

# Tompkins County Budget Management and Monitoring System

## RFP Question Responses – 10/9/2015

1. What is the County's anticipated go-live date for a new budgeting solution?

*The system should be fully functional by April 1, 2016. The go-live date must also allow for sufficient testing time.*

2. Does the County have in-house expertise creating reports using Crystal Reports for your budget documents?

*Yes.*

3. What is the County's annual operating (including Capital) budget?

*The 2016 Recommended Operating Budget is \$171,075,993 in Total Expenditures and an accompanying recommended Total Capital & Debt Program Budget of \$20,657,255.*

4. Has the County viewed budget solutions before the release of the RFP document? (Within the last 2 years)

*Yes.*

If so, which solutions?

*Existing Budget module for potential use within our Financial software - Sungard/Pentamation and a solution from Catalog and Commerce.*

5. Has a budget been set aside for this project? If so, how much?

*At this point funds have not been set aside for project, but advance discussion has occurred internally with staff and directly with elected officials. The resolution requesting funds for the project has been drafted, but will not be submitted for likely approval until review of the RFP responses has been completed.*

6. Can the RFP be provided in an editable format, such as MS Word so that we can fill in all the required forms?

*Yes.*

7. Does the prefer a COTS (Commercial off the shelf) solution, or a custom built tool ?

*Either option is an approach Tompkins County would consider, but custom development or configuration is expected.*

8. Will the County consider a thin client as a part of the offered solution or are you only accepting RFPs where the entire spectrum (100%) of budgeting, reporting and document publishing functions is web-based?

*Either option is an approach Tompkins County would consider, but would prefer browser based solution, or a solution which does not require the installation of a client.*

9. Can you provide an overview your general organizational structure – as it relates to budgeting? For example, below is a common organization structure:

10 Divisions

50 Departments

200 Cost Centers (budgeting done at this level, then rolled up)

Can you describe your organizational structure in this manner?

*55 Departments/Agencies*

*Approximately 180 Cost Centers*

If different that above question, please provide an example of the GL account hierarchies.

10. Are Departmental Allocations needed?

For example, some Departments (Cost Centers) allocate all of their expenses to other Departments or Cost Centers in the budgeting process. These are often referred to as Internal Service Providers or ISPs. A common example of an ISP can be the Information Technology (IT) department. ISP budgets are developed in detail just like any other department, and then their expenses are allocated out to other budget elements – other departments.

*The County doesn't have departments that are fully charged-off to other direct service departments. However, the County does have a system of inter-departmental charges, meaning the budgeting system must be able make bottom line adjustments to ensure that there is not double counting of the expenses incurred by the provider and those incurred by the receiver of such services. The County also has inter-fund transfers in the budget, largely from the general fund to the debt service, highway, and community development funds.*

11. How many licenses (users) does the County require as per below, these licenses would be for users entering / editing data in each module. If a user needs to enter data in each module they would need a license for each module. Read-only licenses allow users access to the reporting center for running and viewing reports. If a user only needs to see a report that can be scheduled and emailed to them, they do not require any type of license, only a valid email address.

How many **Operating** budgeting licenses (full use) are required? **50**

How many **Salary/Position** budgeting licenses (full use) are required? **700**

How many **Capital** budgeting licenses (full use) are required? **30**

How many **Read-Only** licenses are required? *Unlimited to manage public access*

12. Do department managers (or the equivalent) manage all budgeting data for each position's costs (salary, wages, benefits, etc.) within their department?. Or alternatively, is the salary & benefit budgeting done by a smaller group (maybe within Finance or HR) on behalf of the departmental users?

*The departments currently manage all personnel costs other than fringe benefits, which are calculated separately and then apportioned to departments via a uniform "fringe benefit rate" that is applied to payroll costs of each department. The proposed budgeting system will allow the flexibility to either continue the current practice or enable departments to calculate their own fringe costs.*

If the latter, how many individuals (users) would need access to the salary and benefit data for all County staff?

*See above. Estimated total number would be approximately 30.*

13. What is the total number of positions (staff) at the County expressed as FTE's?

**700**

14. What number of these positions are unionized?

**600**

15. During the implementation process, how many years of historical data does the County wish to convert from the existing solution into the new solution?

