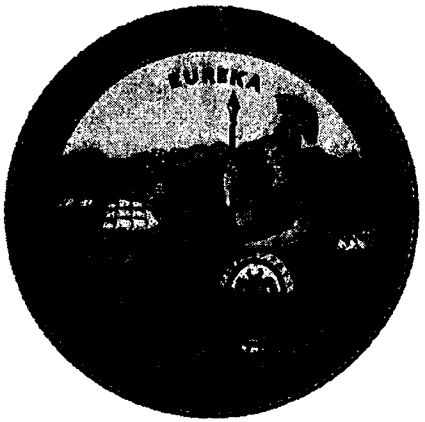
New Business Processes
in the
RESD Organization



Real Estate Services Division
Department of General Services

New Business Processes
in the
RESD Organization

September 29, 1997

Real Estate Services Division
Department of General Services

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Introduction

The new organization for the DGS Real Estate Services Division is now in operation. Although many of the day-to-day activities involved in project managing, leasing, designing, constructing and maintaining State facilities, and managing DGS-owned/controlled buildings have not changed, the new organization structure involves a number of new and revised business processes. This document summarizes the work of several RESD process development teams who met over a number of months to design these new or changed business processes.

A Division Approach

The business processes described in this document are designed to be taken as a whole. Although individual sections may be perceived as being focused on one Branch or another, the processes will not work well in isolation. They need to be considered together with the other processes that reflect how the Branches interact to carry out all of RESD's goals and objectives. Although each Branch has its responsibilities in meeting those goals and objectives, the ultimate measure of success is how well the Division performs as an integrated whole.

An Evolving Document

It is important to recognize that this is Version 1 of this document. It is expected to evolve over time as more experience is gained with the workings of the new structure. These processes have been outlined as a starting point. We want them tested and analyzed for effectiveness. We are looking to refine them. Your concepts are welcome and should be submitted to the BOPP Policy, Planning and Processes Unit.

Organization Goals

An appropriate organization structure stems in part from the vision for the organization embodied in its Goals & Objectives. Each goal should address a single theme, and although applying multiple goals may sometimes require balancing, the individual Goals and Objectives should be generally compatible with one another. The following is a summary listing of the goals and objectives for RESD's organization and processes.

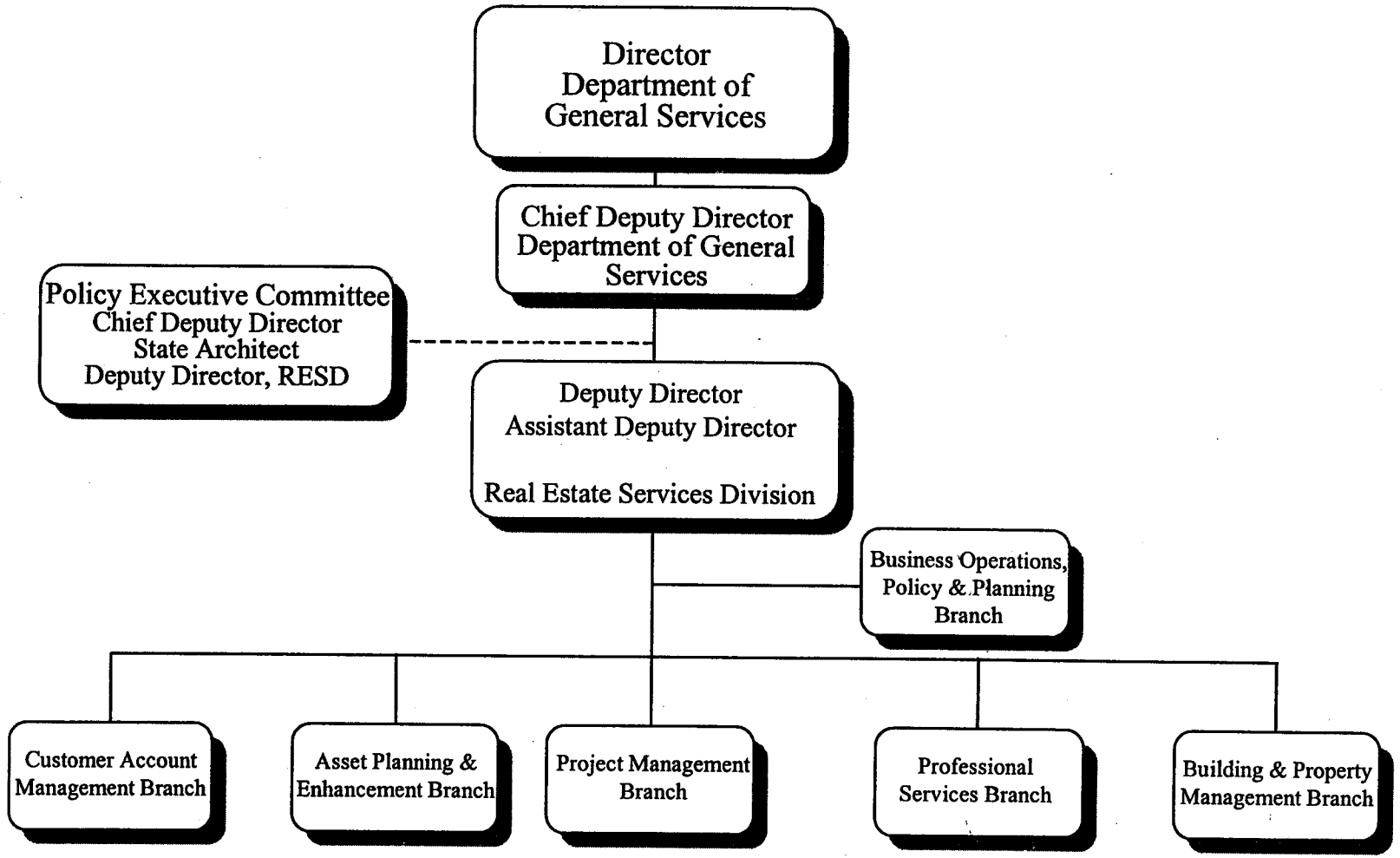
- Provide effective and quality customer service
- Develop a leadership culture in RESD
- Establish and maintain a cooperative culture in RESD
- Establish and update measurements and accountability for performance
- Establish and maintain mechanisms for continuous improvement
- Employ integrated systems and technology
- Collaboratively define and provide appropriate workspace to meet the State's needs
- Optimize the use of taxpayer financial resources
- Employ best asset management practices
- Promote quality urban design through effective development of State facilities representative of State government
- Update and implement State real estate policies
- Update and implement State real estate standards

Organizing Principles

Development of the new RESD structure was based on a number of organizing principles. These principles flowed from the Goals and Objectives, the best practices found in other governmental agencies and the private sector, and the need to improve some of the existing DGS practices. The principles directly affecting the RESD structure are summarized below. **Each individual and Branch has an obligation to support one another in carrying out these organizing principles.**

- Organize for Effective and Quality Customer Service
- Eliminate Duplication Without Losing Functionality
- Separate Customer Service Functions From Policy and Control Functions
- Create a Consolidated Professional Services Entity with Strong Continuing Management
- Establish a High-level Executive Group to Coordinate Policy, Confirm State-wide Strategic Plans, and Resolve Conflicts Between Control and Service
- Employ Best Asset Management Practices
- Update and Implement State Real Estate Policies and Standards
- Consolidate Project Management Functions
- Consolidate Lease Administration Functions
- Maintain Local Building Management Capabilities for DGS Controlled Facilities
- Consolidate Common Support Services
- Employ Integrated Systems and Technology
- Integrate Energy Assessment Functions With Other Professional Services

Organization Structure



Summary of Organization Structure

RESD reports to the DGS Director through the Chief Deputy Director. In addition, there is a Real Estate Policy Executive Committee, composed of the DGS Chief Deputy Director, the State Architect, and the Deputy Director, RESD.

The overall organizational structure for RESD includes the Deputy Director and Assistant Deputy Director, and six main Branches: Customer Account Management (CAM), Asset Planning and Enhancement (AP&E), Project Management (PM), Professional Services (PS), Building and Property Management (BPM), and Business Operations, Policy and Planning (BOPP). A brief description follows of each of these organizational elements.

The Real Estate Policy Executive Committee

The Policy Executive Committee is a top-level executive group that sets priorities for the real estate programs, coordinates the approval of plans and policies with the Agency and the Governor's Office, and seeks input from other State departments and agencies. The Policy Executive Committee also resolves any conflicts between customers and DGS Real Estate Services that cannot be resolved by the appropriate CAM working with the Branches and the customer.

Deputy Director, Real Estate Services

The Deputy Director is the top real estate services position in DGS with full responsibility for provision of customer service, real estate asset management, project management, professional services, building management and internal support services.

Assistant Deputy Director, Real Estate Services

The Assistant Deputy Director assists the Deputy Director in providing the day-to-day management required in running the division.

Branch Chiefs

The six Branch Chiefs report to the Deputy Director. They include the following.

Customer Account Management (CAM)

The CAM is the initial point of contact with the customer and is the single point of entry for requesting any new services.

Asset Planning and Enhancement (AP&E)

Asset Planning and Enhancement has overall responsibility for managing the State-wide real estate assets. The Branch includes Regional Portfolio Management, Policy and Standards, and Long Range Planning, Economic Analysis and Asset Enhancement.

Project Management (PM)

Certain projects will be managed by Project Directors in the Project Management Branch. Each Project Director has overall responsibility for all project activities once a project is defined. They are responsible for seeing a project through from beginning to end, regardless of project size or type. The Project Directors assemble resources for their projects from the RESD Professional Services Branch and/or from outside contracts.

Professional Services (PS)

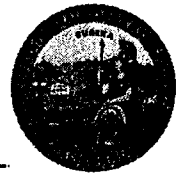
The Professional Services Branch includes all of the architectural and engineering services, space planning and interior design, leasing and acquisitions, construction, energy, and environmental services and other related capabilities within DGS. Professional Services has the responsibility and accountability for providing responsive and cost-effective services to RESD customers. For certain projects that meet criteria as set forth in the business processes, management would be provided by the Professional Services Branch.

Building & Property Management (BPM)

Building and Property Management is responsible for managing state-owned buildings and property under DGS control. It also provides services to properties of other State agencies where geographic location allows economic and effective operations. BPM provides for building administration, operations, maintenance, janitorial, groundskeeping and repair activities necessary to support customer needs for buildings and grounds.

Business Operations, Policy and Planning (BOPP)

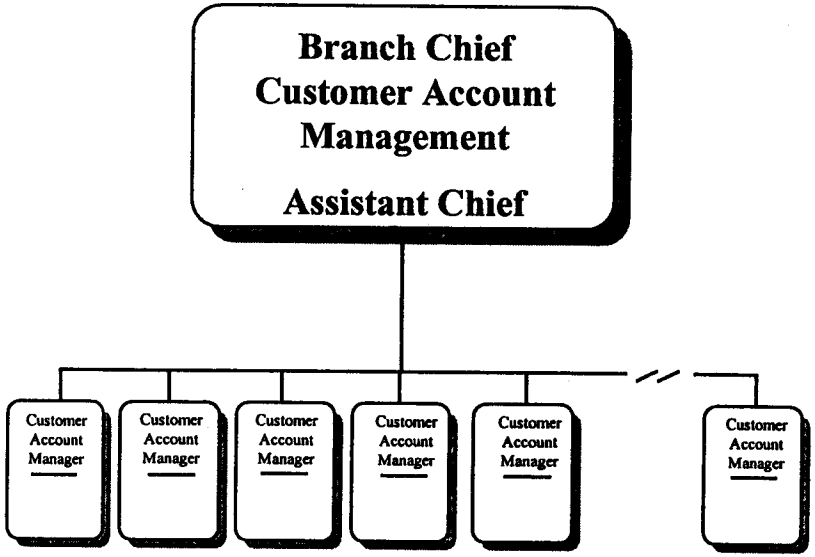
The Business Operations, Policy and Planning Branch provides common functional support to the Division line activities for services not effectively provided at the Departmental level. The focus is on service to the line organizations. Services include human resources, business services, contract administration, RESD financial management and budgeting, customer billing, information systems, performance monitoring and reporting, continuous improvement, and other general support.

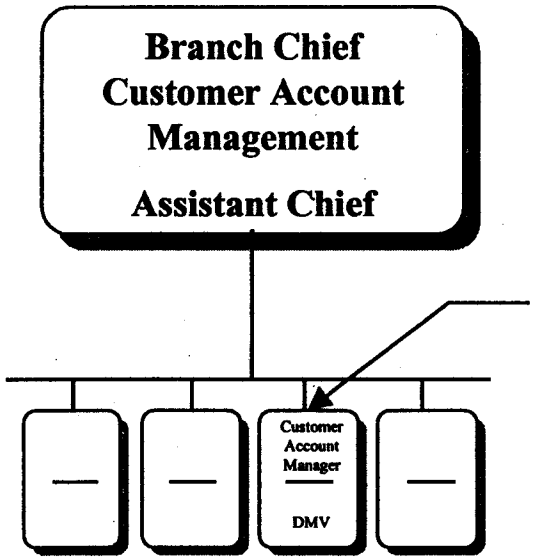


Organizational Structure
Roles & Responsibilities

Customer Account Management

The Customer Account Management function derives from the objective of quality customer service. The Customers should not have to navigate their own way through the complexities of the State Real Estate processes and procedures. The CAM will provide that knowledge and will be aware of their programs and projects. The CAM will assist them in defining the appropriate steps to best meet their needs, and provide overview and reporting on all the Customer's current activities within RESD. The RESD organization also needs a conduit to the Customer to be able to present new programs and approaches to RESD services. Finally, when problems arise in the course of day-to-day activities, the Customer needs an individual to advocate their viewpoint within the RESD decision making process.





Branch Chief - Customer Account Management Responsibilities

- *Provides overall leadership and direction for the Customer Account Management Branch*
- *Provides advice and counsel to RESD Executive Policy Committee on matters relating to customer account management*
- *Participates in the preparation of the budget for the Branch and manages the budget*
- *Establishes Policy and Guidelines for the Branch*
- *Plans, organizes and directs staff to assure that the projects are managed within the project parameters to the satisfaction of the Customers*
- *Maintains necessary liaison with the Governor, Legislature and other appropriate governmental and private-sector entities*
- *Establishes performance goals for the Branch and ensures that the performance goals and financial plan are met.*

Customer Account Manager

- *Develops an understanding of the Customer's business.*
- *Develops knowledge of DGS Real Estate Services.*
- *Undertakes and maintains a high-level customer relationship.*
- *Manages requests for facilities or services.*
- *Assists Customer in defining needs.*
- *Provides support during the definition/approval of the Project, including: Scope, Quality, Schedule, Budget, Location.*
- *Provides summary reporting on projects to all Customers.*
- *Responds to inquiries/problems - facilitate problem solving.*
- *Identifies and refers new business opportunities.*

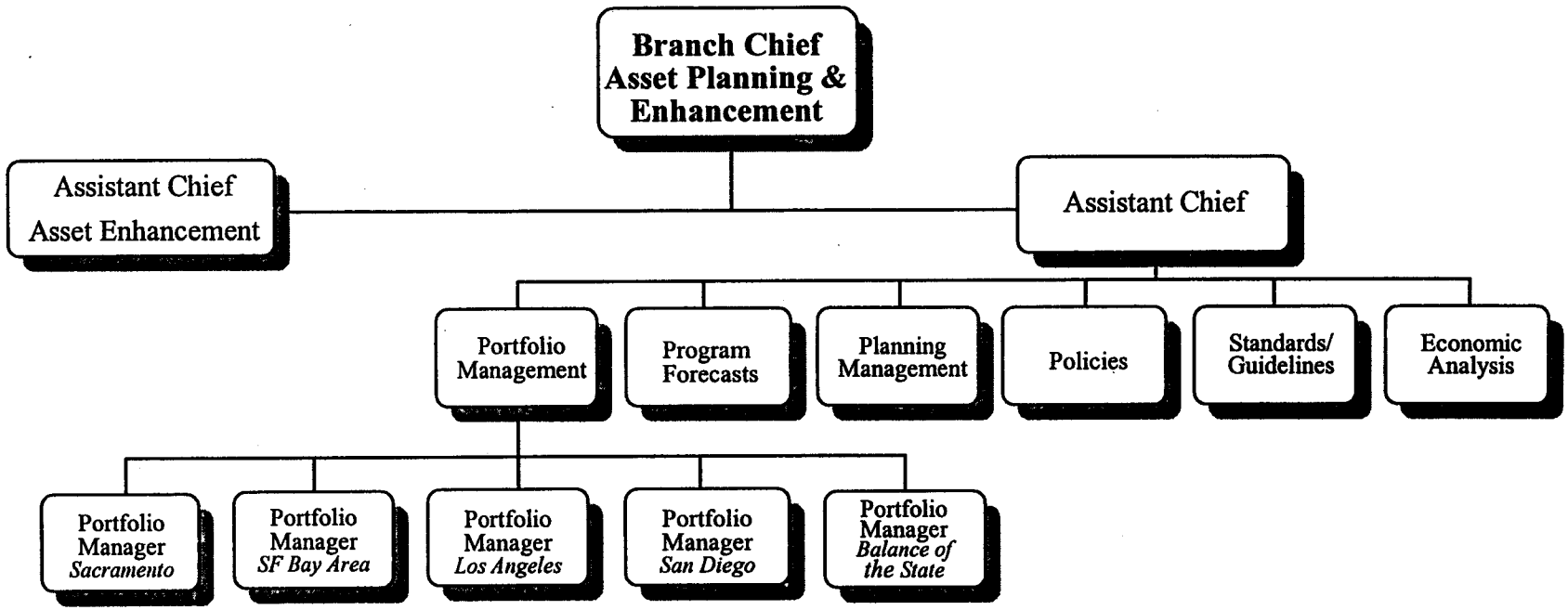
Customer Account Management Function

Customer Account Management is the primary interface between the the customers and the Real Estate Services Division. Customer Account Managers (CAMs) are assigned to one specific customer or group of customers and, throughout the real estate process, represent the needs of that customer to the Division and the full services of the Division to the Customer.

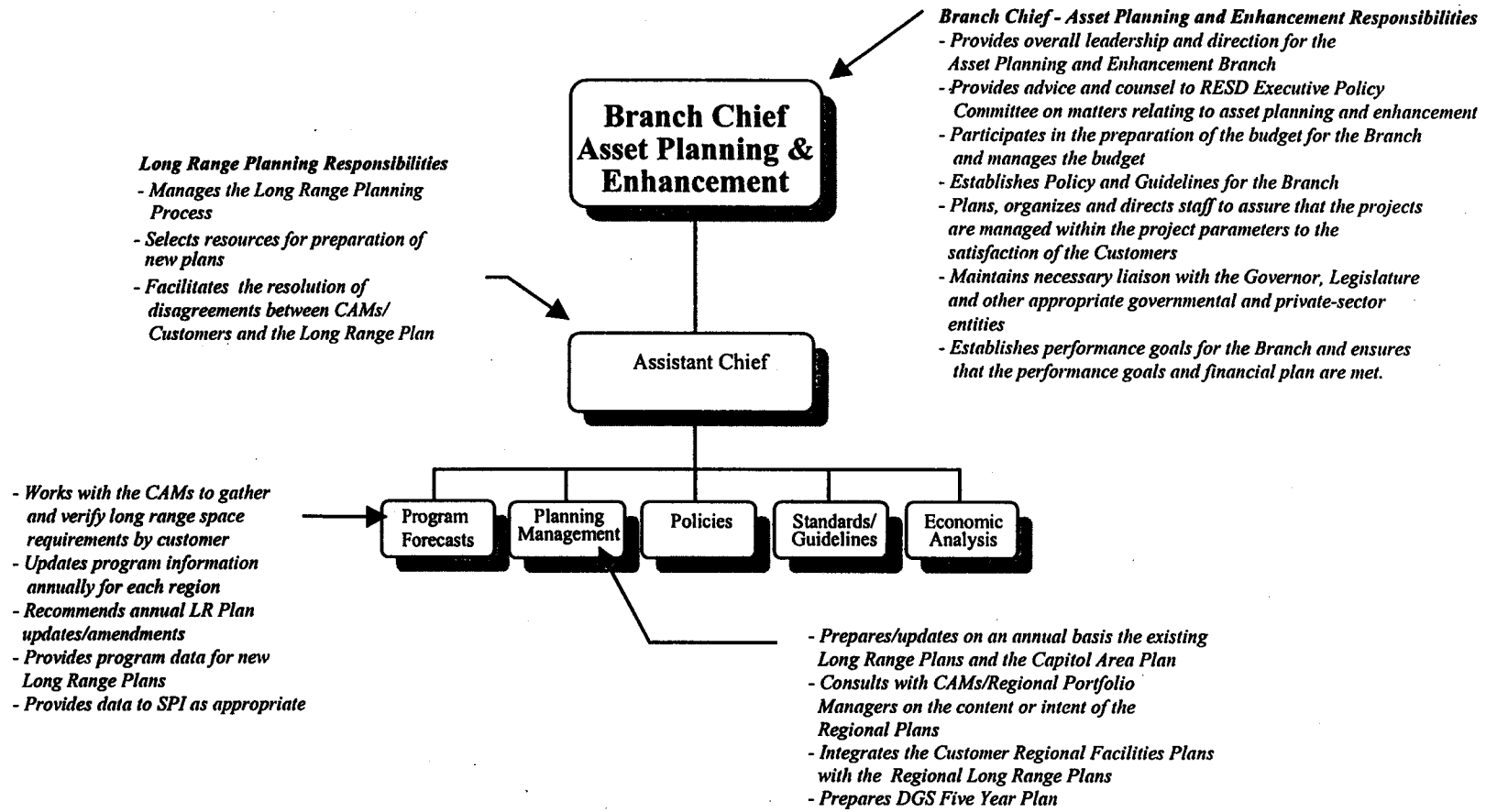
Asset Planning & Enhancement

Asset Planning and Enhancement is a forward-thinking organization responsible for maximizing the performance of State real estate assets. It accomplishes this goal through two inter-related operational Sections:

