with AU to include acceptance criteria for each plan and project phase.

The table below summarizes the 14 Assessment Areas and includes an indicator for when each area should be completed.



**Table 4.2: Assessment Area Status Summary**

<b>Assessment Area Status Summary</b>		
<b>AU Project Assessment</b>		
<b>No.</b>	<b>Critical Assessment Area</b>	<b>When to Complete</b>
1	Project Participants Understand Activities Remaining Prior to Go-Live	Prior to Testing
2	Design, Development, and Configuration Activities are Complete	Prior to Testing
3	Deliverables from Advanced are Complete and Approved	Prior to Testing
4	Security is in Place and has Been Tested	Prior to Training
5	Interfaces are Complete	Prior to Testing
6	Data Conversion is Complete	Prior to Go-Live
7	Reports are Complete	Prior to Testing
8	Testing is Complete	Prior to Testing
9	Department Readiness	Prior to Training
10	Training is Complete	Prior to Training
11	City Support Structure is Established	Prior to Training
12	Technical Preparations are Complete	Prior to Testing
13	Communications to External Agencies are Complete	Prior to Go-Live
14	Go-Live Cutover Plan is Complete and Approved	Prior to Go-Live

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## Appendix 1: Interview Agenda

*This appendix contains the full interview agenda that was used throughout the UB Project Assessment. The areas were applied based on the stakeholder group in the interview, and the corresponding questions were asked.*

### City of Santa Fe

#### Point-In-Time Assessment for the Utility Billing System Implementation Project

## Fact-Finding Interview Outline

**Objective:** The purpose of the interview sessions is to discuss the progress made during the Utility Billing System Implementation Project. Our objective is to understand the roles of the individual stakeholders, the issues and roadblocks faced by the project, and the gap in functionality between the current state and what will be required to go live.

**Meeting Participation:** Based on this interview outline, project stakeholders should be prepared to discuss their roles and responsibilities in the project as well as the functional areas that apply to them. Interviews will be conducted in small groups.

- 1) Describe your role at the City and on the Advanced Utilities (AU) implementation project.
- 2) Based on your experiences on the AU project, what were some of the greatest challenges encountered and what challenges lie ahead?
- 3) Describe your role in the following (if applicable):
  - a) Testing
  - b) Training
  - c) Project Management and Planning
  - d) Data Conversion
- 4) What techniques related to communication, project management, testing and change management worked particularly well and should be repeated moving forward?
- 5) Please be prepared to describe the “status” of each of the following (where applicable):
  - a) Understanding of the project activities remaining to complete for go-live
  - b) Testing
  - c) Training
  - d) Security

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- e) Deliverables from Advanced
  - f) Overall Department Readiness
  - g) Reports and Forms
  - h) Data Conversion
  - i) Design, Development and Configuration
  - j) Interfaces
  - k) Technical preparations
  - l) Internal support (help desk)
  - m) Interaction/communication with external agencies if needed
  - n) Go-live or cut over plan

## Appendix 2: Reviewed Documents

Documents Provided by the City and Reviewed by BerryDunn				
No.	Name	Purpose	Date	Source Author
1	City of Santa Fe Final Adjustments-Reversal of Charges Modified	Test Case	5/7/2015	City of Santa Fe
2	City of Santa Fe Final Balance Transfer Routine Modified 5_10_15	Balance Transfer Process for Utilities	5/10/2015	City of Santa Fe
3	City of Santa Fe Final Collections-7 Processes Modified 5_10_15	Collections Process	5/10/2015	City of Santa Fe
4	City of Santa Fe Final Collections- Write Offs Modified 5_7_15	Collections Write off test script	5/7/2015	City of Santa Fe
5	City of Santa Fe Final Cycle Billing Modified 5_7_15	Cycle billing test script	5/7/2015	City of Santa Fe
6	City of Santa Fe Final Direct Debit Processing 5_6-15	Direct debit test script	5/6/2015	City of Santa Fe
7	City of Santa Fe Final Billing Modified 5_6_15	Billing process test script	5/6/2015	City of Santa Fe
8	City of Santa Fe Final LockBox Modified 5_4_15	Cash processing import files test script	5/4/2015	City of Santa Fe
9	City of Santa Fe Final Meter Rerading Modified 5_6_15	Meter Reading test script	5/6/2015	City of Santa Fe
10	City of Santa Fe Final Payments Arrangements Modified 5_6_15	Payment Arrangements test script	5/6/2015	City of Santa Fe
11	City of Santa Fe Final Pre-Exceptions Modified 5_6_15	Pre-Exceptions processing test script	5/6/2015	City of Santa Fe
12	City of Santa Fe Final Walk-In Payments Modified 5_6_15	Walk in payments test script	5/6/2015	City of Santa Fe
13	Advanced Proposal RFP Response Scope of Work	Defines the scope of the implementation of the CIS Infinity Utility Billing software	No date given	City of Santa Fe
14	Advanced Proposal RFP Response	Advanced's proposal to implement CIS Infinity	7/5/2013	Advanced
15	Appendics_A Requirements, B Cost, C Refs, D Vendor Pro, E Resumes, H Licenses	Attachments to Advanced's RFP	7/5/2013	Advanced
16	1333P Utility Billing System Implementation	City's request for proposals for utility billing system	7/11/2013	City of Santa Fe
17	Utility Billing Requirements	Requirements matrix	7/11/2013	City of Santa Fe