*Tompkins County would require any budget document produced from the new system the ability to display, at a minimum, the current year's modified budget and the actual information from the two immediate prior years. The budget document must present the actual revenues and expenses of the prior two years and the current year's modified budget, as well as the subsequent year's budget.*

16. Does the County prefer training to be performed onsite or done remotely? Remote (internet conferencing) is becoming more common and is more economical.

*Remote training is fine.*

17. Insurance Requirements, page 7, last line states that Certificate of Insurance with the County as an additional insured on the certificate be submitted with signed contract, but there is also an insurance form required to be submitted with the RFP response. We would like to propose that we provide our Certificate of Insurance as proof of insurance included in the RFP response. If we were to be the chosen vendor then we would submit another Certificate of Insurance with

the County as an additional insured as part of the signed contract. Is that acceptable for the RFP response?

*The approach to documenting Insurance Requirements as defined below is acceptable to Tompkins County.*

3.1 Project Objectives (Page 10)

“The system must support up to 100 concurrent users and allow system administrators to monitor use, communicate interactively with users and acknowledge potential problems, like inadvertent entry errors.”

**Is email notification desired or required?**

*Integrated, standardization, and automation of email as a form of communication is not required, but would be helpful towards the improvement of the budget process. Currently, Tompkins County uses Groupwise as our on-premise email platform but will be migrating to Microsoft Office 365 in the near future.*

“Generation of reports for the budget document along with supporting charts”

**How are budget reports being generated now for the budget document?**

*An in-house application (VB/Access) is used to present previous years approved budgets and submit departmental and local agency request details for the current budget cycle based on a predetermined or calculated fiscal targets. Over Target Requests (OTRs – requests beyond the defined fiscal target amount) as well as inter-office revenues, contracts, etc. are also collected. However, reports and all output is generated manually within Excel and Access. Crystal Reports is only used on a very limited basis within in the in-house system.*

**Crystal Reports is mentioned elsewhere – Will it continue being used it can it be replaced as well?**

*Tompkins County relies on the use of Crystal Reports for numerous applications. Reports generated by the software would be reviewed first and if possible reconfigured within the software tools provided. Use of Crystal reports is not required and will only be considered if the Vendor is unable to meet future report format requirements. Our preference is not to rely on Crystal Reports and ITS staff response to future requests. Use of “ad hoc” reporting functionality as an alternative to customized Crystal Report output will be an important point of the project.*

3.1 Requirements for a new Budget Module/System - Replace Status Quo (Page 11)

“Allow County departments to securely logon via internet”

**Is server/client application model acceptable?**

*Yes.*

**Is web access a requirement?**

*No, but preferred.*

Department entry of Contracts and Memberships

**Are budget dollars directly entered by GL string? Alternatively, is this a calculation or sub-model?**

*Budget data entry is on a line-item basis.*

Allow entries that link Department, Functional Unit, and Account#  
**Is this representative of your GL structure? Yes.**

Interfund/interdepartment transfers

**What kind of transfers are done? Could you provide a few examples? Are both sides of the transfer specified by their GL strings?**

*The budget includes interdepartmental transfers, such as charges for some internal services (e.g., maintenance-in-lieu of rent charged by Facilities), and inter-fund transfers, such as transfers of resources from the General Fund to special funds, such as the Highway Fund, and enterprise funds, such as the Airport and Solid Waste.*

Calculation of fringe on payroll accounts

**What is complexity of fringe calculation?**

*Fringe benefits are calculated centrally and then apportioned to departments via a uniform "fringe benefit rate" that is applied to payroll costs of each department. The proposed budgeting system will allow the flexibility to either continue the current practice or enable departments to calculate their own fringe costs.*

**Are the individual components of fringe calculated and tracked? (Retirements NA, FICA, WC, Health, Supplemental, Unemployment is mentioned elsewhere. Please confirm) Yes.**

Allow progress tracking of budget entries by Co. Admin

**Please clarify the type of tracking? For example, user name, last change date/time?**

*Tracking to determine if submissions are complete or incomplete.*

Maintenance, service, and troubleshooting expertise available via ITS (Mornings 2 days/week)

**How long after implementation is this scheduled support meeting expected?**

*To be defined in the future contract. Depends on language in the Support and Maintenance Agreement, but Tompkins County expects a long term partnership and commitment beyond the implementation phase of the project.*

### 3.1 Requirements for a new Budget Module/System - Improving the System (Page 11)

Allow secure logon and budget request entries by supported Agencies

**How are Agency budgets integrated with department budgets? Do they have use the GL Code structure as well? (They appear to have Department code).**