- Long Range Planning/Policy & Standards and Portfolio Management
- Asset Enhancement

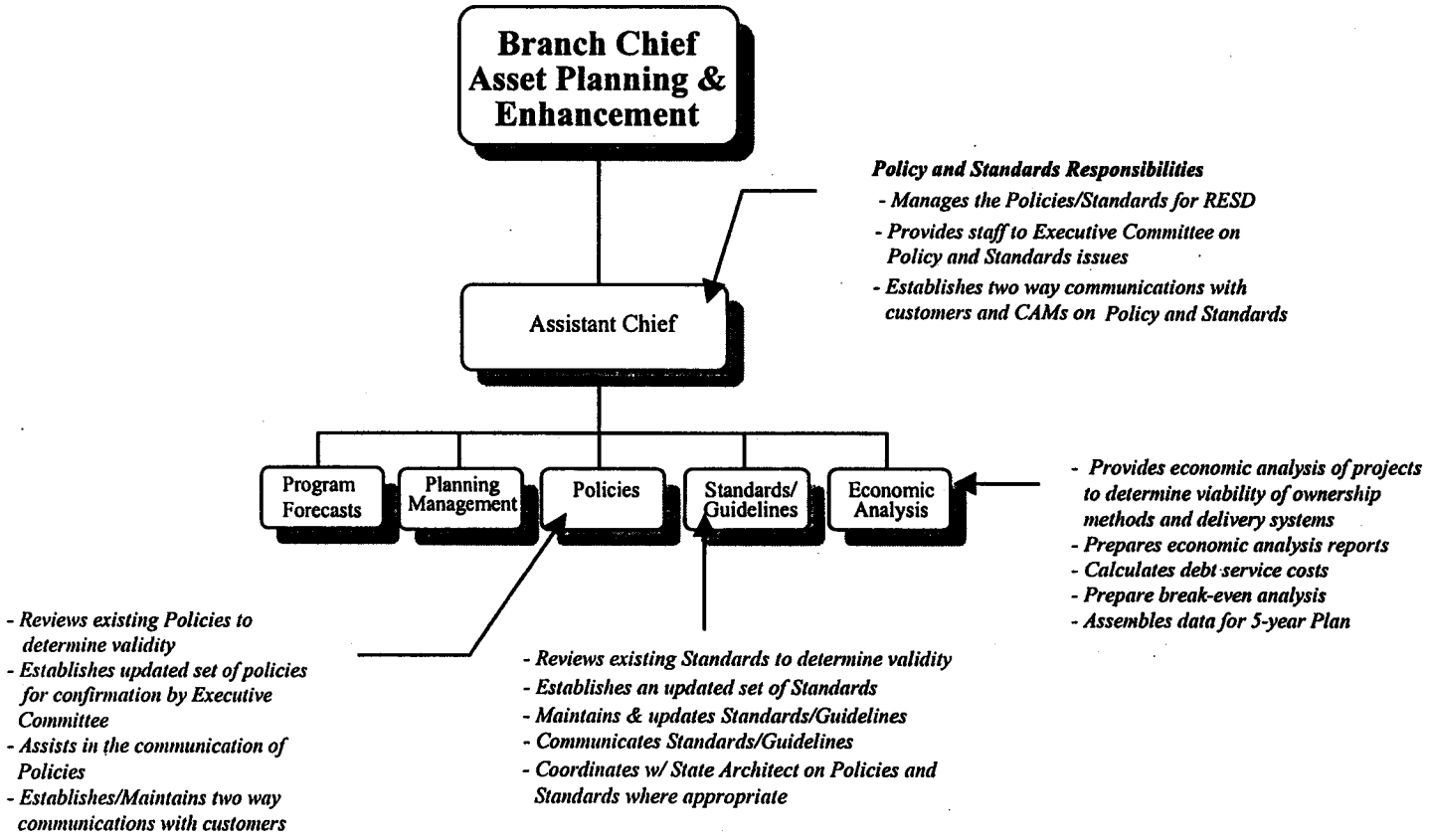


Long Range Planning



Long Range Planning Function:

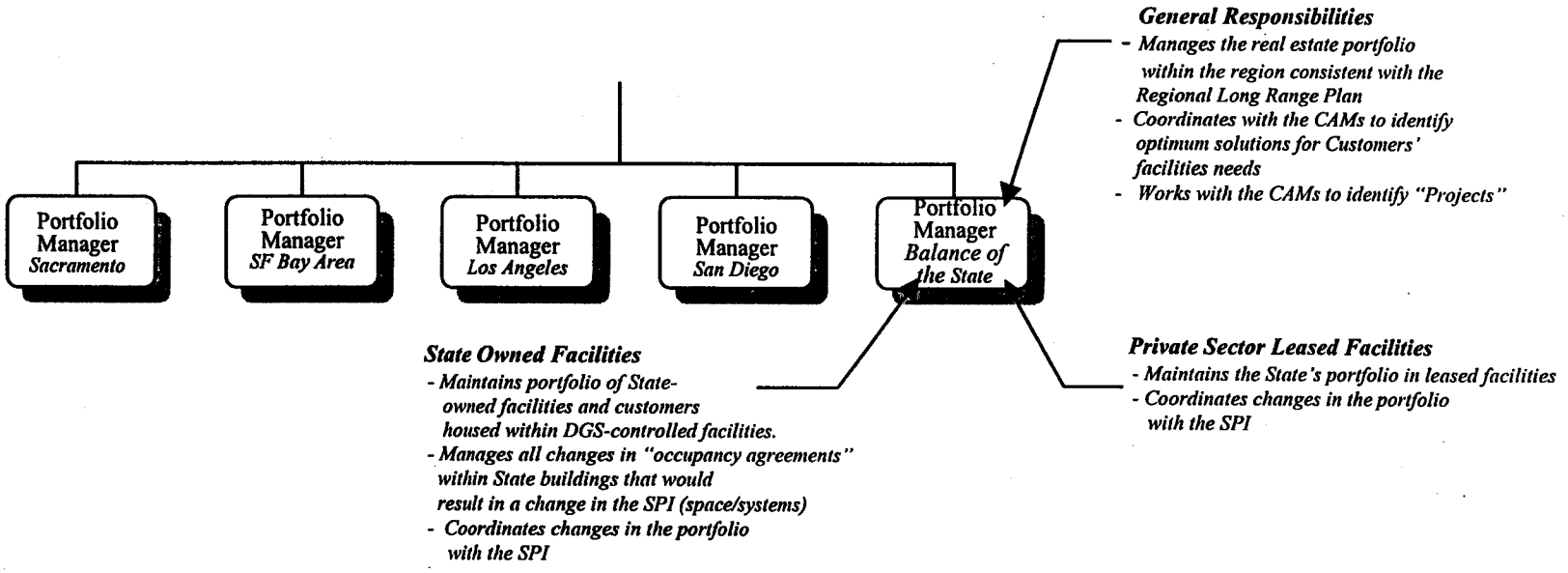
Long Range Planning is responsible for aggregating information on future State government trends and needs and developing a State-wide real estate asset management plan by region. This unit works with customers and other stakeholders to develop approved forecasts for future space requirements. It verifies space forecasts against other projections for governmental services and the size of State government. It also provides long-term forecasts of capital requirements for State facilities and economic analysis.



Policy and Standards Function:

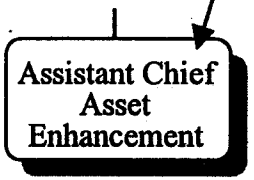
This unit reviews existing Policies and Standards and proposes new ones. It works with Professional Services, the Regional Portfolio Managers, the Project Managers and Building and Property Management to ensure a clear understanding and usability of the policies and standards. This unit would be responsible for updating existing real estate policies and standards.

Typical for all Regions



Portfolio Management Function:

This unit contains the Regional Portfolio Managers, one for each region. The Regional Portfolio Manager is responsible for the primary asset management functions. The Regional Portfolio Manager interacts with the Customer Account Manager and the other Branches to match customer requirements with opportunities based on the regional plans and portfolio activity. The Regional Portfolio Manager is responsible for implementing the regional plan, monitoring the regional real estate portfolio, and maintaining knowledge of the local commercial real estate markets in the Region. The Regional Portfolio Manager has the responsibility to assure that the aggregate use of assets optimizes application of taxpayer resources within the region.



Assistant Chief - Asset Enhancement
Manages the process of enhancing the value of the State's real estate assets that have been identified through the Long Range Planning process as being under-utilized, excess or surplus and have the potential for significant increase in value prior to disposition, including:

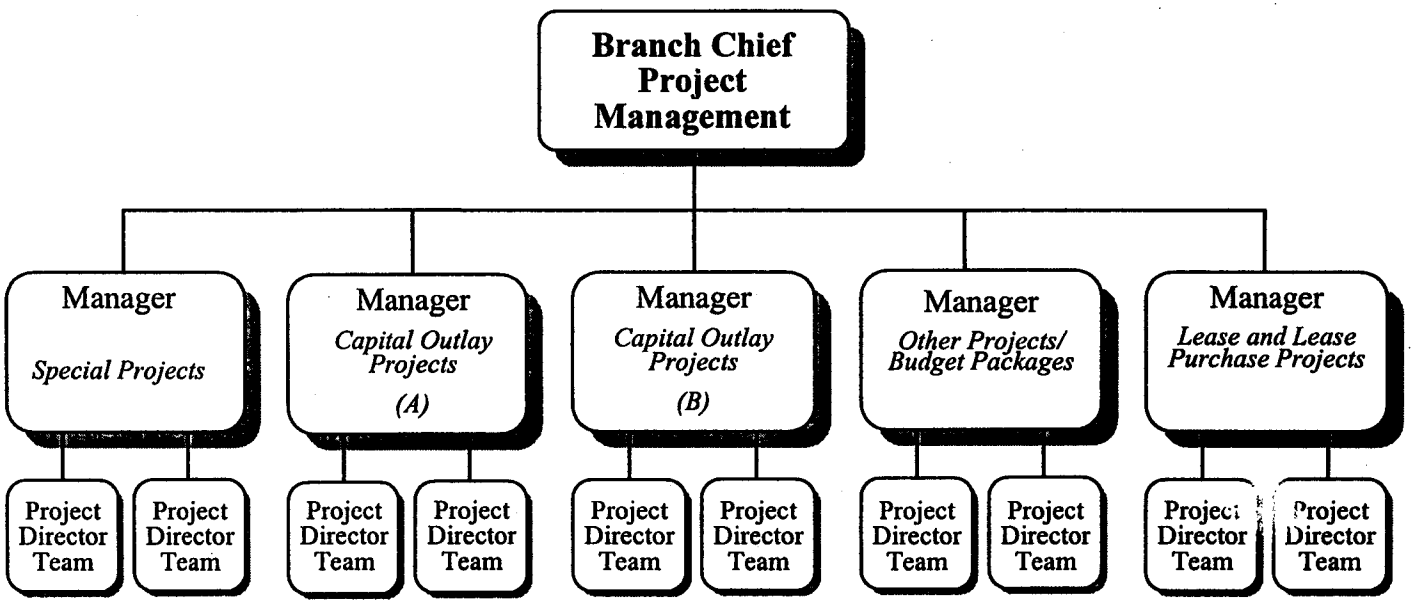
- ***Analyzing Site Potential (Highest & Best Use)***
- ***Obtaining entitlements to achieve higher use***
- ***Identifying/implementing infrastructure programs***
- ***Developing disposition strategy including phasing***
- ***Managing the disposition process***

Asset Enhancement Function:

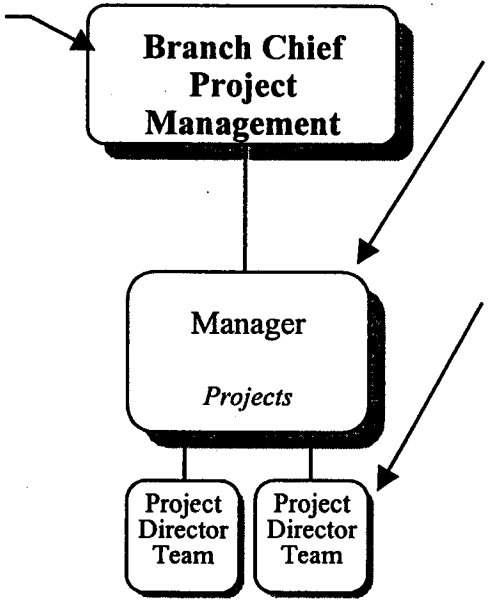
Manages the enhancement of the value of the State's real estate portfolio where the Long Range Planning process or the Portfolio Manager identifies a real estate asset that is not required to meet the long range State goals, yet has the potential for a significant increase in value prior to disposition.

Project Management

Project Management is an organization with Project Directors working collaboratively to manage the quality, scope, budget and schedule of all projects assigned to the Branch. The Branch is organized into teams to ensure mentorship, support and oversight of the Project Directors at all levels.



Branch Chief - Project Management Responsibilities
- *Provides overall leadership and direction for the Project Management Branch*
- *Provides advice and counsel to RESD Executive Policy Committee on matters relating to project management*
- *Participates in the preparation of the budget for the Branch and manages the budget*
- *Establishes Policy and Guidelines for the Branch*
- *Plans, organizes and directs staff to assure that the projects are managed within the project parameters to the satisfaction of the Customers*
- *Maintains necessary liaison with the Governor, Legislature and other appropriate governmental and private-sector entities*
- *Ensures that Project Management services are of the highest quality and to the satisfaction of the Customer*



Manager
- *Provides overall leadership and direction for a Project Management Team*
- *Ensures that the services are of the highest quality and to the satisfaction of the Customer*
- *Manages assigned Projects*
- *Assist in the the management of the Branch as requested by the Branch Chief*
- *Provides mentorship and oversight to the Project Directors within the Team*

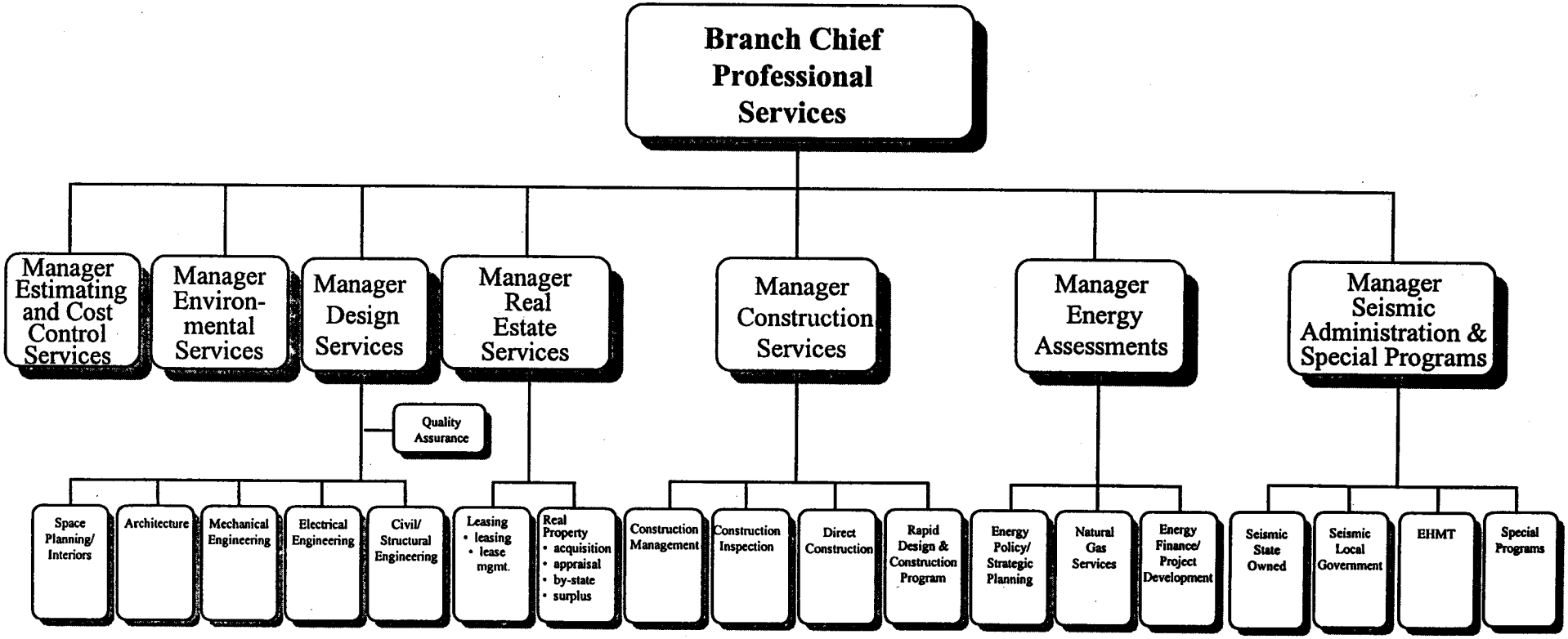
Project Director
- *Assists the CAM and other Branches in defining the "Project" - including location, quality, scope, budget and schedule.*
- *Manages capital or special lease projects to meet the customer's needs within the parameters of designated quality, scope, budget and schedule.*
- *In consultation with the Professional Services Branch, determines who will provide Professional Services.*
- *Manages the process to select professional service providers necessary to complete the project.*
- *Negotiates fees and contracts or service agreements with the professional service entities.*
  - *Directs and monitors the performance of the professional entities to ensure compliance with contracts or service agreements.*
  - *Involves appropriate BPM personnel in the design and construction of the facility.*
  - *Manages the delivery process to ensure the project completion within the Project's scope, quality and budget parameters.*
  - *Manages the transfer of the project to the owner/occupant.*
  - *Manages the financial close out of the project.*
  - *Assists and manage the move in, occupancy, utilities and services contracts, etc. when requested by the Customer.*

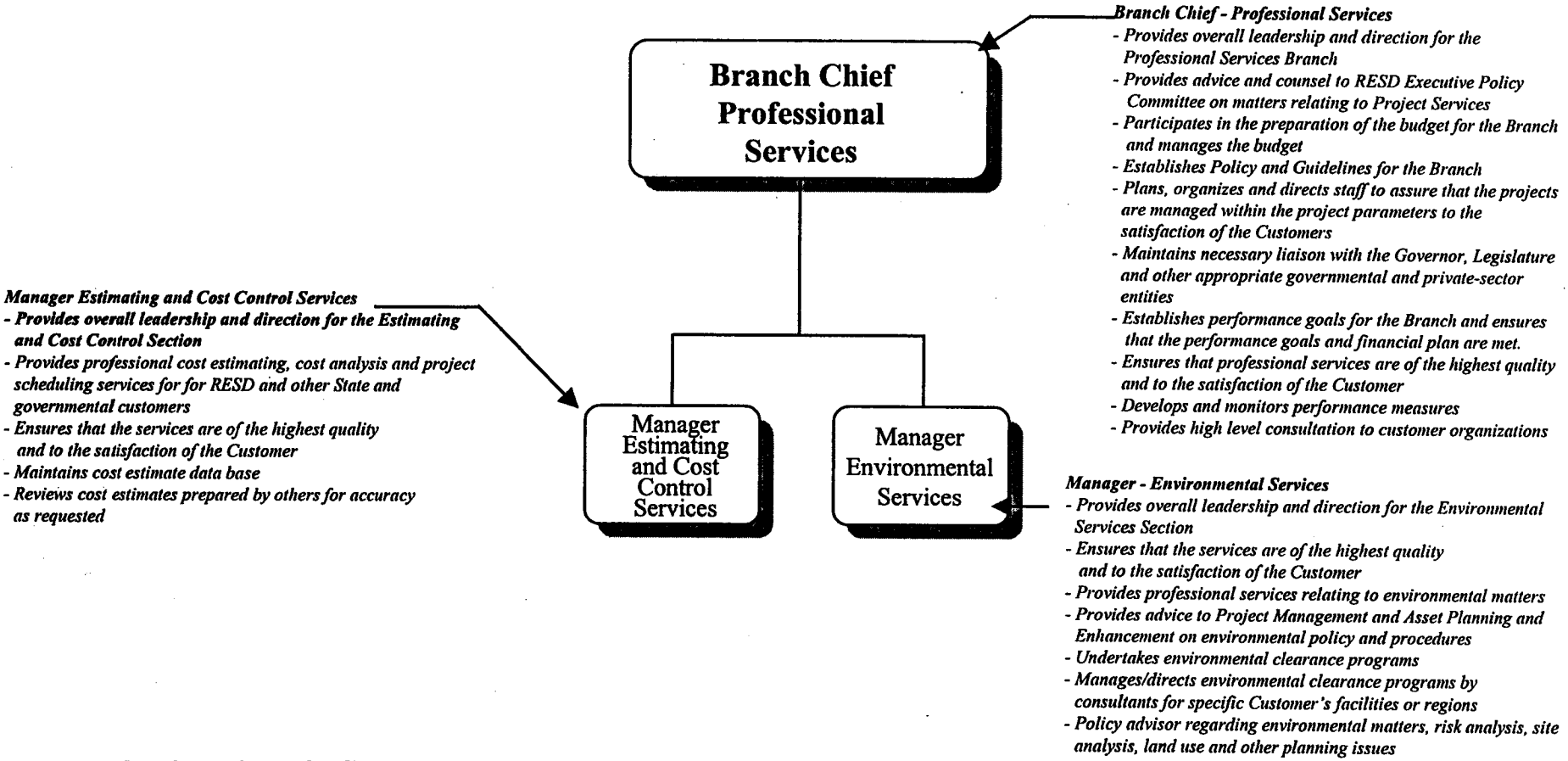
Project Management Function:

Project Management provides the single point of responsibility for overall project management of real estate activities meeting the criteria for being "project managed".

