

**REQUEST FOR PROPOSAL (RFP)
RISK MANAGEMENT INFORMATION SYSTEM (RMIS)
FOR THE CITY OF STOCKTON, CALIFORNIA
(PUR 24- 010)**

ADDENDUM No. 1

DATE: 10/10/2023

To All Potential Proponents:

A. This Addendum shall be considered part of the proposal documents for the above-mentioned project as though it had been issued at the same time and shall be incorporated integrally therewith. Where provisions of the following supplementary data differ from those of the original proposal documents, this Addendum shall govern and take precedence. PROPONENTS MUST SIGN THE ADDENDUM AND SUBMIT IT WITH THEIR PROPOSALS.

B. Proponents are hereby notified that they shall make any necessary adjustments in their estimates as a result of this Addendum. It will be construed that each Proponent's Proposal is submitted with full knowledge of all modifications and supplemental data specified herein.

PLEASE NOTE THE FOLLOWING QUESTIONS/ANSWERS/CHANGES TO (PUR 24 - 010). THE CITY'S RESPONSES TO QUESTIONS SUBMITTED ARE IN BLUE

Questions & Answers

1. Incident Reporting through a portal. Approximately how many new incidents are reported in a given year?
This information is unknown as it is not currently tracked.
2. Approximately how many historical claims/incidents need to be stored by the successful vendor?
Historical claims do not need to be stored by the successful vendor. They are stored with the City's TPAs.
3. Can you please confirm our interpretation that you do not handle/adjudicate any claims in house as they are all handled by your TPAs. Is that accurate or can you please identify if any claims handled in house by your staff?
Most claims are handled by our TPAs. Currently only subrogation is handled in-house by the City.
4. The City will be using the selected system for incident reporting. How will new claims to be handled by your TPA get to your TPAs? Do you anticipate the selected system would feed over to those TPAs or do you plan to set them up at the TPA?
New Workers' Compensation and Liability claims will continue to go through the current TPAs. The selected system should be able to securely migrate information from the TPA software systems for tracking, reporting, and analysis.
5. Tyler Munis – Can you please clarify this feed. Is this importing vendor details for COIs?
Tyler-MUNIS is the City's Enterprise ERP system and contains a variety of data that might need to be migrated over for reporting/tracking/notification purposes. Further, there may be documents that would need to be migrated from Tyler-Munis to the selected system.

6. COIs – Approximately how many vendors do you manage COIs from?
 We are currently managing COIs from approximately 3800 vendors.

7. Reports – Do you have reports you need replicated or do you largely plan to rely on the standard reports/dashboards from the selected solution/vendor? If you have reports to be recreated and included in
 We currently receive some standard reports from our TPAs. While we may initially rely on standard reports/dashboards from the selected solution, we require the ability to customize reports as needed.

8. Project Management during implementation – Does the City have a preferred project management methodology that must be utilized or can each vendor propose their recommended project management approach based on the project (agile, waterfall, etc.)
 The City prefers waterfall project management methodology.

9. Users – can you please provide insights on the total number of users needed for the system (for example 3 need access to everything; 5 need access to view ; etc.)
 We will need approximately 10 users.
 - a. To help specify user count, can you please provide a high-level overview of the amount of users, and their functional role? For example, can you indicate how many users would be full read/write users compared to users that might be view only?
 The City anticipates up to 10 users with full read/write access with the potential for additional read only users.
 - b. Users: How many user licenses do you require? Side note: our system provides an online web portal that all city staff can submit incidents and file attachments without requiring a user license
 The City will require up to 10 read/write user licenses with the potential for some additional read only users.
 - c. Of those who require access to the RMIS(user license), what are their roles and functions within the City and how do you envision those staff members interacting with the RMIS?
 The read/write users will be members of the Human Resources team, including but not limited to Risk Services, Leaves Administration, and Directors. The staff will be creating and running reports, pulling data for analysis, entering information as needed, creating notification settings, entering notes etc.
 - d. What access restrictions/permissions need to be enabled for user licenses?
 At this time the read/write users will not need restrictions but permissions to create/generate reports, pull data, enter data, etc. Read only users should be restricted to pulling reports – and possibly restricted to the types of reports as well.