*Agencies are distinct from departmental budgets, but are incorporated in the County budget and use the County's GL structure. For the purposes of data entry and data screens, agencies should be viewed the same as county departments.*

**Are agencies on same county computer network as departments?**

*No.*

**Do agency users have Tompkins County email addresses and network user names?**

*No.*

Allow entry of data/information for Program Impact Assessment (PIA) report by Departments and Agencies

**Are PIA reports integrated with budget formulation or completely separate?**

*Reports are integrated in current in-house system and process.*

**Are the costs, revenues, and FTEs entered manually, or derived via an allocation from a department budget?**

*PIA data is currently separate from the budget formulation. The vendor may proposed the development of allocation formulas that would allow departments and agencies to more easily link the PIA costs and revenues with the budget.*

**How are the key metrics and all other qualitative fields currently being collected and reported?**

*Each department and agency compiles its own metrics and qualitative fields. A standard presentation template is used for all.*

Allow entry of data for proposed departmental fees

**Is fee entry for reference only?** *Yes.*

**Or will proposed fee data used as a driver to calculate GL string budgeted revenues?** *N/A*

**If so how many possible calculation types are there?** *N/A*

Allow entry of data for capital plan/projects

**Is capital data entry for reference only? Or used in budget?**

*For reference only.*

**Are sources and uses tied to GL Strings (if so, it's not currently shown in budget book)?** *No.*

**What underlying calculations exist, such as carry forward or available balance?** *County Administration and County Finance maintain a schedule of existing debt service. All is done off-line.*

**Are specific uses in a project (planning, land, design, etc) tied to a specific funding source? Or are sources and uses fungible within a project?**

*Generally fungible. However, capital projects do have multiple funding sources (e.g., federal aid, state aid, town contributions, etc).*

**5 planned years are shown in the Budget Book. Are any more than 5 years planned, but hidden from budget book?** *Yes, off-line.*

Proposed Application Features 1-0 Personnel

1-2. Personnel calculations need to look at a particular position, analyze the step for the position and determine if an increase is possible in the upcoming budget year.

**What are the business rules used to determine whether a step increase is possible for a position?**

*Currently, step increases are calculated manually and entered into the budget by the requesting departments. Vendors may propose a more*

*efficient way to calculate the cost effects of step increases (which are based on years of service, with amounts established by contracts.)*

1-8. Personnel reportable on a per employee and per position, with totals for each component of the compensation package, basis for each **funds** center that budgeting occurs at.

**Please describe the “funds center level.” Is this a combination of fund and cost center?**

*As noted, fringe benefits are currently computed centrally and allocated to departments based on a uniform fringe benefit rate. Vendors may propose a method of more precisely determining fringe benefit and other compensation costs on a per employee/position basis. Under either the current or revised system of reporting compensation, the County desires the ability to calculate costs at the countywide, fund, department, and cost center (functional unit) level.*

**Is each position’s cost center available in a source database?** *Yes.*

**Does each positions only contribute to a single cost center’s costs? Or can a single position be allocated to multiple cost centers?**

*A single position can be allocated to multiple functional units/cost centers, e.g., a portion of the cost of an employee in the Office of Aging may be allocated to the Senior Nutrition functional unit and a portion to the SNAP functional unit.*

1-15. Forms for Department (Business Area or Business Area Group), Organization (Funds Center) level entry, editing and reporting capability for personnel costs. Include ability to evaluate vacancy factors, personnel costs, authorized positions (both funded and unfunded), positions filled, vacant, unit benefit costs and unit overhead costs.

**What are some examples of unit benefits costs and unit overhead costs? See fringe responses above.**

*Overhead costs vary by individual departments.*

**Are vacancy factors unique for different departments or is a single factor applied county-wide?**

*Unique for different departments.*

Proposed Application Features 3-0 Reports

3-2. Functionality to assemble department budget requests into an aggregate county budget, and to present the property tax levy required to balance that budget.

**Is the property tax levy only shown? Or is a calculation necessary to derive it?**

*The property tax levy is the difference between all expenses and all non-property tax revenues. The system must be able to make this calculation and clearly present the result at all stages of budget development in order to allow budget managers to know whether levy targets have been achieved.*

3-4. Functionality to develop budget versions that summarize and present the effect of cross fund contributions and revenues to arrive at a net position.