Professional Services

Professional Services is an organization providing a full range of quality services in a timely manner to RESD and other State and governmental customers.



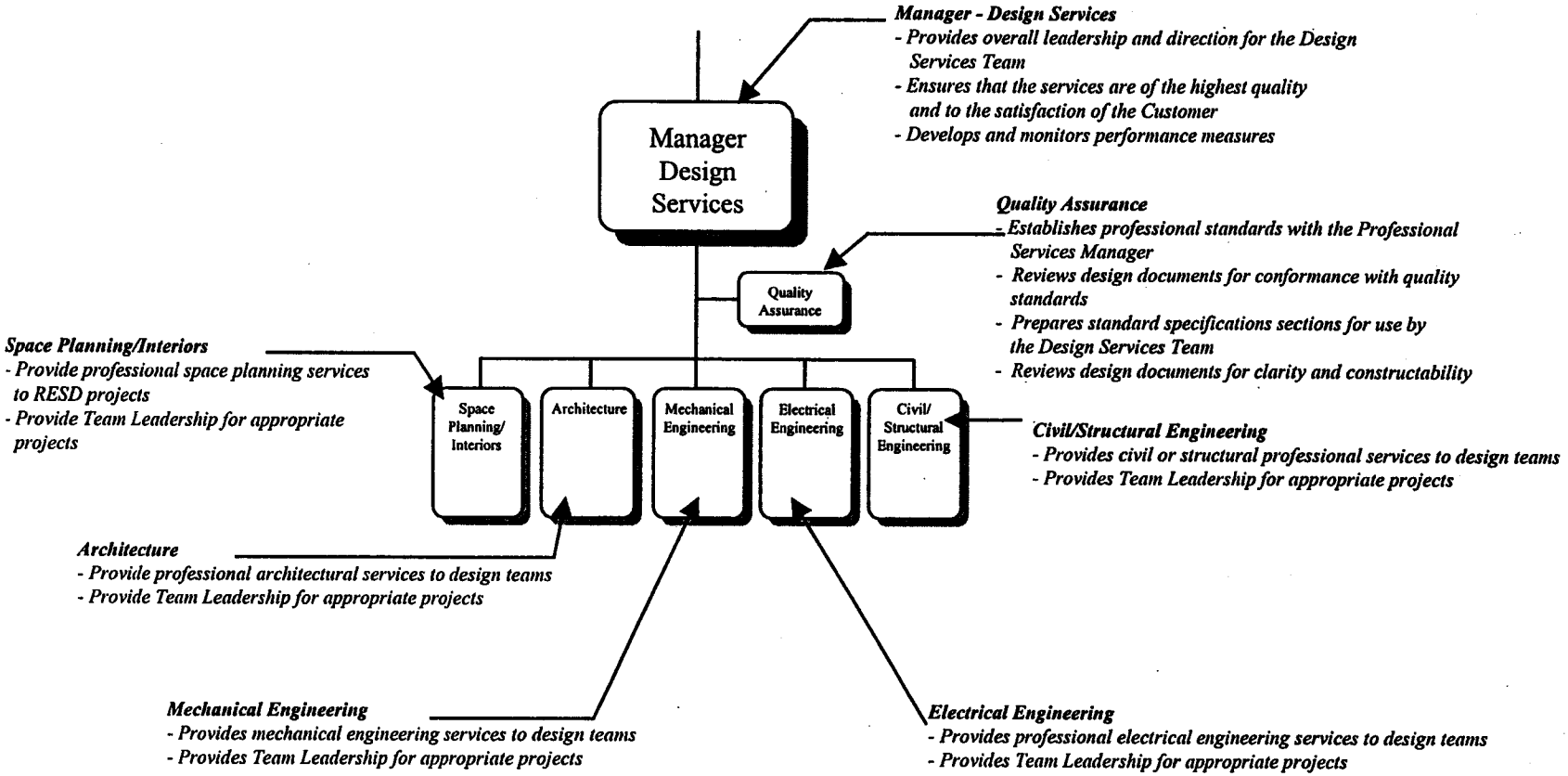


Estimating & Cost Control Services Function:

Estimating and Cost Control Services provide cost estimating/scheduling in support of RESD real estate activities.

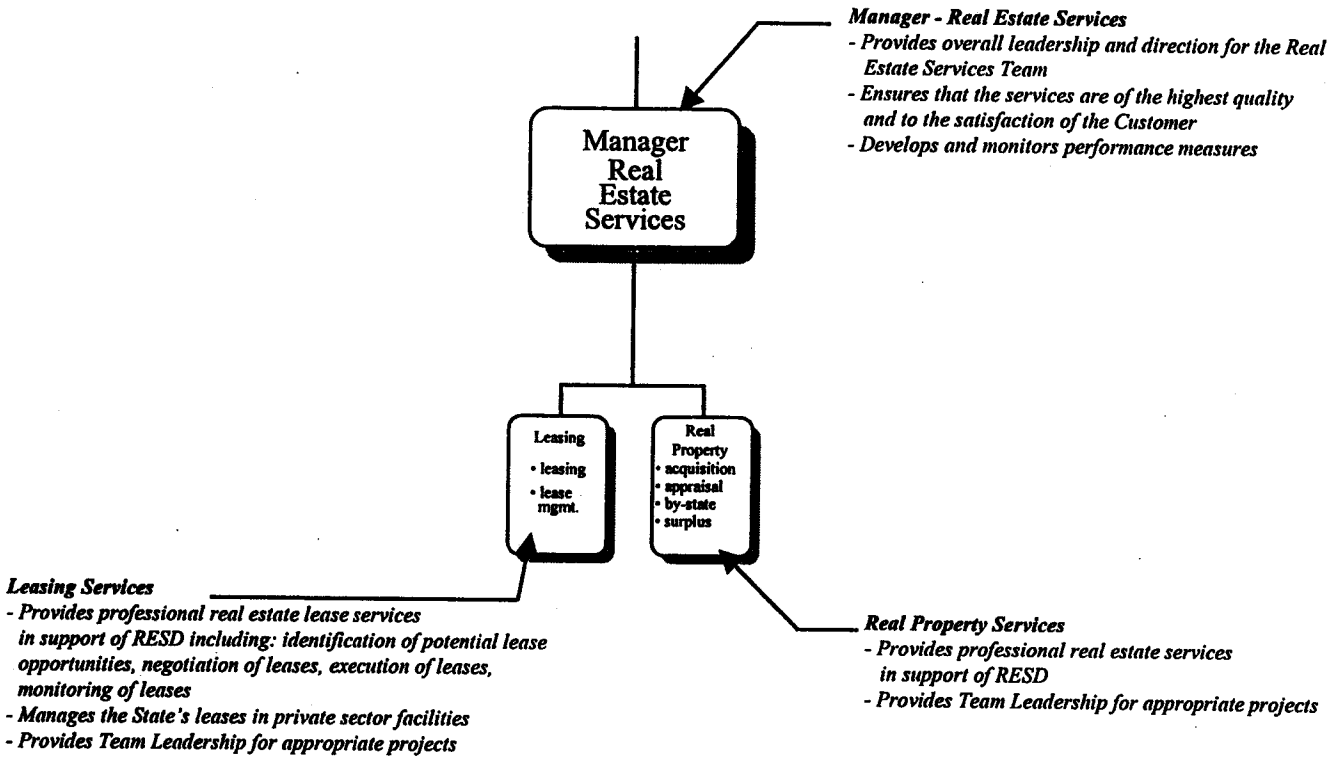
Environmental Services Function:

Environmental Services provide environmental services in support of RESD real estate activities.



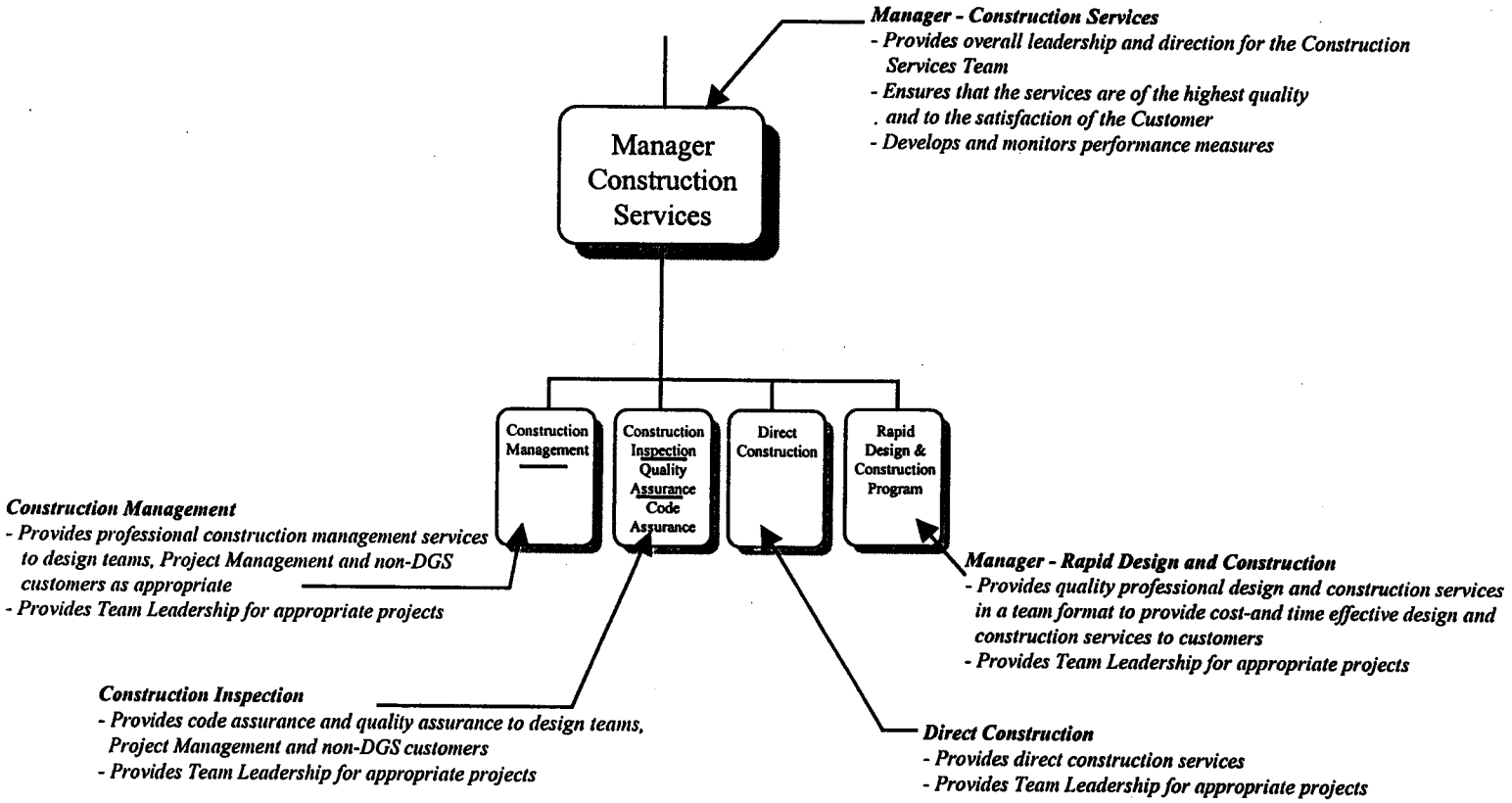
Design Services Function:

Design Services provides professional design services to support RESD and other state agency's real estate activities.



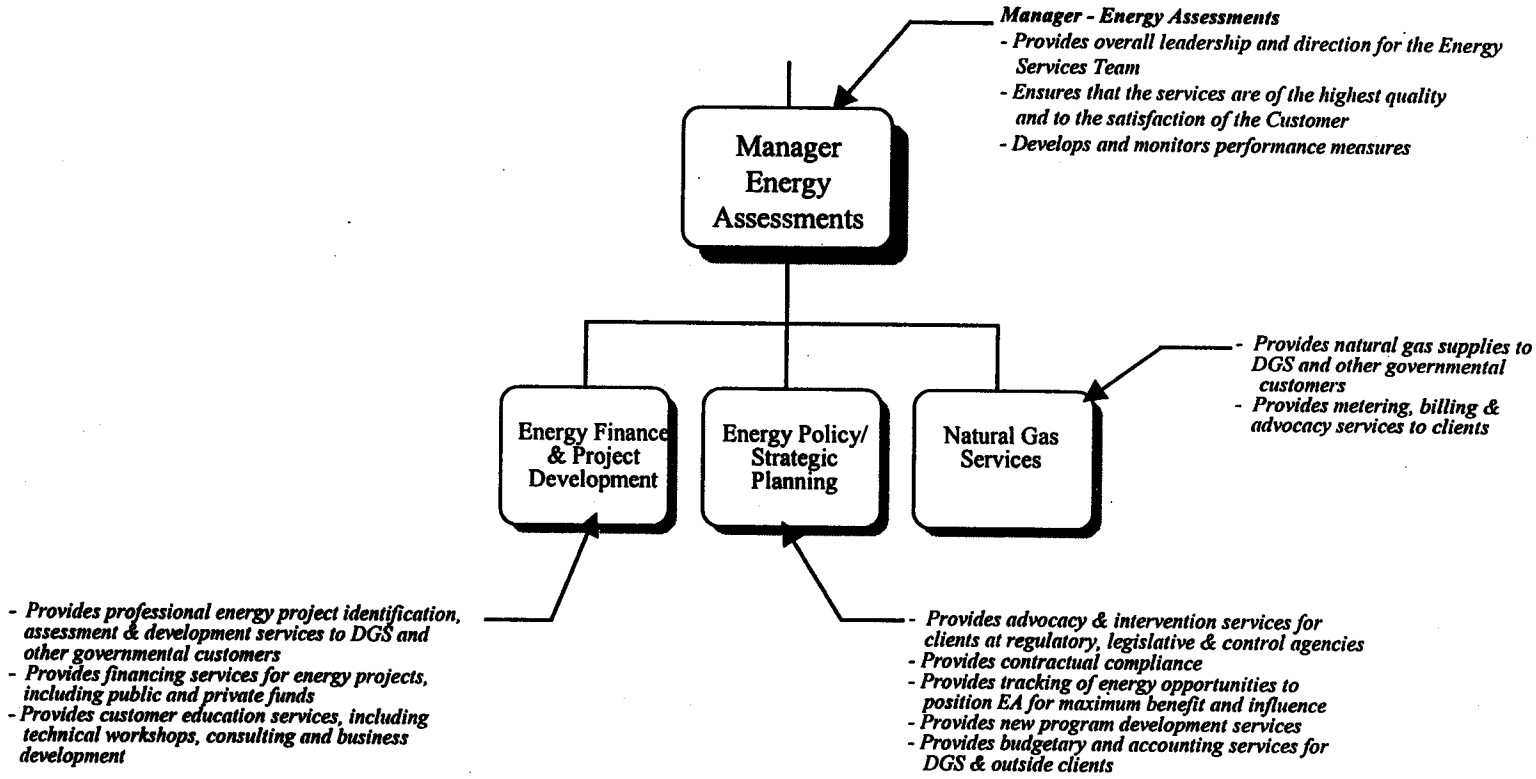
Real Estate Services Function:

Real Estate Services provides professional real estate services in support of RESD activities and other State and governmental customers.



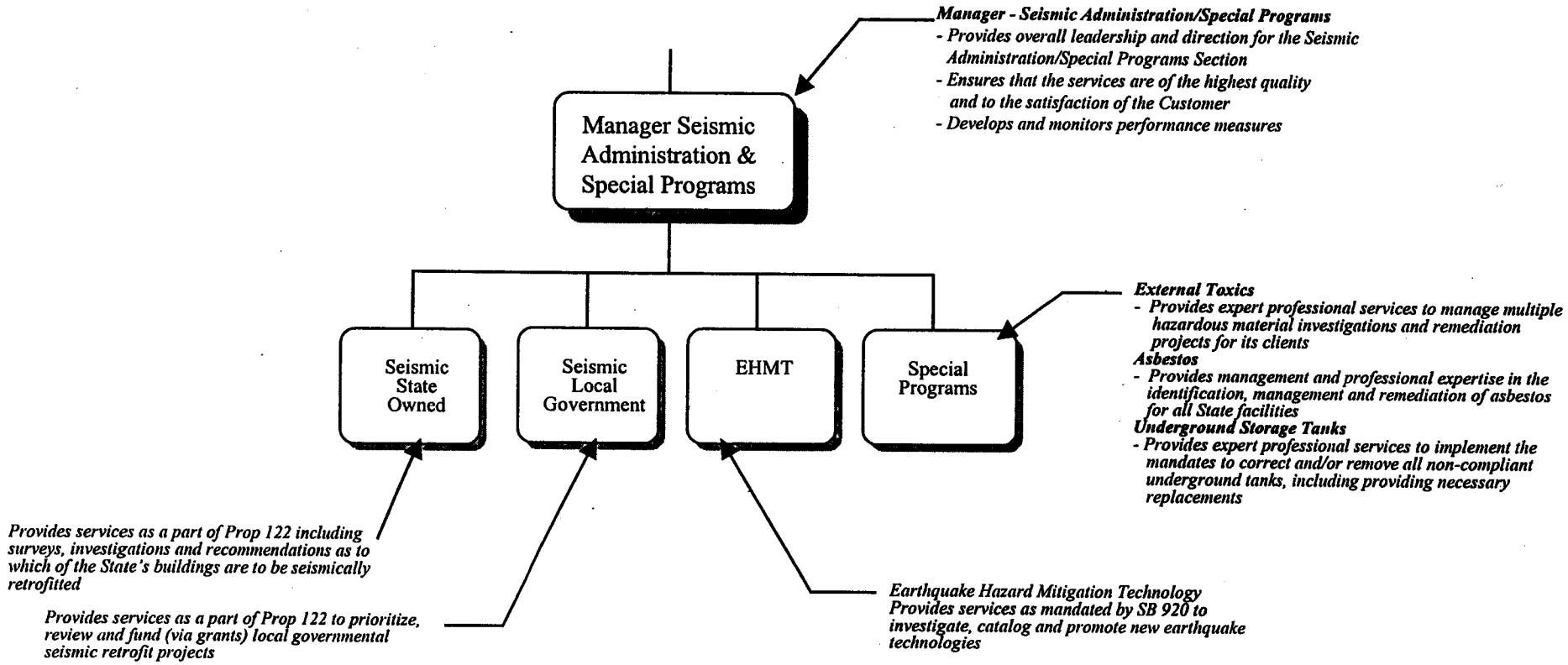
Construction Services Function:

Construction Services provides professional construction inspection, construction management, direct construction and Rapid Design and Construction services in support of RESD and other State and governmental customers.



Energy Assessments Function:

Energy Assessments provides a variety of services relating to the reduction of energy consumption in public buildings and minimizing the cost of energy to the consumer.

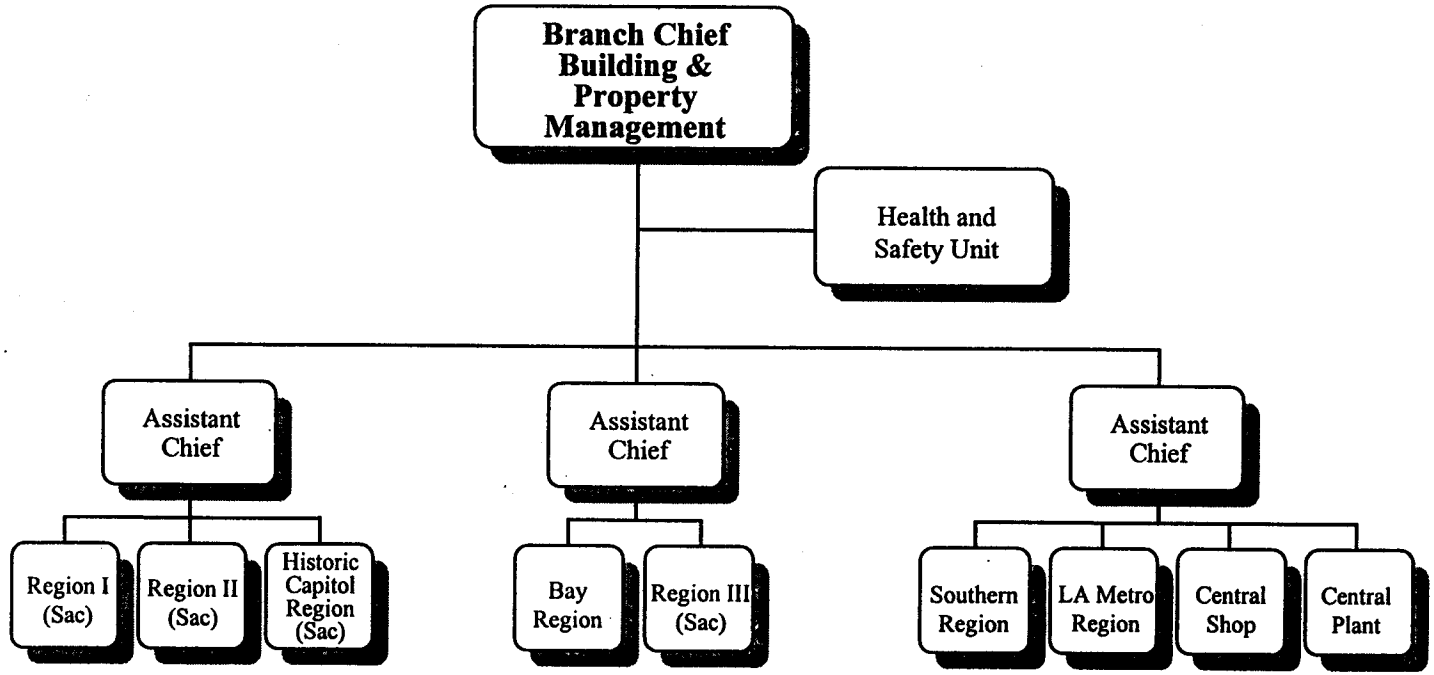


Seismic Administration and Special Program Function:

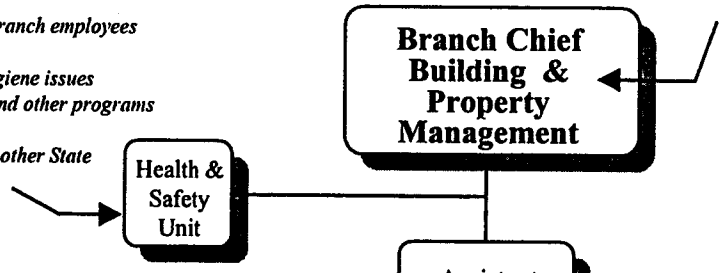
Seismic Administration and Special Programs includes the administration of programs with a defined scope that respond to special programs or needs identified by statewide initiatives, the Legislature or the Governor.