10. Data to be converted to the selected solution – In addition to the data which will be provided by your two TPAs, what other historical/current data is anticipated to be loaded by the selected vendor? Do you have any data or file attachments that need to be converted by the successful vendor? If you can please provide insights on where that data is stored, type of data and approximate number of records for each source.
 The City has data on spreadsheets to be migrated to the selected solution, including but not limited to the following areas: subrogation, PPE tracking, ADA tracking, IDR tracking, Workers' Compensation temporary modified duty tracking, Settlement Agreement and Release (SAR) tracking for both General Liability and Workers' Compensation. There are documents that will need to be attached to files in the selected solution, but the quantity is unknown.

11. Section 4.1, Item L states the proposal must have wet signatures yet it is an electronic emailed submission. Can you confirm we do not need provide wet signature given an email response.
[A photocopy of the original signature will suffice.](#)
12. Section 4.4 – Financial Statements. As a private company, we unfortunately do not submit financial statements to publicly available documentation. Will a Dun & Bradstreet (D&B) report suffice for evidence of financial stability or perhaps a discussion with our Finance team to provide the necessary insights work? Or for private companies, do you have another proposed manner which the necessary insights can be provided to the City while maintaining the protection of private financials? Will a Non-Disclosure Agreement (NDA) be an option for the City?
[In accordance with section 4.4, “all Proponents are required to fill out Exhibit 4- Certification of Financial Condition. The Proponent deemed best evaluated and which the City intends to enter into a contract will be required to submit a full and detailed presentation of the true condition of the Proponent’s assets, liabilities, and net worth.” It is at that time; an NDA option can be discussed.](#)
13. Site Inspections – We see the scope includes site inspections. Do you have your own City specific site inspection form layout or do you plan to use the selected vendor’s out of the box inspections? If your own, if you can please provide additional details on the inspection(s) you need setup in the system
[We do not currently have a form we are using. Initially we would like to use the selected vendor’s out of the box inspection with the option to customize as needed.](#)
14. Whether companies from Outside USA can apply for this?
(like, from India or Canada)
[No](#)
15. Whether we need to come over there for meetings?
[There may be times when you are required to attend meetings in Stockton in person.](#)
16. Can we perform the tasks (related to RFP) outside USA?
(like, from India or Canada)
[No](#)
17. Can we submit the proposals via email?
[In accordance with section 4.1, D., “please submit one \(1\) electronic version of the proposal to \[city.clerk@stocktonca.gov\]\(mailto:city.clerk@stocktonca.gov\).”](#)
18. Outside of the data sources mentioned, is there other data that needs to be converted by the selected offeror?
[There could be additional data from Tyler Munis, the City’s ERP program and there will be data that needs to be migrated from excel spreadsheets.](#)
19. Are there any other specific interfaces–aside from the ones listed–that would be required?
[There may be a need for migration from Tyler Munis, the City’s ERP program, and if the TPA vendors change in the future, there could be a need at that time.](#)
20. Which types of claims should the system track?
[The system should be able to track leaves, accidents/incidents, COIs, and in conjunction with the City’s TPA’s, liability, property, and work comp claims.](#)

21. Data Migration:

- a. What types of data will you require for migration? For example Incidents/Near-Misses, Claims, Claim Transactions, Assets, Department Hierarchy, Policies, etc. [The City requires claims information to be migrated on a regular basis from the TPA programs. Additionally, hierarchies will need to be created. Subrogation, PPE, ADA, COVID-19 migration will be required from spreadsheets. COI data will need to be migrated from Tyler Munis.](#)
- b. For each data-types listed above, please list the estimated number of records required for migration.
[Unknown at this time.](#)
- c. For each data-types listed above please describe where they are housed at the moment (current system, spreadsheets, etc)
[See answer above – TPA software programs, spreadsheets, Tyler Munis – the City’s ERP program.](#)
- d. Will emails be required for migration? If so, please provide an estimate of the amount of emails and the estimated total size (in GB) of all emails.
[There is a possibility that attachments/files will need to be migrated. The number and size are unknown at this time.](#)
- e. Will files/attachments be required for migration? If so, please provide an estimate of the amount of files/attachments and the estimated total size (in GB).
[There is a possibility that attachments/files will need to be migrated. The number and size are unknown at this time.](#)

22. Claim/Incident Reporting

- a. What is the current workflow for reporting incidents from staff in terms of involvement from employee and supervisor prior to risk department receiving?
[The structure of workflow is under development at this time.](#)
- b. How are 3rd party claims (ie claims from citizens) currently reported into the risk department?
[They are reported to the City Clerk’s office, then reported to Risk Services. Alternately, notification might come from the citizen who is then redirected to file a claim with the City Clerk.](#)