**Does this refer to Interfund transfers? Please elaborate.**

*Yes. The system must be able to account for inter-fund transfers and ensure that the calculation of the County property tax levy includes the net contribution of general fund dollars to other funds.*

3-5. Functionality to allocate costs of various departments to all other departments based on various parameters such as the number of square feet that a department uses in a building.

**What is the timing of when these allocations are completed? So that if the costs to be allocated change, the allocations can be updated. How many calculations are used and what is the complexity of these calculations?**

*This refers to budgeted allocations of cost, for example the Facilities Division charges other departments a maintenance in lieu of rent amount based on the Divisions cost to maintain space divided by the amount of square footage maintained times the square footage occupied by a given department. The timing of the allocation is not an issue--it is a calculation done as a part of the annual budget, with billing to departments occurring throughout the year (the billing process is not relevant to the budget.) The allocation formulas are generally simple, with specific and readily identifiable cost items allocated on a straightforward basis, such as per square foot.*

3-6. Forms and supporting logic that allow entry and viewing of data based on a commitment item (e.g. Retired Medical) rather than a department.

**How are commitment item entries integrated with the budget? Are they converted to departmental costs?**

*The only such cost is the fringe benefit rate.*

3-12. Functionality to evaluate budgets and related calculations based on Mandated, Local Option and Federal/State categorizations (available in Functional Area). Functionality to show mandated, non-mandated and federal/state categories individually or with various combinations and rollups.

**Are these categorizations rollups of existing GL segment components?**

*Yes.*

3-19. Forms, reports and necessary supporting logic to analyze and work with grant data.

**How do grants impact the budget?**

*They bring revenue into a department's budget along with revenues to support those costs. Grants generally have clearly specified goals, purposes, and restrictions on the use of funds.*

3-20. Functionality to adjust budget versions, by percentages applied to funds centers, to commitment items or to groups of funds centers or groups of commitment items.

**Clarify the types of changes made, including the actors and the timing of their changes.**

*This refers to the ability to run scenarios that may assume an across-the-board percentage increase or decrease in spending, freezes on certain types of expenditures, etc.*

#### Proposed Application Features 4-0 Department and Agency Requests

4-2. Departments are generally business areas, but there are departments that are comprised of business area groups, these need functionality to be able to develop "department" budgets in either case. There needs to be a way to distinguish a department from a business area.

**Are these classifications available in the Sungard extracts? Yes.**

#### Proposed Application Features 5-0 Reports/Extracts

5-1. Functionality to extract different sets of information from Sungard System in order to calculate and distribute costs across the county (e.g. departmental chargebacks).

**Are the sets of information the same every year? Approximately, how many sets of information are pulled and how many calculations are there? How complex are the calculations?**

*Generally the method of allocating chargebacks is consistent from year to year, although the amounts to be charged back may vary. The calculations are not complex.*

Proposed Application Features 6-0 Management Tools

6-4. Ability to document specific changes to budget versions to reflect the County Administrator's recommended actions, as well as ability to reflect changes based on Legislative review and final approval process. As an example, the reduction of OTR amount or changing an OTR from a target funding increase to a one-time funding increase.

**Confirm that these documented explanations are user/admin-entered and not automatically derived.**

*They are user-entered.*

Other Questions:

General Ledger Structure

**How are funds tracked? Is there a one to one relationship between department and fund? (Funds are seen in Budget Book, but not in listed in entry points of Department, Functional Unit, and Account#)**

*Funds are generally tracked by department or Account#, e.g. overtime costs).*

**How is fund center different than cost center?**

*Fund center is the specific governmental fund (e.g., general fund). Cost center is a functional unit of a department.*

**How is cost center related to department (since allocations between the two are mentioned)?**

*A cost center is sub-unit (functional unit) of a department.*

The following data items are shown in budget book, but not mentioned in RFP. Are any necessary?

**Tompkins County Human Service Mandates.**

*These are currently user-entered, but are identifiable by GL string. Vendors may propose a means of automating this table.*

**General Fund Assignment and Commitment Types.** *User-entered.*

**Other Fund Balances (including assigned amounts).** *User-entered.*

**Department Rollover (Approved Use, Adopted Use, Returned to General Fund)**

**Tax Projections.** *User entered.*

**Debt Service (and Integration with Capital Budget).** *User entered.*