Building & Property Management

Building & Property Management provides the day to day, on-site management, maintenance and operations of DGS controlled buildings, and provides services for properties of other State agencies.



Assistant Chief



Health & Safety Responsibilities
- *Performs industrial hygiene planning for Branch employees and building tenants*
- *Advises building managers of industrial hygiene issues*
- *Administers health and safety inspections and other programs*
- *Provides industrial hygiene training*
- *Provides consulting services for RESD and other State customers*

Branch Chief - Building and Property Management
- *Provides overall leadership and direction for Building and Property Management Branch*
- *Provides advice and counsel to RESD Executive Policy Committee on matters relating to Project Services*
- *Participates in the preparation of the budget for the Branch and manages the budget*
- *Establishes Policy and Guidelines for the Branch*
- *Plans, organizes and directs staff to assure that the projects are managed within the project parameters to the satisfaction of the customers*
- *Maintains necessary liaison with the Governor, Legislature and other appropriate governmental and private-sector entities*
- *Establishes performance goals for the Branch and ensures that the performance goals and financial plan are met.*
- *Ensures that Building and Property Management are of the highest quality and to the satisfaction of the Customer*
- *Develops and monitors performance measures*
- *Ensures that services are completed in a timely manner and completed on budget*
- *Develops and monitors performance measures*
- *Establishes rules and regulations for State office buildings*

Long Range Planning Responsibilities (Operation and Maintenance)
- *Assists Branch Chief with long range planning process Plans for orderly property management of State facilities*
- *Meets with high level State officials to assist with planning for their needs*
- *Develops legislative proposals and recommendations*
- *Provides business development*

Policy, Standards and Administrative Responsibilities
- *Assists Branch Chief with Policies/Standards for Branch*
- *Assists the Branch Chief in planning, developing and administering operation and maintenance of State owned/occupied buildings*
- *Implements fiscal policies*
- *Implements statewide policies and goals*
- *Maintains customer contacts and positive working relationship with other state agencies*
- *Ensures that the services are of the highest quality and to the satisfaction of the Customer*
- *Supervises activities of Building Managers and other units*
- *Represents Branch in collective bargaining*
- *Reviews and approves disciplinary process*

Regional Manager Responsibilities (Common to All Regional Managers)
- *Directs Building Managers responsible for maintenance, custodial operations and repair of state facilities*
- *Prepares and maintains operational control of budget*
- *Administers building health and safety programs*
- *Services customers directly*
- *Directs administrative operations*
- *Directs Building Managers acting as owner's representative on behalf of all tenants in DGS-controlled buildings*

- *Plans work and directs operations of centralized maintenance and repair facility for state buildings*
- *Prepares and maintains operational control of budget*
- *Administers shop health and safety programs*
- *Services customers directly*

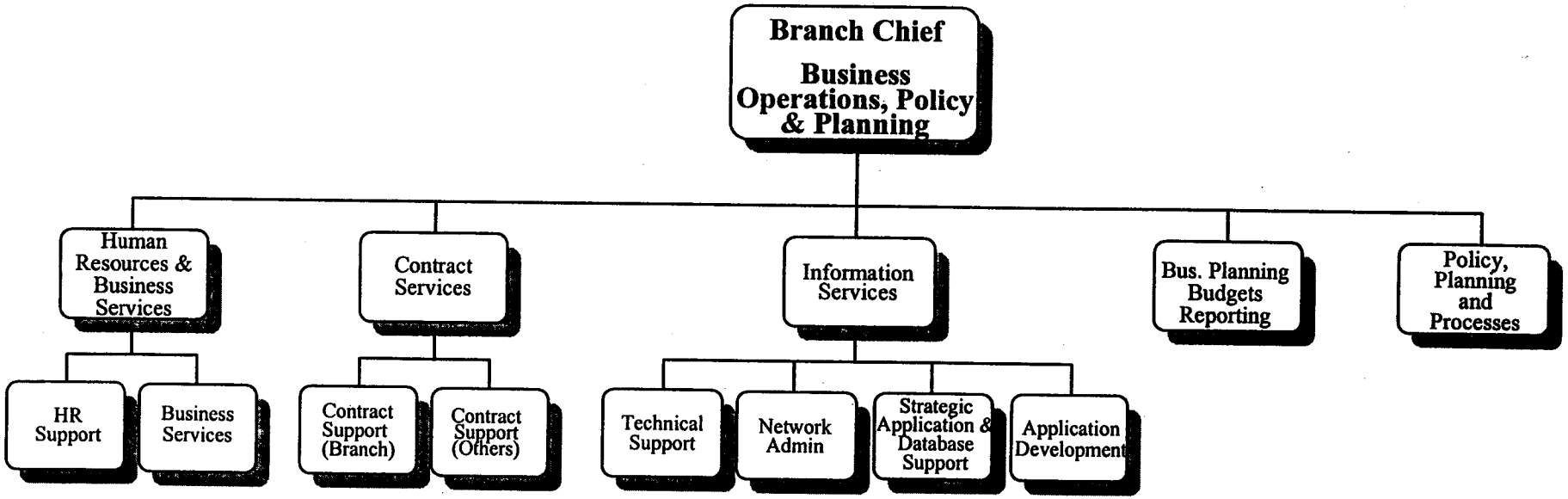
- *Plans work and directs engineering operations, maintenance and repair for centralized heating and cooling plant*
- *Prepares and maintains operational control of budget*
- *Administers plant health and safety programs*
- *Services customers directly*

Assistant Chief Functions:

The Assistant Chiefs assist in the management of the Branch, and have primary responsibility for the operating regions, long range planning for operation and maintenance, and Building Management Policy and Standards, the Central Shop and the Central Plant.

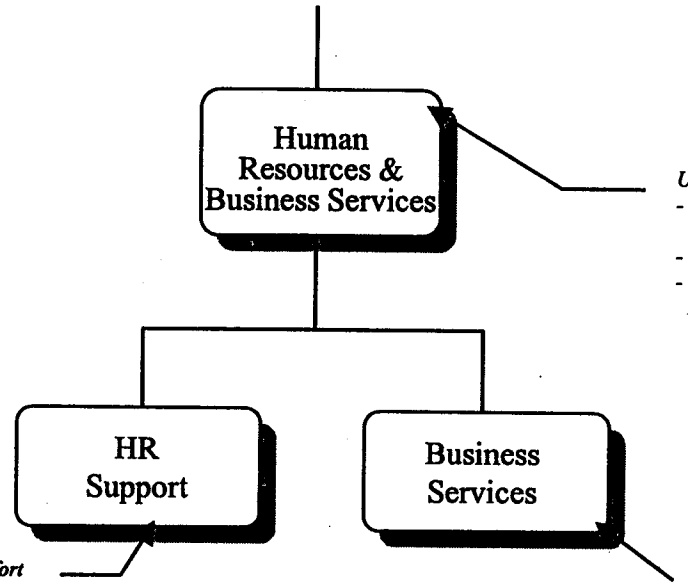
Business Operations, Planning & Policy

Business Operations, Policy & Planning provides the necessary support and administrative services to all elements of the Real Estate Services Division, except for services provided at the DGS Department staff level.



Department HR Responsibilities

- *Responsible for labor relations, including negotiation with labor unions and resolution of grievances*
- *Responsible for determining salaries and classifications, and provides support to Branch for classification changes*
- *Administers adverse action suits*
- *Administers layoffs*
- *Responsible for the training of top management and testing of employees*
- *Administers HR programs*
  - *Employee assistance Program*
  - *Merit Award*
  - *Drug Program*
  - *Worker's Compensation*
  - *Benefits*
  - *Attendance/leave*
- *Provides support to Division in hiring and recruiting*



Unit Responsibilities

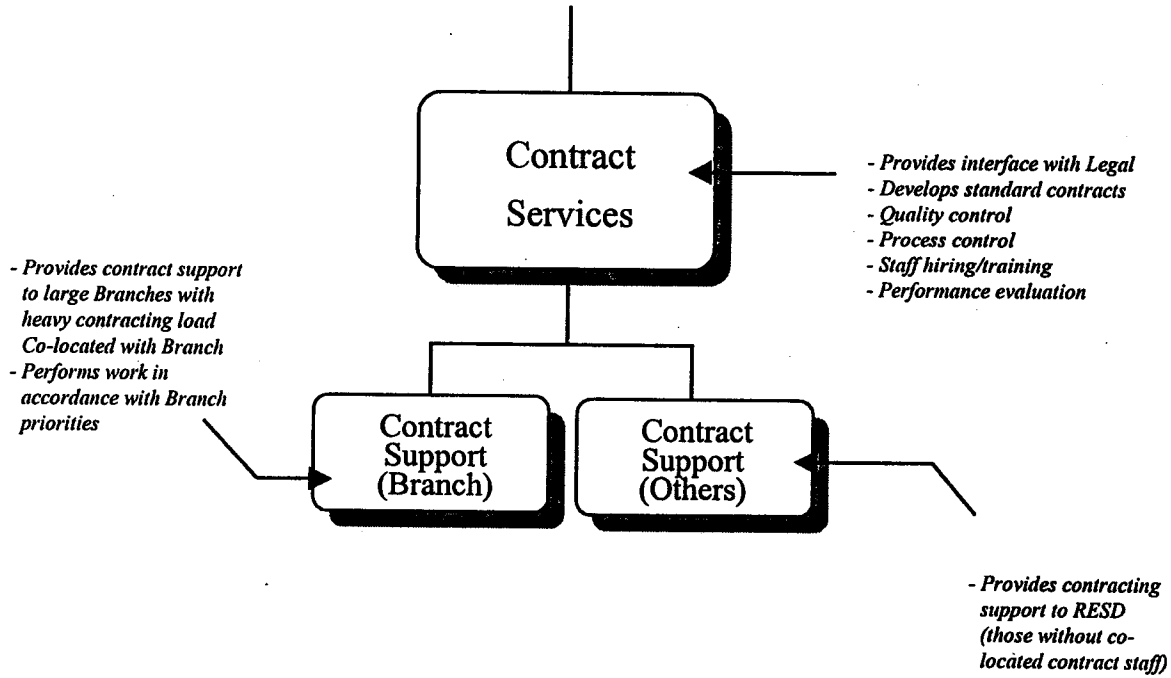
- *Managing, Training and Supervising Local HR Support*
- *Providing Division Level HR Support*
- *Responsible for Business Services Including:*
  - *Telecommunications*
  - *Ordering*
  - *Records Management*
  - *Mail Processing and Delivery*
  - *Blue Charge Cards*

- *Assists hiring and recruiting effort*
- *Facilitates programs for training of employee skills*
- *Assists in class changes*
- *Processes employee grievances*
- *Assists in processing adverse actions*

- *Provides business services at the local level where appropriate*

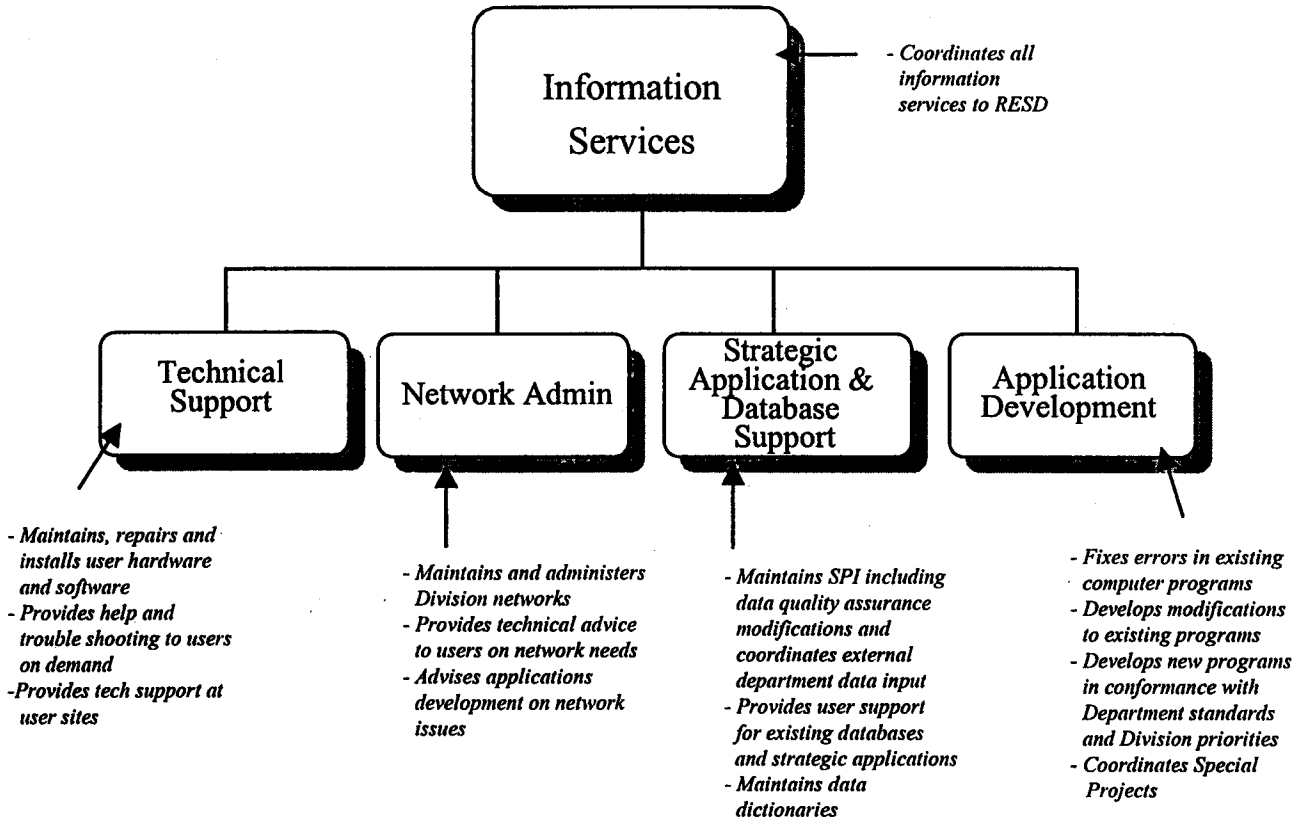
Human Resources and Business Services Functions:

This unit provides a wide range of HR and business services support to the individual RESD Branches.



Contract Services Function:

Contract Services provides all contract administrative support necessary for the Branches to carry out their project and related responsibilities.

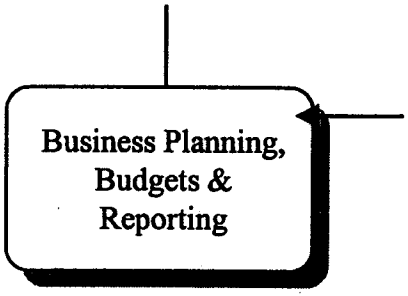


Information Services Functions:

Information Services supports RESD by providing network, hardware and software user support, database administration, strategic applications support, and application development and maintenance.

Department Accounting and Fiscal Responsibilities

- *Responsible for consolidating billings, budgets and business plans*
- *Provides accounting services Payables Billing, receivables Cashier Asset Planning and Enhancement*
- *Produces financial reports Revenue and expense Staff utilization Annual financial statements Budget reports Business plan*
- *Provides fund accounting Availability Transfers*
- *Provides job-cost accounting Expenses Labor*
- *Provides financial information for reconciliation*
- *Administers financial systems*
- *Provides building cost reports*



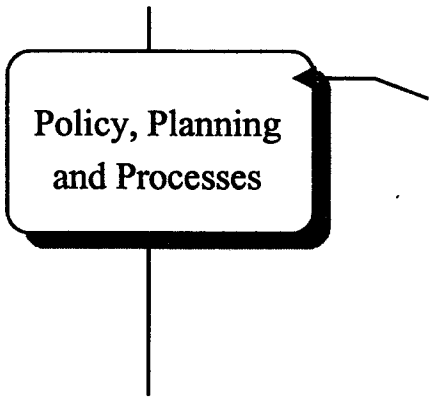
- *Coordinates Divisional budgets and planning*
- *Provides special reports for Division and Branch Management*
- *Assures accurate reporting of business plans, including revenue and expenses*
- *Performs special studies as required*

Note: These functions are provided by BOPP or Branch personnel on a site specific basis

- *Provides inputs to budgets and plans*
- *Provides time reporting inputs*
- *Prepares payables inputs*
- *Prepares special billing inputs*
- *Approves payment of contract invoices*
- *Prepares fund transfer and encumbrance inputs*

Business Planning, Budget & Reporting Functions:

This unit provides the necessary accounting, fiscal and financial reporting services for RESD.



- *Responsible for:*
  - *Coordinating Business Policy Initiatives*
  - *Future business planning studies*
  - *Continuous process improvements*
  - *Developing Performance Measures*
  - *Providing General Administrative Duties*

Policy, Planning and Processes Functions:

This unit supports RESD and Branch management by providing staff support for policy initiatives,business planning, performance measurement and continuous improvement.

Business Processes

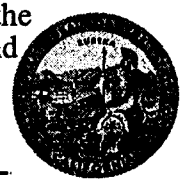
Typical Project Flow - Project Initiated through the CAM

When a Customer identifies a need for space, the Need is transmitted to the Customer's CAM. The CAM enters the new request in the PASS computer system(defined on page 3-18), assists the Customer in documenting the Customer's needs and transmits the package to the appropriate Portfolio Manager within Asset Planning & Enhancement. CAM makes a preliminary determination regarding the Customer's potential to obtain the necessary financing and the required Customer authorizations to proceed. Given a positive determination, Asset Planning & Enhancement reviews the request for consistency with the regional Long Range Plan, which has been prepared with Customer input. If the request is consistent with the Plan (e.g. the request meets the strategic requirements or the project had been through a pre-design feasibility study) it is forwarded to the CAM who updates the PASS computer record, and the project proceeds. If the request is not consistent with the Plan or it not well defined, the Portfolio Manager identifies alternatives to meet the Customer's needs. The Customer selects a preferred alternative and the project proceeds. If agreement cannot be reached on a preferred alternative, the resolution goes first to the Branch Chief of Asset Planning & Enhancement and then to the Executive Committee.

The CAM applies established criteria to determine the Branch that will manage the process (see decision process/criteria, page 3-4). The Project Management Branch selects a Project Manager (or another Branch selects a Team Leader) according the decision process outlined on page 3-9. The Project Manager is confirmed by the Customer through the CAM; however, if the Customer does not concur with the selection the differences are resolved by the appropriate Branch Chiefs or the Executive Committee.