Documents Provided by the City and Reviewed by BerryDunn				
No.	Name	Purpose	Date	Source Author
	developed by Schaefer for CIS RFP 1333P	attached to RFP		
18	CIS Infinity Functional Discover Doc - Santa Fe	Outlines system configuration requirements between City and Advanced	4/30/2014	Advanced
19	Utility Billing Project Interface Status	List of interfaces for City	No date given	No author given
20	Conversion Test Doc	CIS Conversion Test Worksheets	No date given	Advanced
21	SantaFe Data Validation 2015-10-07_AfterConv	Data conversion validation for CIS software	10/7/2015	Advanced
22	How to Test CIS Infinity	Advanced's handbook on testing converted data and training	No date given	Advanced
23	IncidentList42413257	Issues encountered while converting data to CIS Infinity	No date given	Advanced
24	Project_Status_Report_CIS Utility Billing System Implementation December 4_2015	Status report for implementation of CIS Infinity	12/4/2015	City of Santa Fe
25	Project_Status_Report_CIS Utility Billing System Implementation February 5_2016	Status report for implementation of CIS Infinity	2/5/2016	City of Santa Fe
26	Project_Status_Report_CIS Utility Billing System Implementation January 8_2016	Status report for implementation of CIS Infinity	1/8/2016	City of Santa Fe
27	Project_Status_Report_CIS Utility Billing System Implementation November 13_2015	Status report for implementation of CIS Infinity	11/13/2015	City of Santa Fe
28	Project_Status_Report_CIS Utility Billing System Implementation October 2_2015	Status report for implementation of CIS Infinity	10/2/2015	City of Santa Fe
29	Project_Status_Report_CIS Utility Billing System Implementation October 2_2015	Status report for implementation of CIS Infinity	10/30/2015	City of Santa Fe
30	Project_Status_Report_CIS Utility Billing System Implementation September 18_2015	Status report for implementation of CIS Infinity	9/18/2015	City of Santa Fe
31	Project_Status_report_Utility Billing Interface and Data Validation City of Santa Fe WE	Status report for implementation of CIS Infinity and Review of	8/7/2015	City of Santa Fe