23. System/Provider Integration

- a. It’s noted in the RFP that the city requires integration with its WC TPA and Liability TPA.
 - i. How is data currently submitted to those providers?
[There is a phone line where claims are directly submitted to the WC TPA. Liability claims over the deductible amount are submitted via email to the Liability TPA by Risk Services.](#)

24. Tyler Munis System

- a. What type of integration is desired by the city (API, SFTP, etc.)?
[The City would like to explore an SFTP integrations with Tyler Munis.](#)

25. OCR

- a. To what extent has the city used OCR for certificates in the past?
The City has not used OCR in the past.
 - i. To what extent does the city expect to have automated (names, lines of insurance, limits, etc)?
The City would like to have vendor name, insurance company name, insurance type, expiration dates, limits and contract numbers automated.
26. Please define what the term AIE and COI are from the city's perspective
- a. To reduce any ambiguity we like to ensure that we are using the terms as defined by the customer
Additional Insured Endorsement and Certificate of Insurance.
27. Export COIs and AIEs
- a. What is the intent of exporting COIs and AIEs?
The intent is for ease of tracking, running reports, and automating notification of upcoming expiration dates.
28. Workers Compensation Claims
- a. Can the city provide a sample report OR headings of a report from the SIMS system?
This will be provided to the selected vendor.
29. Liability Claims
- a. Can the city provide a sample report OR headings of a report from the Sedgwick claims system for review?
This will be provided to the selected vendor.
30. How does the city currently capture incidents (please list all formats accepted)?
The City manually captures incidents in each department independently. A structured workflow is currently in development.
31. Approximately how many ADA requests does the city process per year?
The City addresses ADA workplace accommodations for approximately 25 current employees and probably 2 for employment candidates per year. We also address approximately 6 ADA issues from the citizens each year.
- 1. What level of logging does the city expect when capturing daily log regarding ADA accommodations?
The City needs the ability to record general information about the issue; name, date of occurrence, department, supervisor; and multiple medical records and notices associated with that name including: type of document (medical/notice), date, notes, response. Drop down options would be helpful in some of these records.

- a. Could these be tasks related to an incident or inquiry?
Yes, accommodation due to a workplace injury would be an incident. A record of a citizen phone call might be an inquiry.

32. Subrogation

- a. Does the city desire to define its own templates for subrogation follow-up OR have the system provide them?
The City would prefer to define its own templates for subrogation; however, if the system provides a follow-up that the City finds desirable, the City may choose to use that provided by the system.

33. LOAs

- a. Does the city plan on integration with a HR system to track LOAs?
The City would like the RMIS system to track all LOAs.
- b. Does the city desire to define its own LOA templates OR have the system provide them?
The City currently has its own LOA templates but would use system-provided templates as well.

34. Reporting

- a. What core reports does the city currently use to provide value to its stakeholders (Report name OR function is acceptable)?
The City is in the process of reviewing stakeholder reporting. All is currently manual or requested directly from the City's TPAs.

35. Please clarify "Does your system provide a customizable one-time report entry in field that will populate both liability and workers' compensation claim types? If so, please describe."

Can the City use the system to generate a custom report that will compare liability information with work comp information, e.g. was there a WC injury stemming from a liability or property incident?

36. Please provide more information for "Are attached documents searchable?"

- a. Is this the ability to search for files OR within the contents of the files (i.e. specific words in a document)?
It is both. Can the City search for a file by name or date, and can the City search for a file by key word such as "knee" or "pandemic"?

37. What type of predictive reporting does the city expect from the provider?

The City expects predictive analytics assisting with trending and forecasting of work comp, liability, and property incidents along with prescriptive analytics to assist with mitigating risk for the City.

PROPONENT MUST ACKNOWLEDGE THIS ADDENDUM BY SIGNING BELOW AND ATTACHING THE SIGNED ADDENDUM TO THE PROPOSAL:

Company Name _____

Contact Person _____

Signature _____

Date _____

Proposals Due – Promptly by 2:00 P.M., Thursday, October 19, 2023 at the City Clerk’s Office.

-----City of Stockton Use Only below this line-----

Addendum acknowledged and signed? _____(Procurement Specialist’s initials)