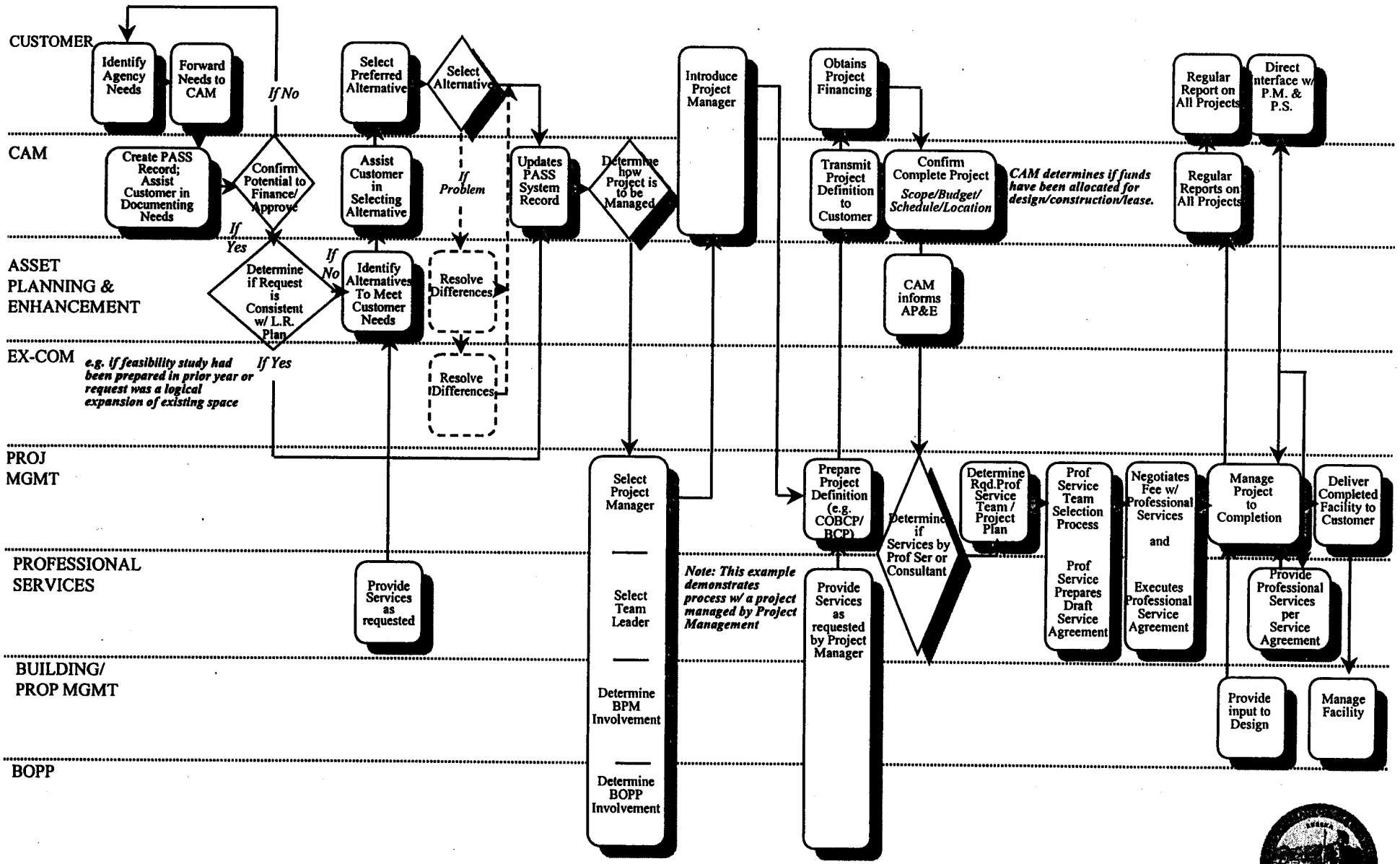
The diagram on the opposite page assumes that a Project Definition Study is required to identify the Scope, Budget, Schedule and Location of the project for the financing process. The Project Manager manages the process of defining the project. Any services required will be provided by Professional Services unless the services are outside its core competencies or adequate capacity to provide the services is not available. During the project definition, the extent of the BPM or BOPP involvement will be determined. Following the completion of the Project Definition Study, CAM transmits the document to the Customer for project financing, with assistance where necessary from Project Management. Once the financing is obtained, Asset Planning & Enhancement receives the package for informational purposes.

The Project proceeds to Project Management for implementation. A determination whether services required to implement the Project will be provided by the Professional Services Branch or a consultant is made by the Project Management and Professional Services Branch Chiefs. If Professional Services is to provide the services, the Project Manager prepares a Project Plan outlining the scope of services required, costs and schedule. Professional Services proposes a working relationship between Project Management and Professional Services through the use of a standardized draft Service Agreement (see page 3-12 for details). Following the negotiation and execution of a Professional Services Agreement, the Project Manager manages the Project, and Professional Services provides services. As indicated in the diagram on the opposite page, it is expected that during the design phases of the work, input to the design process will be provided by Building and Property Management. The Project Manager will provide regular reports to the Customer and to the CAM throughout the course of the Project. Professional Services will have direct interface with the Customer during the period when services are being provided. Project Management delivers the completed facility to the Customer for occupancy and to Building and Property Management for management and maintenance.



General Project Flow and Decisions

Typical Project Flow - Project Initiated through the CAM



Process for Deciding Which Branch will be Responsible for the Management of a New Project - Project Initiated through the CAM

When a Project enters the system through the CAM, the CAM applies the decision criteria to determine the appropriate Branch to manage a project. If the criteria are easily applied, the CAM applies the criteria and makes the assignment. The new computer system (PASS) produces a weekly Project Assignment List for review by the Branch Chiefs. If a Branch Chief disagrees with an assignment, he/she may ask for the decision to be reviewed at the weekly Branch Chief's meeting. If the criteria are not easily applied, the management assignment is made by the Branch Chiefs.

Criteria to Assign Management of a Project

Projects are assigned to the Project Management Group or to Professional Services, Building and Property Management or Asset Planning & Enhancement, depending on whether the Project :

Results in a change to the State's Real Estate Portfolio, and/or

- Meets certain complexity criteria defined below.

Projects that Change the State Portfolio

A Project changes the State's portfolio if it results in an addition, reduction or deletion of workspace, building systems or related facilities, either by construction, lease, lease/purchase, direct purchase, by-state lease or sale.

Complexity Criteria

A Project is considered complex if it:

1. Involves a complex transaction that requires significant professional resources to complete
2. Involves a significant element of work that is outside of Professional Service's core competencies
3. Involves complex financing or funding requiring special handling.
4. Will have significant political visibility
5. Will require extensive interaction with the customer(s) to define scope and/or carry out the Project
6. Will have a difficult time schedule or phasing components

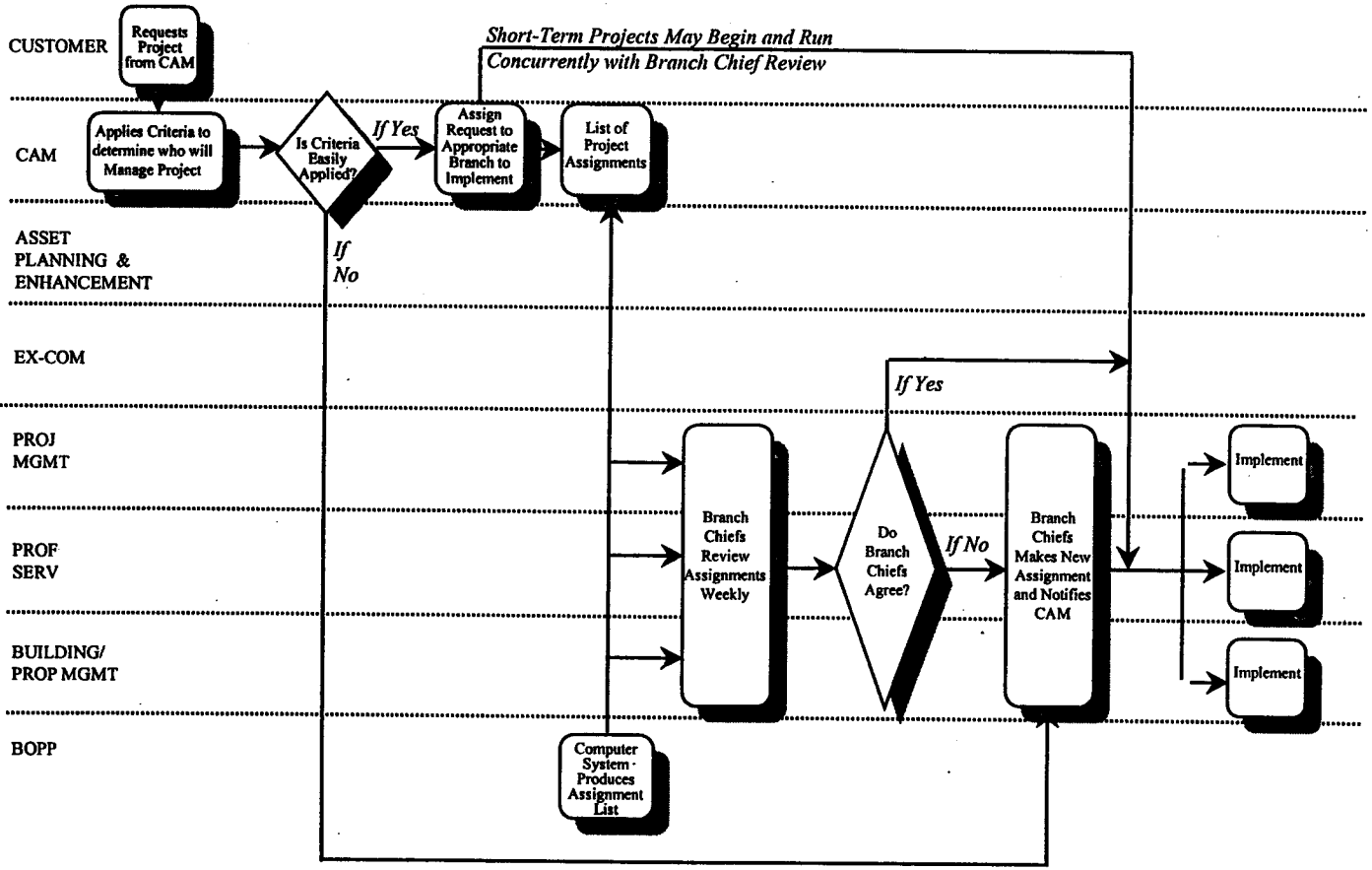
Decision Rules

1. If a project changes the State's portfolio it would normally be assigned to the Project Management Branch; however, if none of the complexity criteria are true, the project will be assigned to the appropriate other Branch. If two or more complexity criteria are true, the project will be assigned to Project Management.
2. If a project does not change the portfolio it would normally be assigned to the appropriate other Branch; however if two or more of the complexity criteria are true, the project would be assigned to Project Management.
3. If application of the complexity criteria is unclear, the Branch Chiefs will decide which Branch will be assigned to manage the project.

Other Influencing Factors

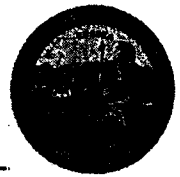
Application of the criteria should be conditioned by the type of project. For example, decisions about leasing projects are less influenced by complexity criteria. For repair and maintenance projects under $5,000, the CAM need not be contacted unless two or more complexity criteria are true.

Process for Deciding Which Branch will be Responsible for the Management of a New Project - Project Initiated through the CAM

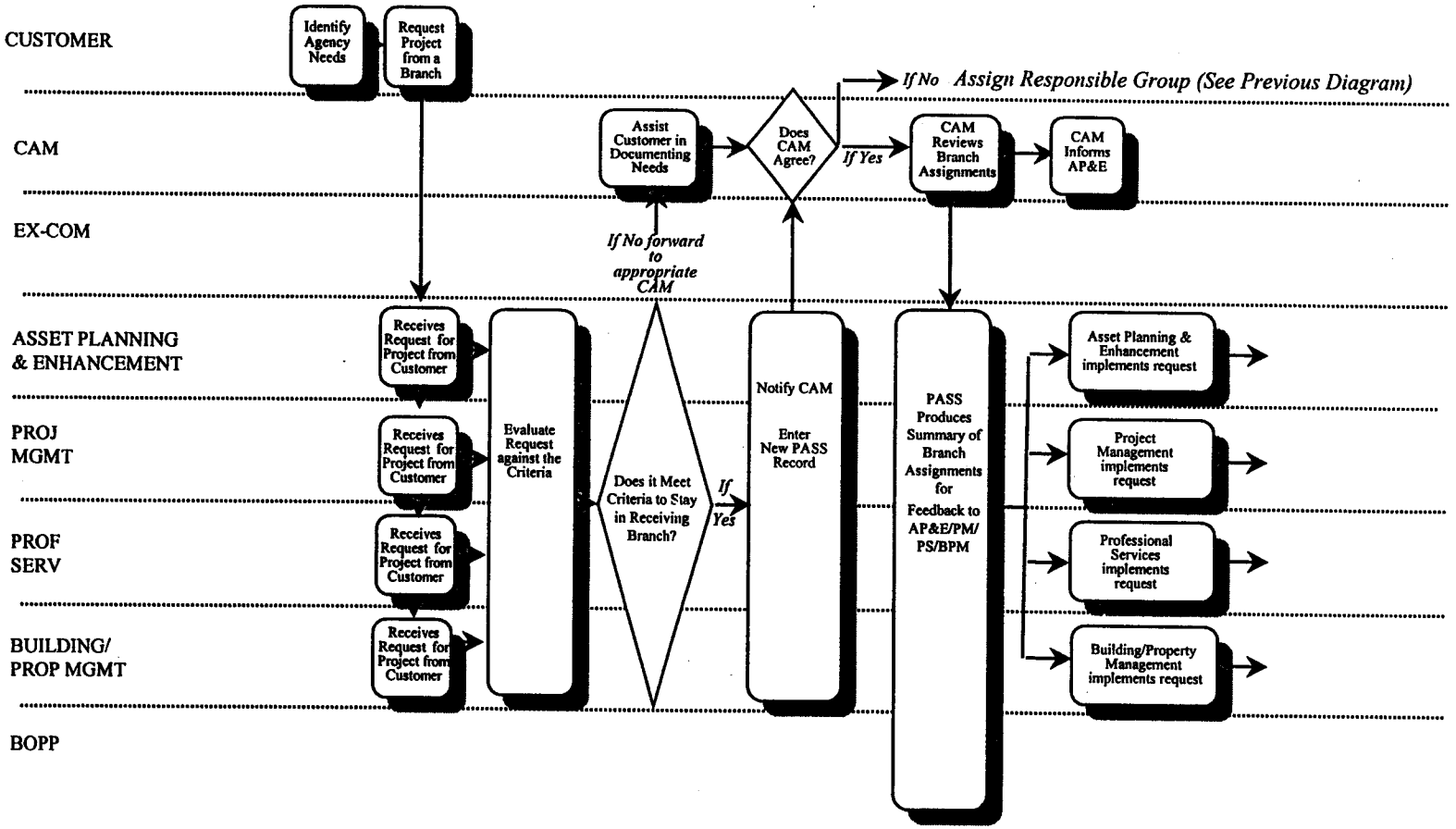


Process for Deciding Which Branch will be Responsible for the Management of a New Project - Project Initiated through a Branch Other than the CAM

When a Project enters the system through a Branch other than the CAM, the Branch receiving the request applies the Decision Criteria. If the Decision Criteria are easily applied and the project meets the criteria to be managed by the receiving Branch, the Receiving Branch notifies the CAM and enters a new PASS record. PASS produces a list of Branch assignments for review by the CAM and other Branch Chiefs. If the criteria indicates that the project should be managed by the Project Management Branch, the receiving Branch forwards the information to the CAM who follows the normal process of assigning management responsibilities.



Process for Deciding Which Branch will be Responsible for the Management of a New Project - Project Initiated through a Branch Other than the CAM



Criteria for Assigning Project Manager/Team Leader to manage a Project:

The following criteria are used in selecting a Project Manager or Team Leader to manage a project.

1. Knowledge of customer
2. Background and experience on similar projects
3. Availability
4. Political sensitivity/compatibility
5. Customer preference (input)

Interface Between the Project Manager and CAM:

The following are the responsibilities of the Project Manager/Team Leader and the CAM during the course of a project.

Project Manager/Team Leader:

- Provides regular summary reporting and reporting at key milestones
- Provides CAMs with "heads up" on issues regarding exceptions to scope, schedule or budget
- Provides Customer and CAM with customized reports to meet the specific needs of the Customer

CAM:

- Provides Project Manager/Team Leader with "heads up" on issues and customer satisfaction
- Provides information on customer standards to Project Manager
- Maintains repository of customer standards and reporting requirements

Interface Between the Project Manager and Internal Stakeholder:

The following are responsibilities of the Project Manager/Team Leader relative to other RESD/Customer stakeholders

Project Manager/Team Leaders:

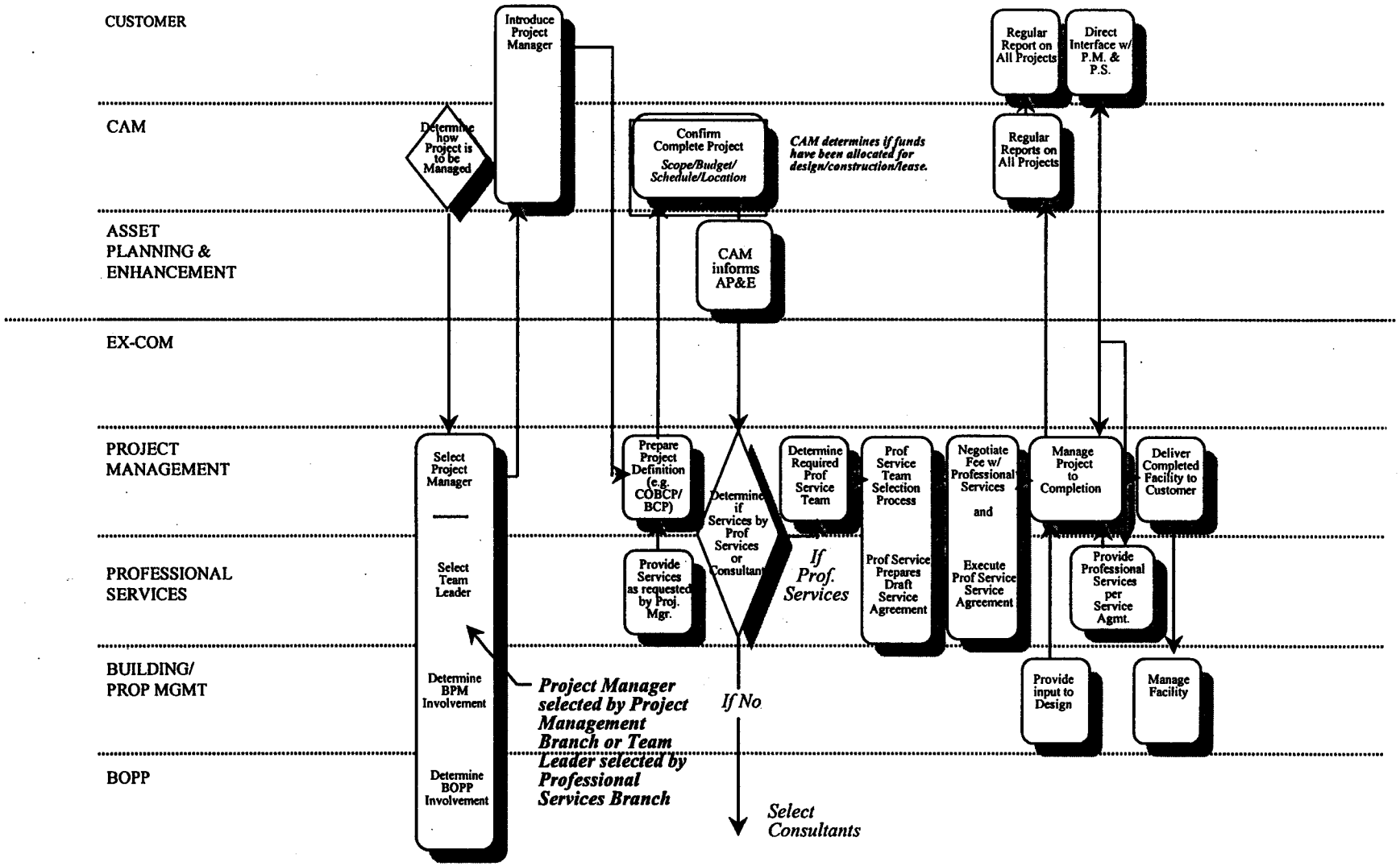
- Provides regular summary reporting and reporting at key milestones
- Ensures internal stakeholders relevant participation throughout project process

Internal Stakeholders (e.g. BPM and other Major Tenants):

- Provides Project Manager/Team leader with "heads up" on relevant issues
- Provides information on customer standards to Project Manager/Team Leader

General Project Flow and Decisions

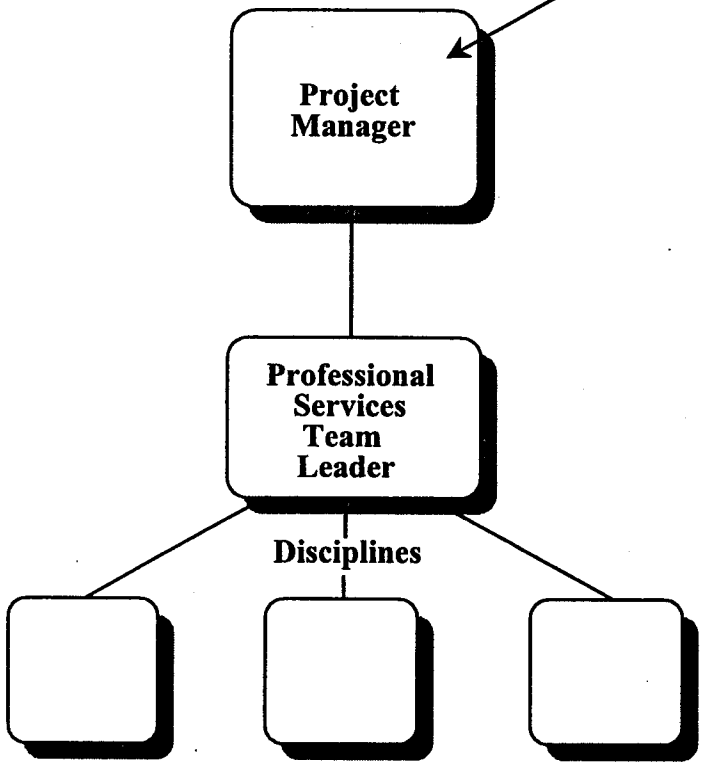
Project Management Process



Note: This example demonstrates process w/ a project managed by the Project Management Branch

The following is a summary of the roles and responsibilities of a Project Manager when a project is managed by the Project Management Branch.