Documents Provided by the City and Reviewed by BerryDunn				
No.	Name	Purpose	Date	Source Author
	8_7_15	Data Conversion		
32	Utility Billing Recommendation	Recommendations to changes for implementation to remain within budget	No date given	No author given
33	AU'S Response to Mediation Apr 7 2016	Advanced's agreement to mediation, and their perspective on delays to project	4/7/2016	Advanced
34	Change Order 6 - Project Extension III - Santa Fe	Change order agreement	6/20/2016	Advanced
35	City of Santa Fe Response - April 8 2015_LT_P.Fanous	Letter declining to send further change orders	4/8/2016	Advanced
36	N Harris CO 3 Ex F	Agreement to expand scope through change order	5/19/2015	Advanced
37	N Harris CO 4 Ex G	Change order- project extension to September 2015	7/6/2015	Advanced
38	N Harris EX E CO 2	Expansion of scope change order	4/20/2015	Advanced
39	N. Harris Exh D CO 1	Expansion of scope for Master Address Interface (change order)	4/20/2015	Advanced
40	Response to Advanced on Delays CO 6	City's response to issues with delays, regarding CO 6	No date given	City of Santa Fe
41	UB Advanced Cover Letter for Change Order 6	Advanced's response to mediation, proposed dates, and Advanced's complaints with City	4/7/2016	Advanced
42	Utility Billing Project 13-1137 PSA	Contract between Advanced and City	11/26/2013	City of Santa Fe
43	0914_001 Current UCIS Workflows by Schafer	Mapping of Business Process	No date given	Schafer
44	Exhibit B Utility Billing Project Iteam 13-1138 (1)	Information Technology Agreement with Harris	11/11/2013	City of Santa Fe
45	Exhibit C Utility Billing Project Item	Exhibit C to the Information Technology Agreement between City and Harris	11/26/2013	City of Santa Fe
46	New Customer Work Flow 2014	Work flow for dumpster order for maintenance and service	2/20/2014	City of Santa Fe
47	Visio-Meter Read Current UCIS	Metering process for City, and subsequent	4/21/2015	City of Santa Fe

**Documents Provided by the City and Reviewed by BerryDunn**

No.	Name	Purpose	Date	Source Author
		billing		
48	Work Order work flow 2015	Business process for work order	2/4/2015	City of Santa Fe
49	Visio-Commercial Sewer-COD Update Current UCIS	Billing process for commercial sewer	4/22/2015	City of Santa Fe
50	Visio-Cycle Billing Current UCIS	Cycle Billing Process business diagram	4/22/2015	City of Santa Fe
51	Visio-Multifamily Current UCIS	Business diagram for multifamily sewer, water, and refuse	4/22/2015	City of Santa Fe
52	Visio-Winter Average and Residential WA Current UCIS	Winter Average Process business diagram	4/22/2015	City of Santa Fe
53	Visio-A Pay E Pay Current UCIS	Business process diagram for E-Pay to general ledger posting	4/24/2015	City of Santa Fe
54	Visio-MARS Payments Current UCIS	Business process diagram from MARS website to general ledger	4/24/2015	City of Santa Fe
55	Visio-Summary Sheet Current UCIS	Business process diagram to update Summary Sheet to journal entries on Enterprise 1	4/24/2015	City of Santa Fe
56	Visio-Walk In and Phone Payments Current UCIS	Business process diagram for phone call or walk-in payments to general ledger posting	4/22/2015	City of Santa Fe
57	Visio-Bankruptcies Current UCIS	Business process diagram for bankruptcy	4/22/2015	City of Santa Fe
58	Visio-Collections Payment Arrangements Process Current UCIS	Business process diagram for creating a payment arrangement	4/22/2015	City of Santa Fe
59	Visio-Collections- Tampering Current UCIS	Business process diagram for tampering with meter	4/22/2015	City of Santa Fe
60	Visio-Liens Current UCIS	Business process diagram for liens against an account	4/22/2015	City of Santa Fe
61	Visio-Reconnect Water Service Current UCIS	Business process diagram to reconnect water service	4/22/2015	City of Santa Fe
62	Visio-Release of Liens Current UCIS	Business process diagram to remove a lien	4/22/2015	City of Santa Fe
63	Visio-Standard Collection Process Current UCIS	Business process diagram for standard	4/22/2015	City of Santa Fe

Documents Provided by the City and Reviewed by BerryDunn				
No.	Name	Purpose	Date	Source Author
		payment collection		
64	Visio-Write Offs Current UCIS	Business process diagram to write off a collection	4/22/2015	City of Santa Fe
65	Visio-Customer Service Current UCIS	Business process diagram for customer service processes	4/21/2015	City of Santa Fe
66	Visio-Customer Service -Meter Exchange Current UCIS	Business process diagram for a meter exchange request	4/29/2015	City of Santa Fe
67	Visio- Wastewater - Effluent Water Billing Month Current UCIS	Business process diagram for effluent billing	4/21/2015	City of Santa Fe
68	Visio-Wastewater Current UCIS	Business process diagram for wastewater billing and customer service	4/21/2015	City of Santa Fe