Roles and Responsibilities of the Project Manager:

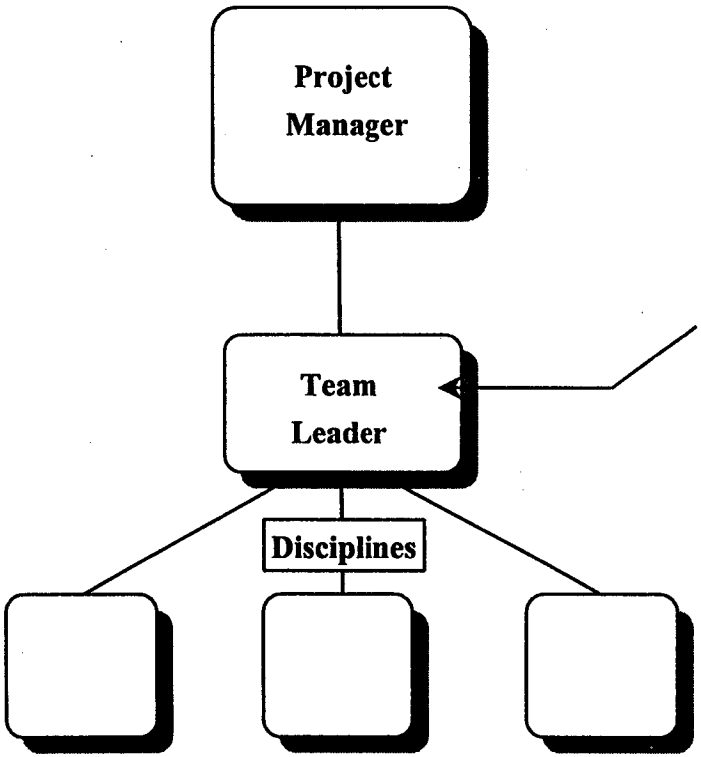


Scope/Schedule/Budget

- *Provides clear/comprehensive scope and schedule*
- *Develops the Project Plan*
- *Controls project funds/budget*
- *Leads project meetings with Client and Professional Services Team*
- *Attends appropriate project meetings*
- *Actively participates in problem solving*
- *Actively represents project as required*
- *Transmits project information to Client/CAM*
- *Establishes process for project information flow*
- *Provides proactive and regular reviews*
- *Manages project progress*
- *Secures client approval process, including acceptance of deliverables and completed project*
- *Ensures necessary approvals including changes in scope, schedule and budget*
- *Responsible for overall project success*

The following is a summary of the roles and responsibilities of a Professional Services Team Leader when a project is managed by the Project Management Branch.

Roles and Responsibilities of Team Leader:



Coordination of Work

- *Assists in confirmation of project scope, budget and schedule between RESD and customer*
- *Develops Professional Services budget*
- *Establishes Professional Services schedule*
- *Prepares draft Service Agreement between Project Management and Professional Services, outlining project scope, budget and schedule*
- *Manages Professional Services to assure maintenance of budget, scope and schedule*
- *Develops value engineering proposals and makes recommendation to Project Manager*
- *Coordinates value engineering activities with all appropriate disciplines*
- *Reviews all documents to assure proper coordination*
- *Provides "project solution"*
- *Ensures that appropriate documents are signed and stamped by authorized professionals*
- *Provides regular summary reporting and reporting at key milestones to the Project Manager (or CAM if no Project Manager is used)*
- *Has responsibility/authority to provide quality professional services*

Note:
When a project is managed by Professional Services, the Team Leader assumes the responsibility of the Project Manager.

The Branch Chiefs of Project Management and Professional Services make the determination of whether Professional Services will provide the required services based upon the following criteria. When Professional Services is selected to provide services, it proposes personnel,services, fees and schedule in the form of a brief Service Agreement consistent with the Project Plan

For Projects Managed by the Project Management Branch, Criteria for Using Professional Services:

- Project is consistent with the Professional Services business plan and objectives of the Section proposing to provide the service type
- Staff is available
- Project is within Professional Service's core competencies
- Professional Services has the ability to complete work within established schedule
- Professional Services has the ability to complete work within the project's established fee budget
- Customer input

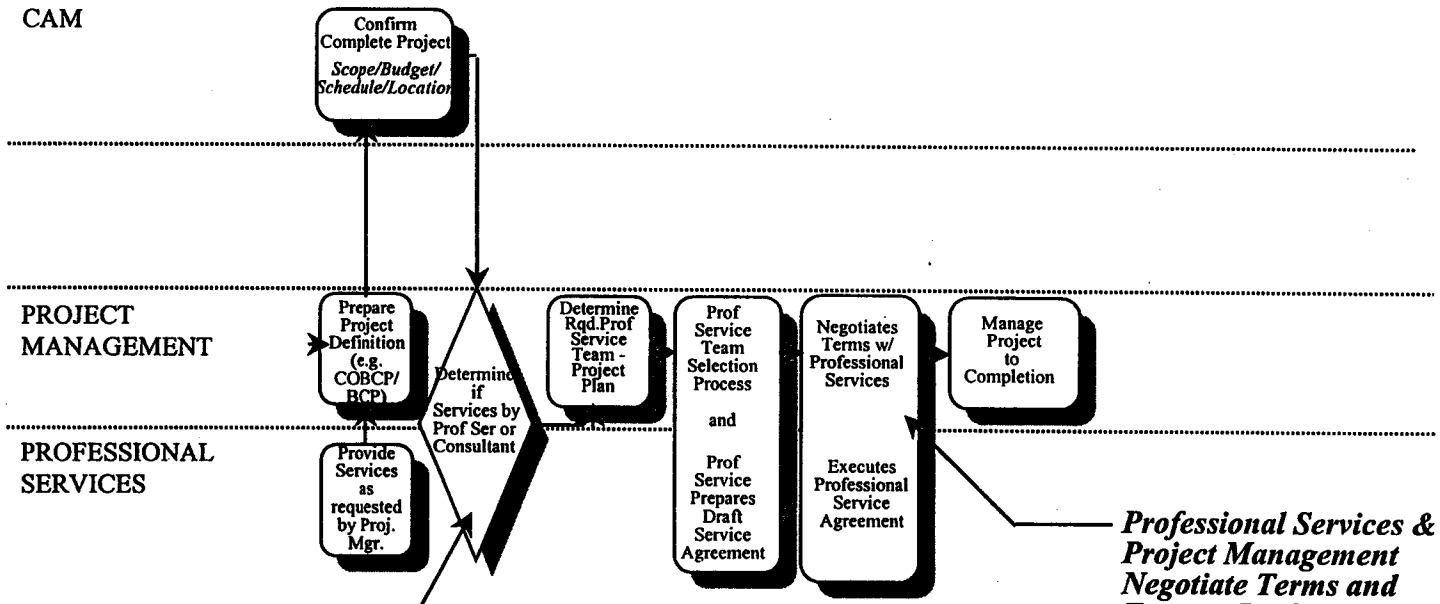
Contents of Project Plan:

- Scope
- Schedule
- Budget
- Deliverable
- Responsibilities of parties
- Change order process

Contents of Service Agreement:

- Scope of services/process
  - What Professional Services will do, including:
    - Work tasks
    - Deliverables
    - Number of meetings
    - Number of alternatives
    - Other relevant items
- Confirmation of project budget
- Team
  - Disciplines, in-house and contracted
  - Key personnel
- Cost
  - Lump sum for basic services
  - Hourly rate for additional services
- Schedule to complete services
- Payment method and allocation

Process for Using Professional Services



Based upon the Criteria . The Project Management and Professional Services Branch Chiefs Make the Decision Whether to Use Professional Services or Consultants.

If agreement cannot be reached the decision goes first to the Asst. Deputy Direct RESD, then the Deputy Director and finally the Ex-Com

Professional Services & Project Management Negotiate Terms and Execute Professional Services Agreement

The management of Professional Services assigns individuals to specific teams, and selects the Team Leaders based on the criteria outlined below. The Team Leader, and when necessary the Professional Services Management, are responsible for the resolution of schedule conflicts. When the Project is managed by the Project Management Branch, the Project Manager may provide input in the selection of the Professional Services project team.

Criteria for the Selection of Team Leaders/Key Personnel:

1. Background and experience on similar projects
2. Availability
3. Project Manager input
4. Understanding of Customer
5. Political sensitivity of the project/ability of the individual to handle the sensitivity
6. Customer preference
7. Career development opportunity for the individual

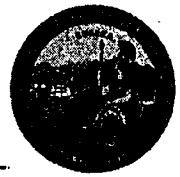
Resolution of Assignment Conflicts:

Conflicts in assignment may occur when:

1. Preceding tasks do not occur on schedule
2. Funding problems arise
3. Schedules changes
4. Scope of project changes
5. Human resource issues

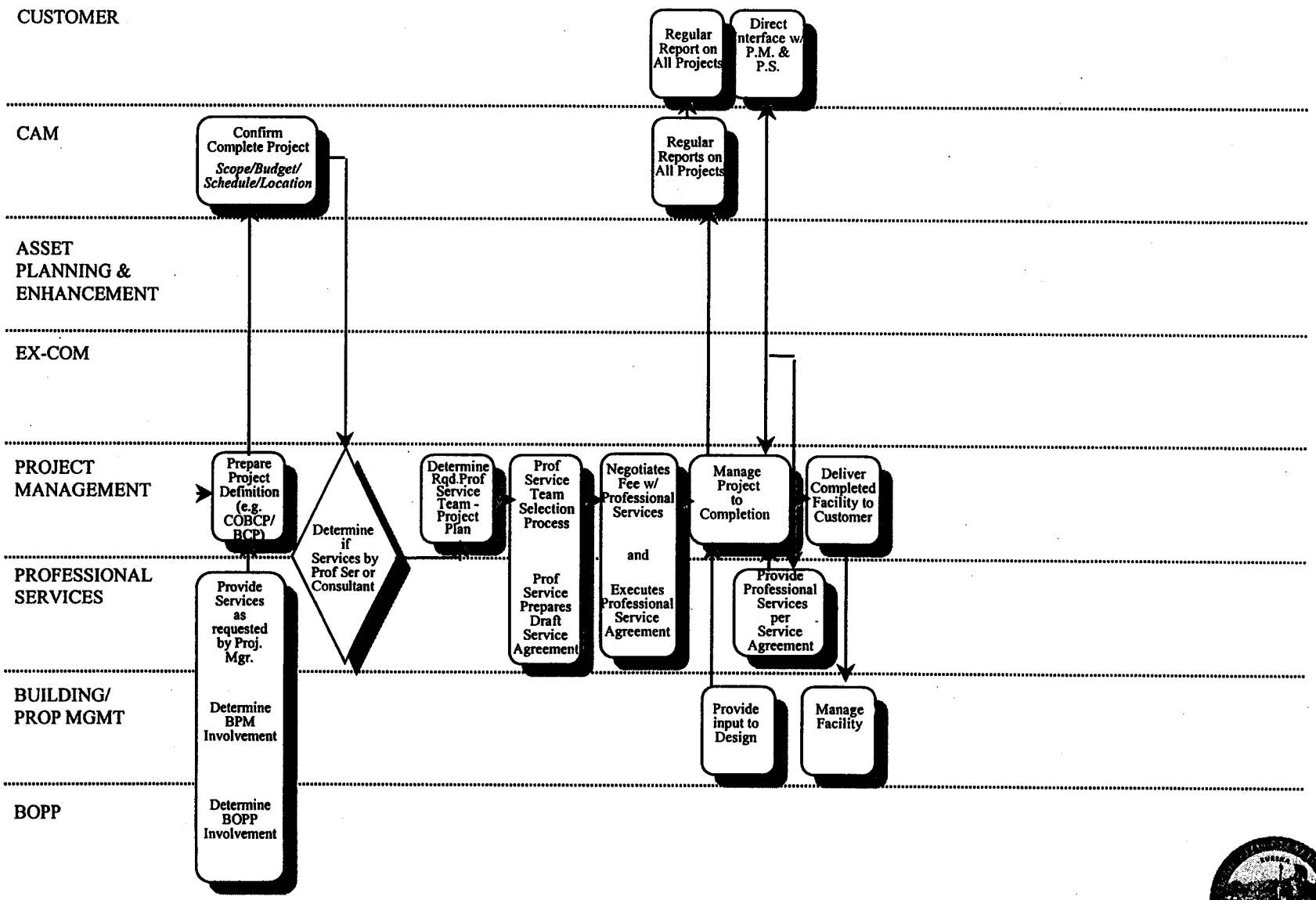
When a conflict occurs:

1. The team member is responsible for reporting the conflict to the Team Leader(s) and person who generated the potential conflict.
2. The Team Leaders then determine if there is flexibility in the schedule or finds other methods to resolve the problem. If a resolution is reached, the team member reports resolution to his/her Supervisor.
3. If a resolution cannot be reached, the team member and the affected Team Leaders develop a solution with the Supervisor. Solution may include over-time, additional staff, temps, contracting out or schedule changes.
4. If a resolution cannot be reached internally within Professional Services, Team Leaders will consult with appropriate Project Managers.



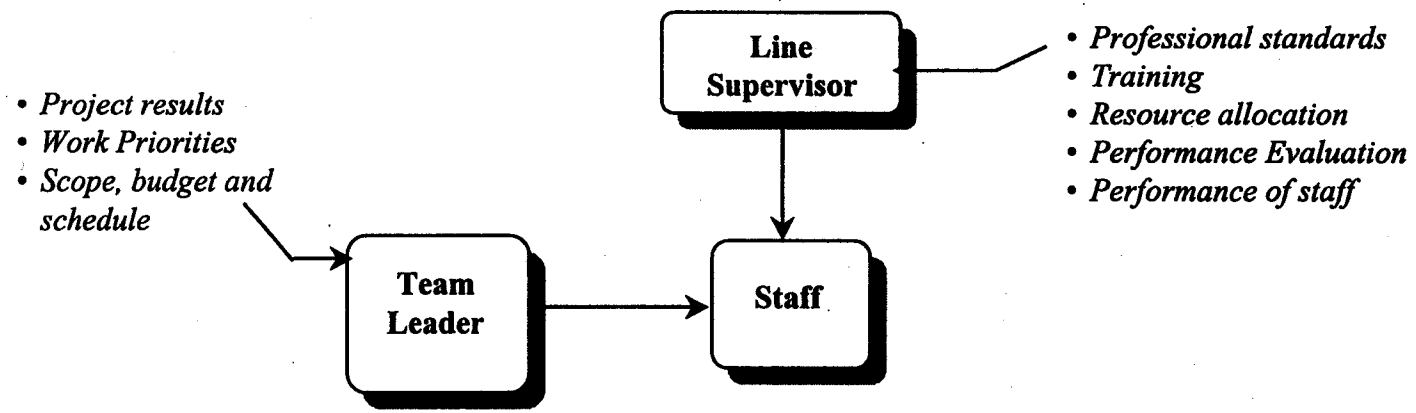
General Project Flow and Decisions

Professional Services Project Delivery Process



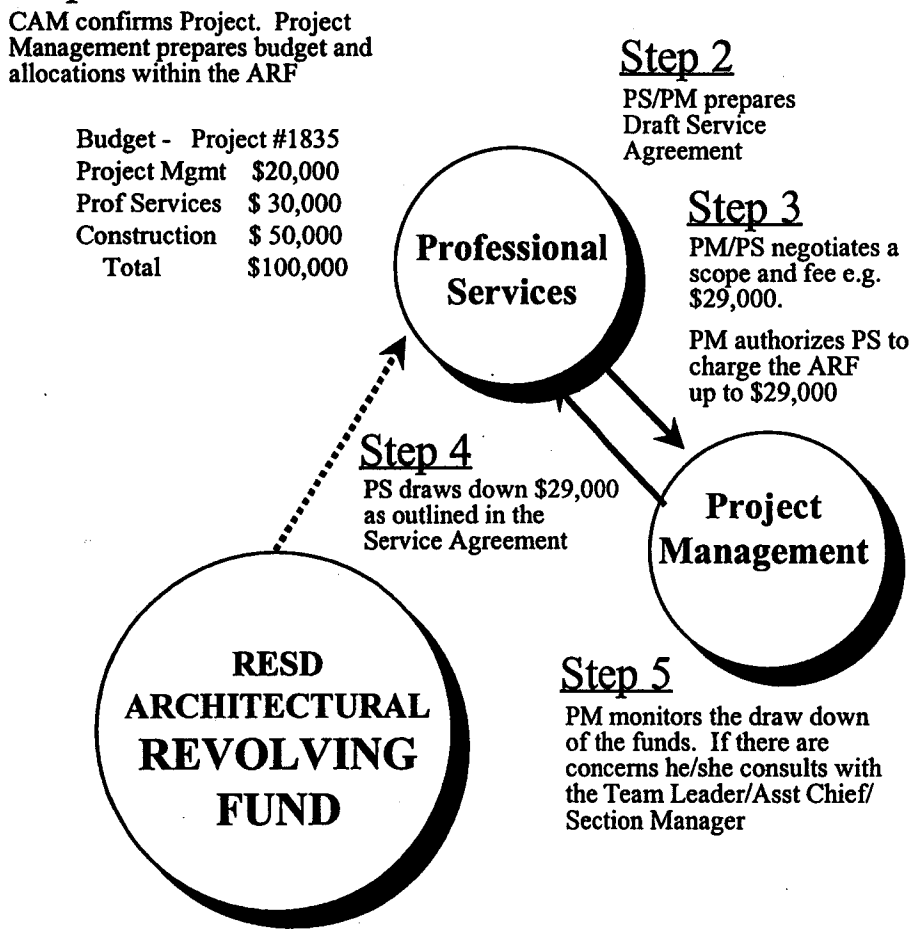
Roles and Responsibilities of the Line Supervisor and the Team Leader:

The RESD new organizational concepts include the Matrix approach to activity management. The Matrix is represented by the vertical organizational lines typical of Functional Unit Supervision, and the horizontal lines typical of Team Leadership or Project Management where resources are assembled from several functional units. In this approach, the Line Supervisor is primarily responsible for training, performance standards, quality control, performance evaluation, and load balancing of an individual's activities. The Team Leader or Project Manager is responsible for the day-to-day setting of priorities, management of scope, budget and schedule, and review of results in terms of how they meet the project requirements.



Project Management/Professional Services Funding Relationship

The following outlines the process and offers and example for the relationship of the management of professional fees between the Project Management Branch and the Professional Services Branch



Process for Service Agreement/Fee Allocation when Professional Services provides services to Project Management (See example to left)

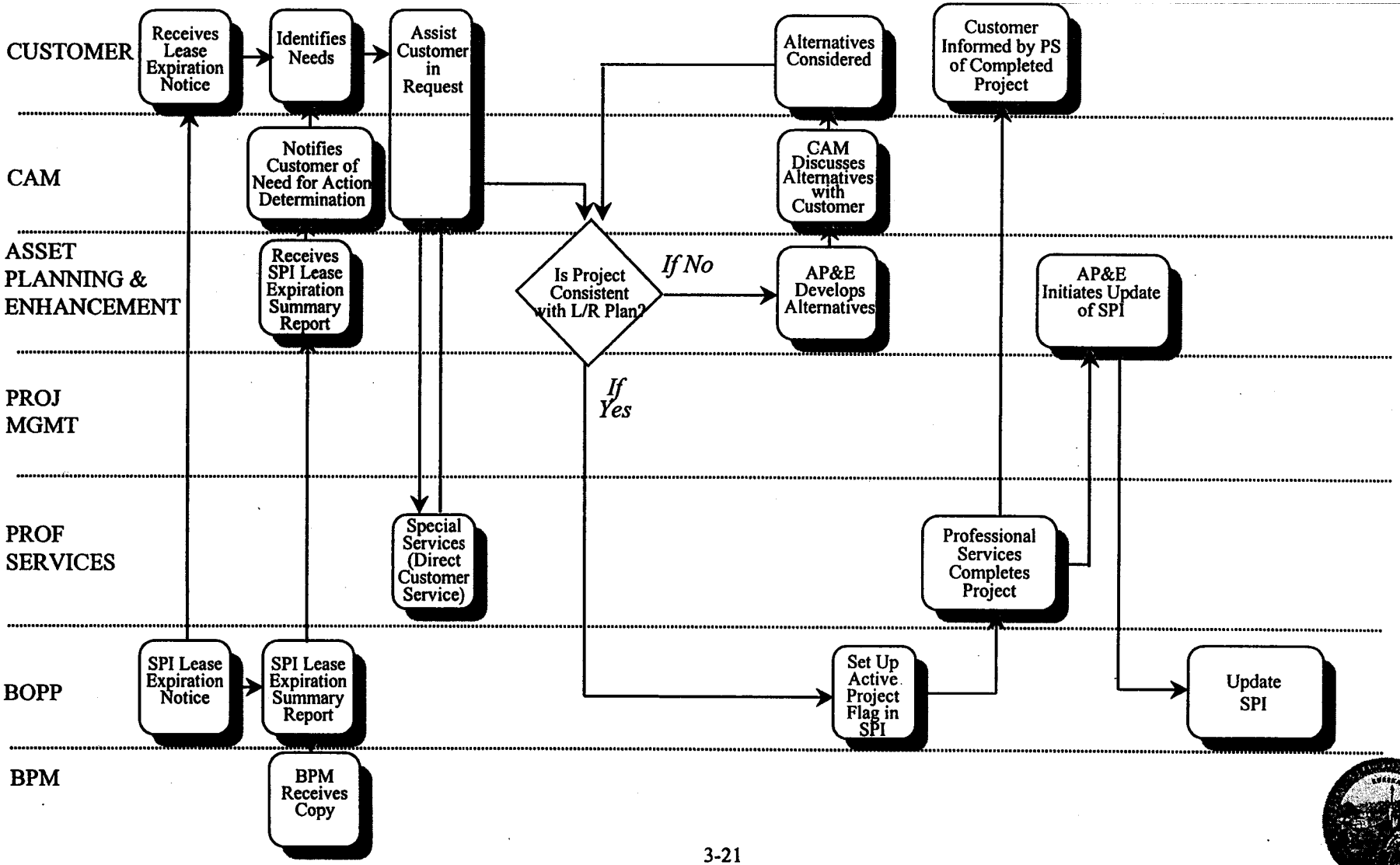
Project is confirmed by CAM

- *Project Management prepares Project Plan including the Project Budget. Customer transfers funds into the RESD Revolving Fund (RRF).*
- *Professional Services(PS) provides Project Management(PM) a DRAFT Service Agreement. PM & PS negotiate a lump sum fee. In the example the fee is $29,000.*
- *PM authorizes PS to draw down no more than $29,000 (billing to the ARF) according to an hourly schedule or milestones as documented in the Professional Services Agreement*
- *The Project Manager is notified in real time of the draw down through the computerized project management system. If the Project Manager does not feel that the draw down is commensurate with the work completed, he/she notifies the Team Leader, if resolution cannot be reached the Project Manager then notifies the Team Leader's Section Manager.*
- *If the Professional Services charges exceed the fee allocation (i.e. $29,000) no further moneys can be "billed" or "drawn down" ; however, hours will continue to be logged to the project through the Professional Services cost management system.*
- *If Professional Services completes the project for less than the established fee, the unexpended portion of the fee accrues to Professional Services.*

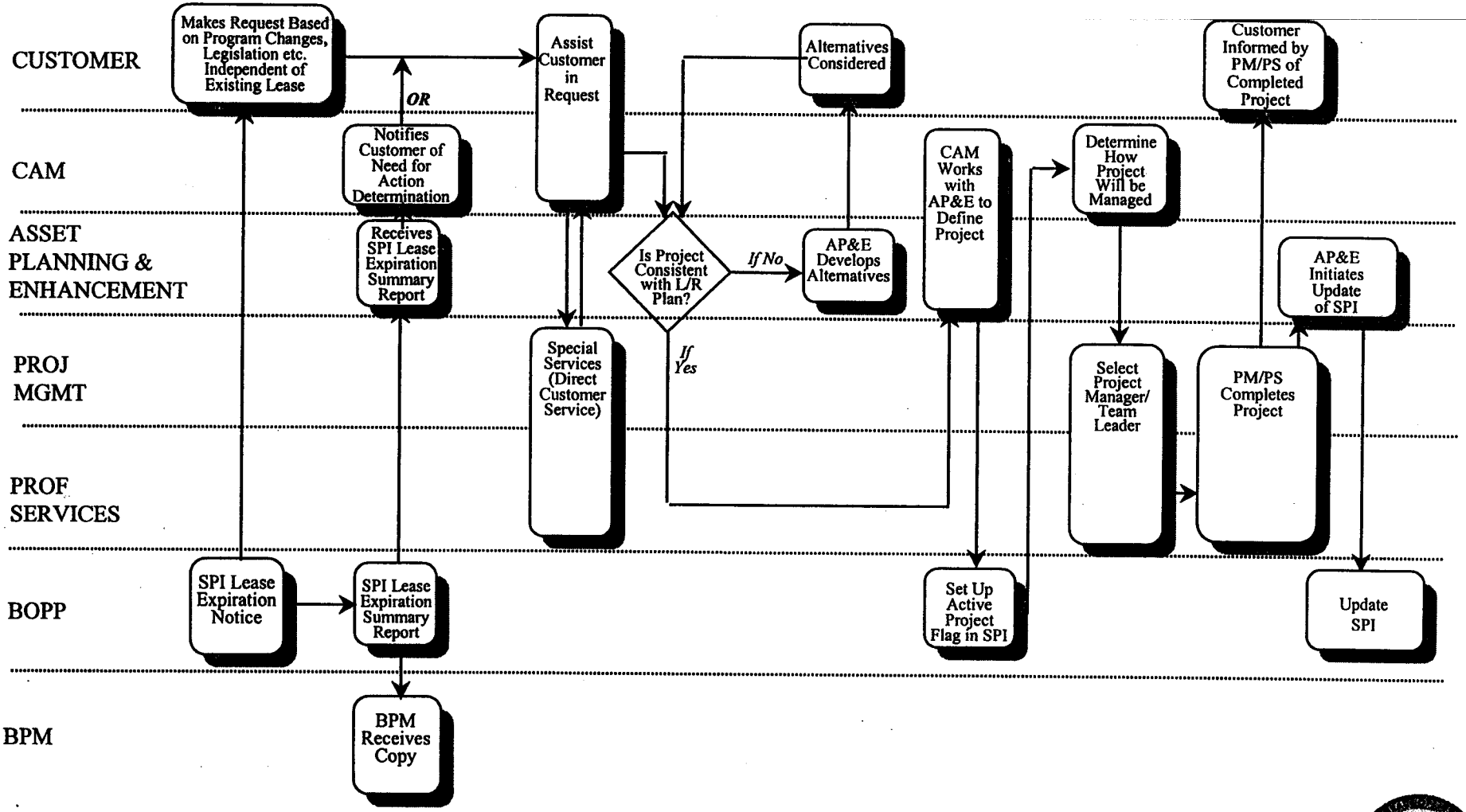
An interim Project Activity Summary System (PASS) is being developed to enable coordination and tracking of all RESD services to Customers. Existing local project management systems such as L&D PMS, COPS, Sema4 and BPM Lotus Notes will continue to be used for individual Branch activities. The chart on the following page describes how the PASS project records will be coordinated with the local systems. The chart shows the category of use in the leftmost column and how the process will work for two situations -- service requests initiated by the CAM (second column) and those initiated by a Branch (third column).

	INITIATED BY CAM	INITIATED BY BRANCH
Enter Initial PASS Record	CAM initiates a new PASS Record	Branch initiates a new PASS Record
Enter Initial Local System Record (e.g., L&D PMS, COPS, Sema4, BPM Lotus Notes)	CAM Tells Branch the PASS ID# of the new record; Branch sets up a new Local Record with PASS ID# a mandatory field	Branch gets PASS ID# from the new PASS Record; Branch sets up a new Local Record with PASS ID# a mandatory field
Project Management Branch uses Other Branch for project work	Project Manager tells Branch the Master ID# (i.e., the PASS ID# of the Master Record); Branch initiates a new PASS record, enters the Master ID# , gets the PASS ID# from the new PASS Record, and sets up a new Local Record with PASS ID# a mandatory field.	
Branch uses Other Branch for project work	Branch Team Leader tells Other Branch the Master ID# ; Other Branch initiates a new PASS record, enters the Master ID# , gets the PASS ID# from the new PASS Record, and sets up a new Local Record with PASS ID# a mandatory field.	
PASS Overnight Processing	PASS adds all new records from local systems overnight; Places local system record number in the PASS record that corresponds to the PASS ID found in the local record.	
PASS Error Processing	If No PASS ID#, or if the corresponding PASS record already has a local system record number, PASS places record in suspense and prints error report. BOPP is responsible for reconciling errors.	
CAM Reviews Branch-Originated Records	(Not Applicable)	Can print or view report of all Branch-originated records since a given date.
Branch Chiefs Review application of decision criteria	Can print or view report of all new projects assigned to a Branch since a given date.	

The SPI Lease Expiration Summary Report first alerts Asset Planning and Enhancement to an impending lease expiration. A copy is also sent directly to the customer. Once alerted, Asset Planning and Enhancement contacts the CAM. The CAM acts as the lead person for the Division and approaches the Customer to determine a course of action. The CAM, and when necessary Professional Services, helps the Customer in identifying space needs. The Customer, via the CAM, then checks with Asset Planning and Enhancement to confirm that the project is consistent with the Long Range Plan (see Asset Planning and Enhancement, Long Range Regional Plan). If the project is NOT consistent with the Long Range Plan, then the Portfolio Manager in Asset Planning and Enhancement develops space alternatives that the CAM presents to the Customer. The Customer, with assistance from the CAM, works with Asset Planning and Enhancement in considering the alternatives. Once a satisfactory alternative is chosen, BOPP sets up an active project flag in the SPI and Professional Services begins the project. Professional Services informs the Customer directly when the project is complete. Professional Services also informs Asset Planning and Enhancement of the completed project, and Asset Planning and Enhancement updates the SPI to reflect any changes in the State's real estate portfolio.


CUSTOMER
CAM
ASSET PLANNING & ENHANCEMENT
PROJ MGMT
PROF SERVICES
BOPP
BPM
Receives Lease Expiration Notice
Identifies Needs
Assist Customer in Request
Alternatives Considered
Customer Informed by PS of Completed Project
Notifies Customer of Need for Action Determination
CAM Discusses Alternatives with Customer
Receives SPI Lease Expiration Summary Report
Is Project Consistent with L/R Plan?
If No
AP&E Develops Alternatives
AP&E Initiates Update of SPI
If Yes
Special Services (Direct Customer Service)
Professional Services Completes Project
SPI Lease Expiration Notice
SPI Lease Expiration Summary Report
Set Up Active Project Flag in SPI
Update SPI
BPM Receives Copy

Requests for new space may be initiated by the Customer or result from the expiration of an existing lease. When a lease is about to expire, the SPI Lease Expiration Summary Report first alerts Asset Planning and Enhancement and BPM to the impending lease expiration. Once alerted, Asset Planning and Enhancement contacts the CAM. Requests for new space can also be initiated by the Customer based on program changes or new legislation. In both cases, the CAM works closely with the Customer to determine a course of action; Professional Services or Project Management may be called upon to assist in the process where necessary. The CAM confirms with Asset Planning and Enhancement that the new project is consistent with the Long Range Plan. If the Project is NOT consistent, Asset Planning and Enhancement develops space alternatives to meet the Customer's needs. Once a satisfactory alternative has been developed and approved by the Customer, the CAM works with Asset Planning and Enhancement to define the Project in greater detail. Implementation of the project begins with the BOPP setting up an active project flag in the SPI. The CAM then makes the determination, based on set criteria, whether the project will be managed by the Project Management Branch or by the Professional Services Branch (see criteria on page 3-4). If the project is to be managed by the Project Management Branch, then a Project Manager within the Project Management Branch is selected based on set selection criteria (see criteria on page 3-8). If the project is to be managed by the Professional Services Branch, then a Team Leader within Professional Services is selected based on the same set of criteria. Once the Project is complete, the Customer is informed by the Project Manager or Team Leader of the project completion, and Asset Planning and Enhancement initiates the update of the SPI.

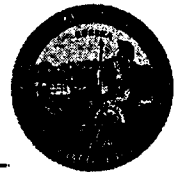

CUSTOMER
CAM
ASSET PLANNING & ENHANCEMENT
PROJ MGMT
PROF SERVICES
BOPP
BPM
Makes Request Based on Program Changes, Legislation etc. Independent of Existing Lease
OR
Notifies Customer of Need for Action Determination
Receives SPI Lease Expiration Summary Report
Assist Customer in Request
Special Services (Direct Customer Service)
Is Project Consistent with L/R Plan?
If No
If Yes
Alternatives Considered
AP&E Develops Alternatives
CAM Works with AP&E to Define Project
Set Up Active Project Flag in SPI
Determine How Project Will be Managed
Select Project Manager/ Team Leader
PM/PS Completes Project
Customer Informed by PM/PS of Completed Project
AP&E Initiates Update of SPI
Update SPI
SPI Lease Expiration Notice
SPI Lease Expiration Summary Report
BPM Receives Copy

LEASE MANAGEMENT

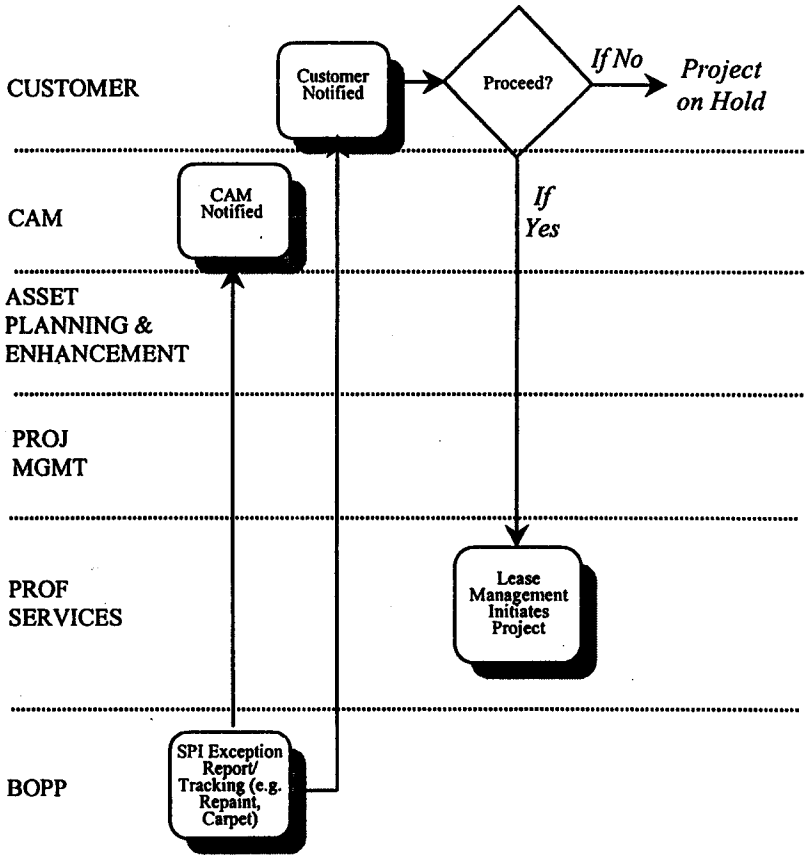
The lease may include previously agreed activities such as repainting or recarpeting of a Customer-leased facility. The SPI tracks scheduled lessor commitments and alerts the CAM and the Customer, through the SPI Exception Report, when scheduled activities are due. Upon notification by the BOPP-produced report of a scheduled activity, the Customer decides whether or not to proceed with the project. If the Customer approves the project, then Lease Management within Professional Services initiates the project. If the Customer does NOT approve, the project is put on hold.

COMPLAINT RESOLUTION

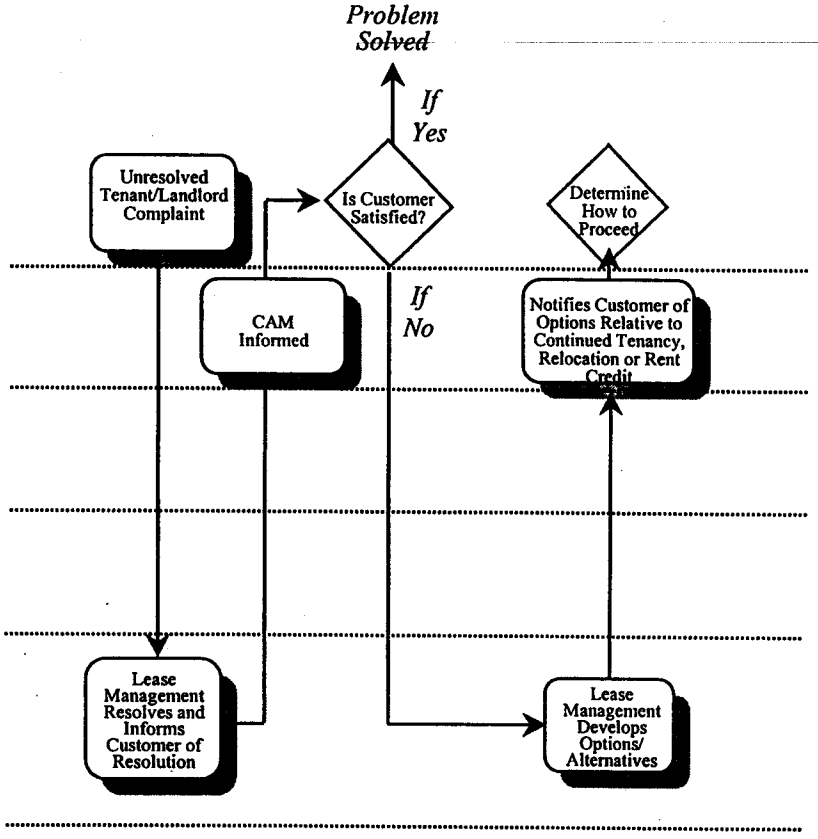
In cases of unresolved tenant or landlord complaints, Lease Management within Professional Services takes a proactive role with the landlord and approaches the Customer with a proposed resolution, with prior knowledge of the CAM. If the Customer is satisfied with the resolution, then the problem is solved. If the Customer is not satisfied with the resolution, Lease Management will develop other alternatives to resolve the Customer complaint, inform the CAM, and they, together, meet with the Customer to resolve the issue. These alternatives may include continued tenancy, relocation, rent credit or resolution by State personnel. Lease Management in consultation with the Customer then decides on a preferred course of action.



Lease Management



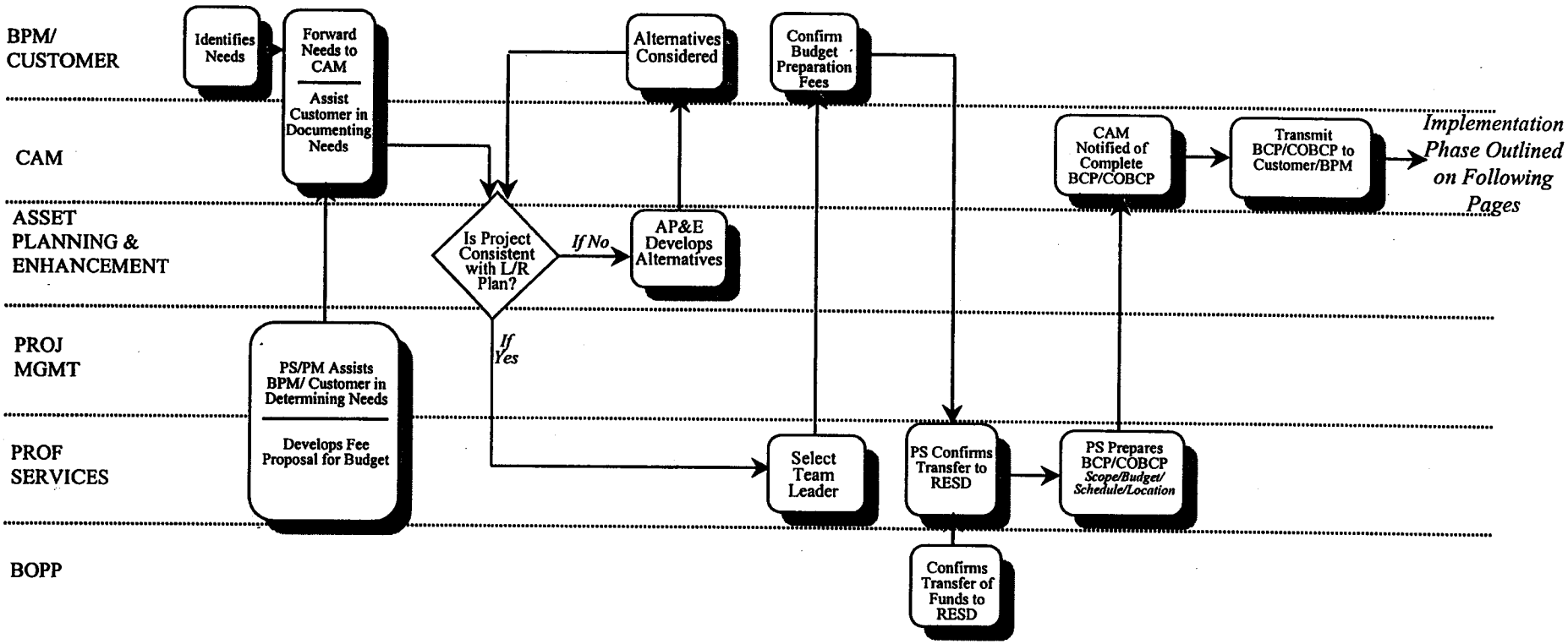
Complaint Resolution



Special Repair/Minor Capital Outlay - Budget Planning Phase

Special Repairs/Minor Capital Outlay projects are initiated by the Customer agency. The Customer first identifies the need and forwards the need to the CAM. In cases of Special Repairs, the Building & Property Management Branch may act as the Customer, and approach the BPM CAM with needs. Once notified, the CAM works closely with the Customer/BPM to clarify and document the need. Direct services may be requested from the Professional Services Branch and/or Project Management Branch to assist in identifying Customer needs and to develop a fee proposal for the budget. As with any project, Asset Planning and Enhancement will check to confirm that the project is consistent with the Long Range Plan, and develop satisfactory alternatives when the project is not consistent with the Long Range Plan. Once a budget planning phase is approved, a Team Leader is selected to manage the budget preparation process and the Customer confirms that budget preparation fees are available. BOPP and Professional Services must confirm the transfer of these funds to RESD before proceeding. When the fund transfer is confirmed, Professional Services prepares the BCP/COBCP, identifying the scope, budget, schedule and location of the project. CAM is notified of the budget package completion and transmits it to the Customer.

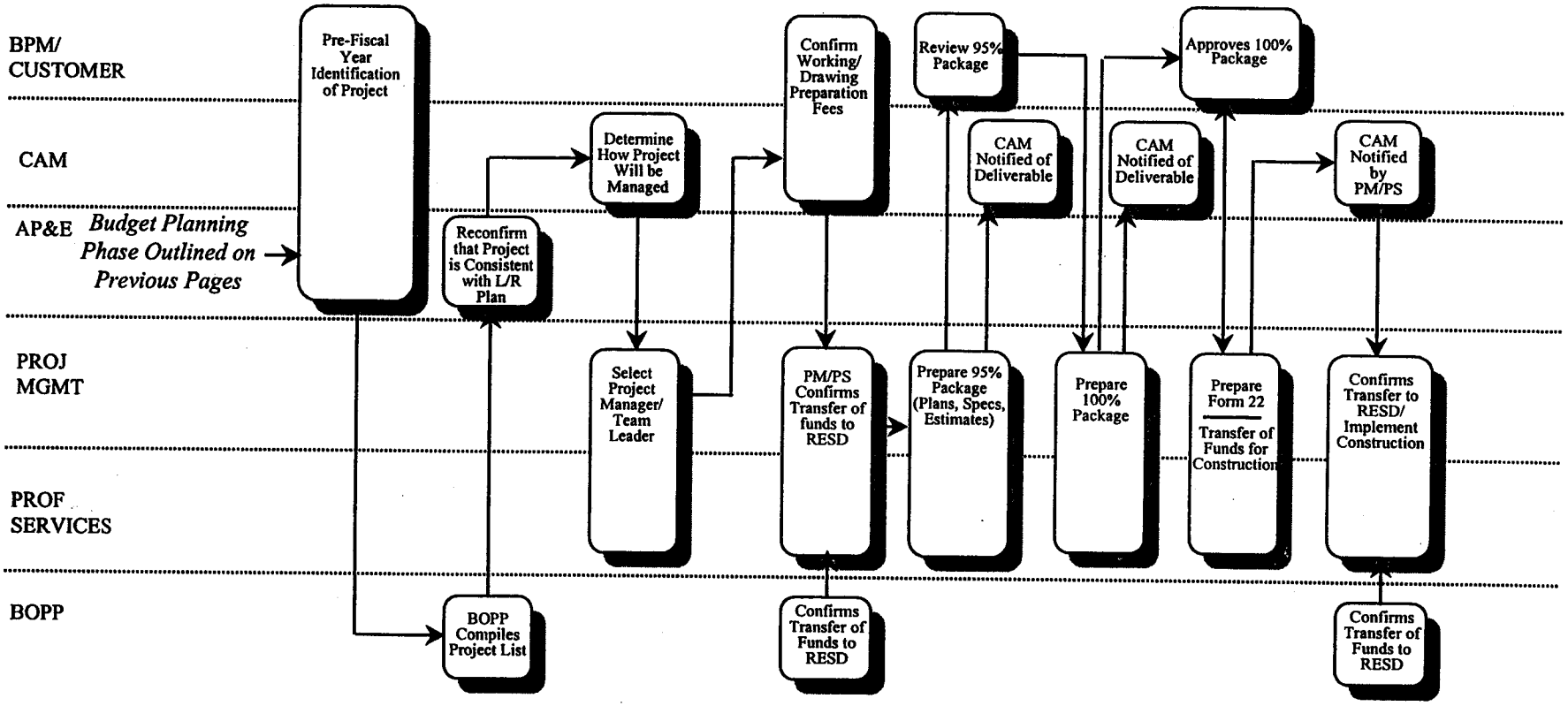
Special Repair/Minor Capital Outlay - Budget Planning Phase



Special Repair/Minor Capital Outlay - Approved in Budget, Project Implementation Phase

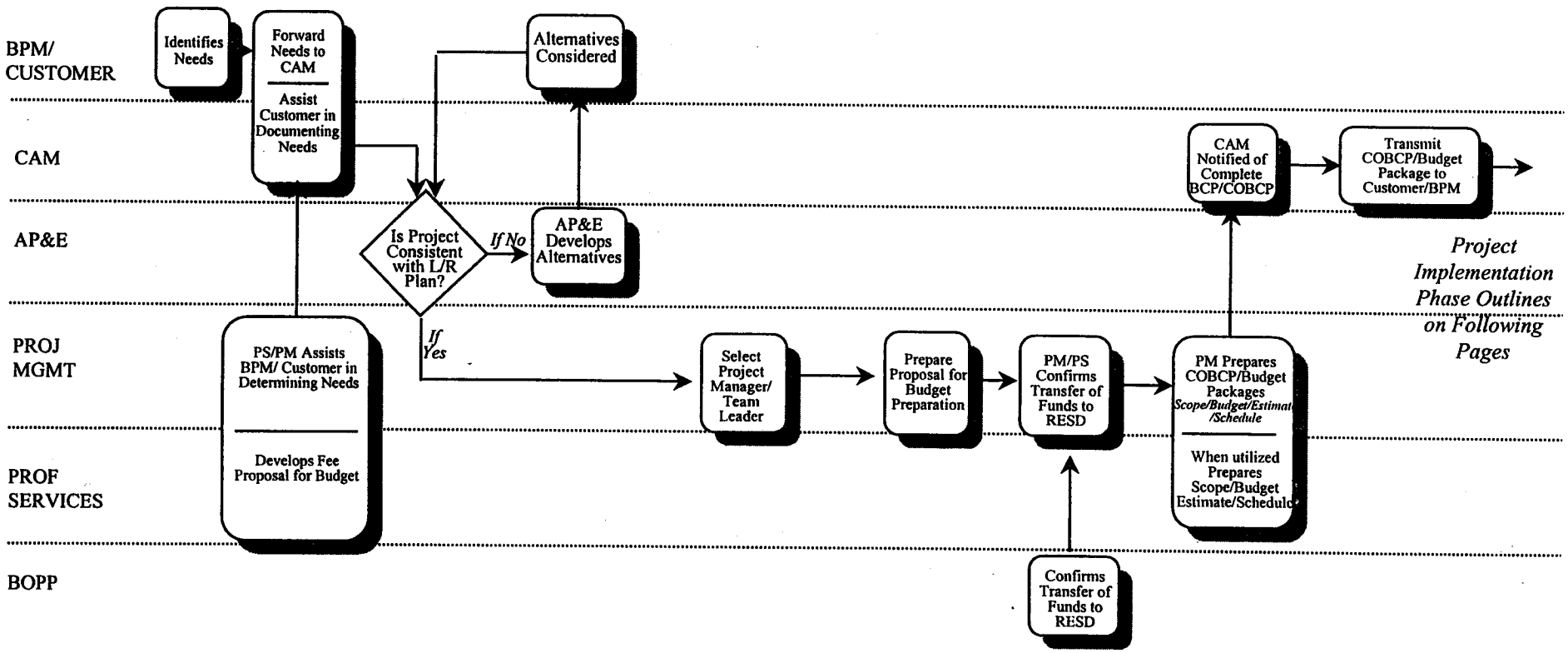
The process begins with a pre-fiscal year identification of projects approved in the Budget. BOPP compiles a list of identified projects and transmits the list to Asset Planning and Enhancement to reconfirm that the projects are consistent with the Long Range Plan. Once projects are confirmed, the CAM determines whether the projects will be managed by the Project Management Branch or by the Professional Services Branch, and a Project Manager or a Team Leader is selected. The project team begins by preparing a project package, including plans, specs and estimates, and produces a 95% complete package for Customer review. (Again, the Building & Property Management Branch may act as the Customer for Special Repair Projects.) The project team also notifies the CAM of the first deliverable. The project team produces the 100% complete package with comments from the Customer and again approaches the Customer with the complete package for approval. The CAM is notified again when the package is delivered, and when funding is transferred. Implementation of the project begins when the transfer of funds for construction is confirmed.

Special Repair/Minor Capital Outlay - Approved in Budget, Project Implementation Phase



The budget planning phase of major capital outlay projects begins with the Customer identifying its needs. The CAM works closely with the Customer in this process to help determine and document needs. Project Management is also involved in clarifying agency needs and developing a fee proposal for preparation of the Budget Packages. As with any other project, Asset Planning and Enhancement then checks to confirm that the proposed project is consistent with the Long Range Plan, and develops options for the Customer when a proposed project is not consistent with the Long Range Plan. Before the budget planning phase begins, the Project Manager or Team Leader prepares a proposal for the budget preparation phase. The Customer, with assistance from the CAM, confirms that budget preparation fees are available. Once funds are transferred to RESD, the project team begins preparing the BCP/COBCP/Budget Package. At the completion of the BCP/COBCP the package is delivered to the Customer through the CAM. While Project Management has the responsibility for managing the preparation of all COBCP's, Professional Services or the private sector can be utilized in the preparation of COBCP's.

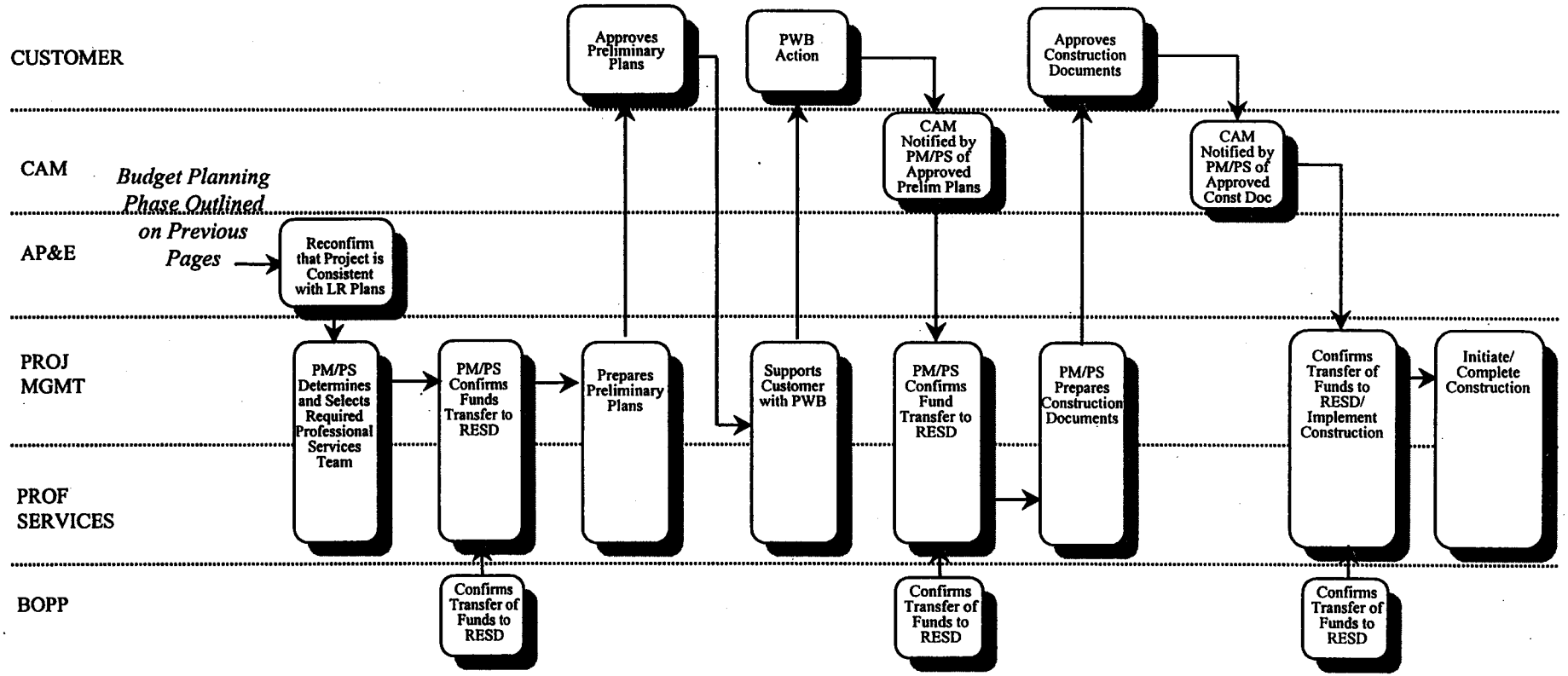
Major Capital Outlay - Budget Package Phase



Major Capital Outlay - Approved in Budget, Project Implementation Phase

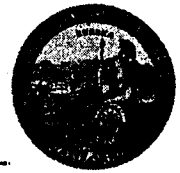
At the start of the Project Implementation Phase, Asset Planning and Enhancement must reconfirm that the project is consistent with the Long Range Plan. Once reconfirmed, the requirements for the professional services team are determined by Project Management or Professional Services, depending on how the project would be managed. BOPP and the Project Manager/Team Leader confirm the transfer of funds to RESD for preparation of the preliminary plans. With the funds in place, Project Management and/or Professional Services manages the process and authorizes preparation of the preliminary plans by Professional Services or a consultant. After Customer approval is obtained, Project Management and/or Professional Services supports the Customer in the review by the Public Works Board. CAM is then notified by Project Management/Professional Services of the approved preliminary plans and preparation of the construction documents begins. BOPP and Project Management/Professional Services must first confirm the transfer of funds for the construction phase. Once funds are transferred, Project Management/Professional Services begins preparation of the construction documents for Customer approval. CAM is notified when the completed construction documents are approved by the Customer. BOPP and Project Management/Professional Services confirms the transfer of funds to RESD for the construction phase. Project Management/Professional Services initiates and completes construction.

Major Capital Outlay - Approved in Budget, Project Implementation Phase

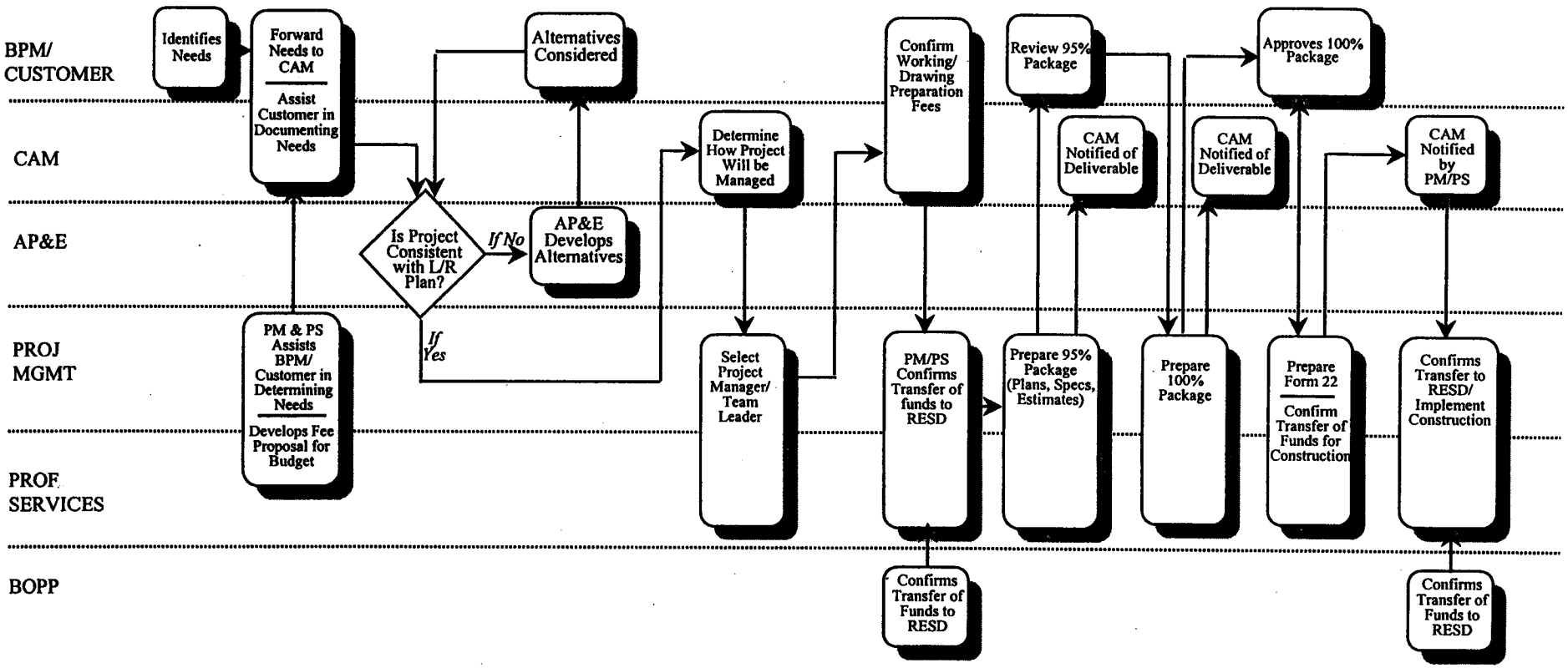


Ad Hoc Repairs - Current Budget Year

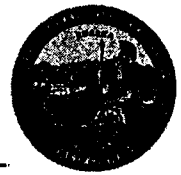
Ad Hoc repairs are projects requested within the budget year, and although not emergency repairs, the work must be initiated before the beginning the of the next budget year. The process begins with the Customer (including Building & Property Management) approaching the CAM with its needs. The CAM assists the Customer in identifying and documenting needs. Project Management and Professional Services are also involved and help in identifying needs and developing a fee proposal for the project budget. As with any project, Asset Planning and Enhancement must check to confirm that the Project is consistent with the Long Range Plan, and develops alternatives to meet Customer needs when the project is not consistent with the Long Range Plan. When a satisfactory option is approved by the Customer and Asset Planning and Enhancement, the CAM determines whether the project will be managed by Project Management or Professional Services, and a Project Manager or Team Leader is selected. Once the Project Manager or Team Leader has been selected, the Customer with assistance from the CAM confirms the availability of fees for preparation of the working/drawing phase. The project team does not begin preparing the construction package until BOPP and the Project Manager/Team Leader has confirmed the transfer of funds to RESD for package preparation. The project team prepares a 95% complete package and requests approval from the Customer. Following approval, the project team completes the 100% package and forwards it to the Customer for approval. Each time a deliverable is handed to the Customer, the CAM is also notified. Once the entire package is approved by the Customer, the project team begins preparation of the Form 22 and BOPP and the Project Manager/Team Leader confirms the transfer of funds to RESD for project implementation. The project team then informs the CAM and begins construction.



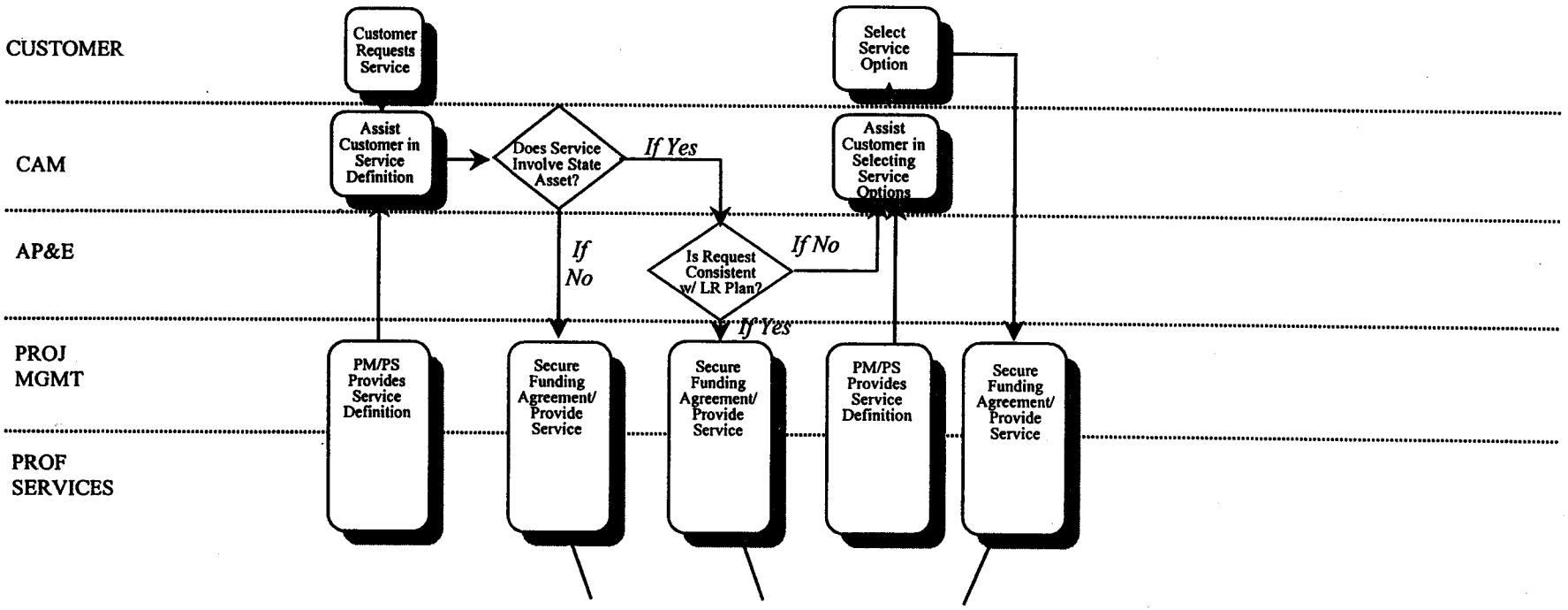
Ad Hoc Repairs - Current Budget Year



These services may include energy services or other customized services requested by the Customer. The Customer first approaches their CAM with the service request and the CAM, based on service definition provided by Project Management and/or Professional Services, assists the Customer in defining the service. These services may or may not involve a State asset. In instances where the service DOES NOT involve a State asset, Project Management and/or Professional Services secures a funding agreement and provides the service following the typical Project Management/Professional Services Process (see page 3-9). In instances where the service DOES involve a State asset, Asset Planning and Enhancement must check to confirm that the request is consistent with the Long Range Plan. If so, Project Management and/or Professional Services secures a funding agreement with the Customer agency and provides the service. If the request is NOT consistent with the Long Range Plan, the CAM helps the Customer select an alternative service option from those provided by Project Management and/or Professional Services. When the Customer has selected an option, Project Management and/or Professional Services secures a funding agreement and provides the service.



Customer Requests Service - Customized Services

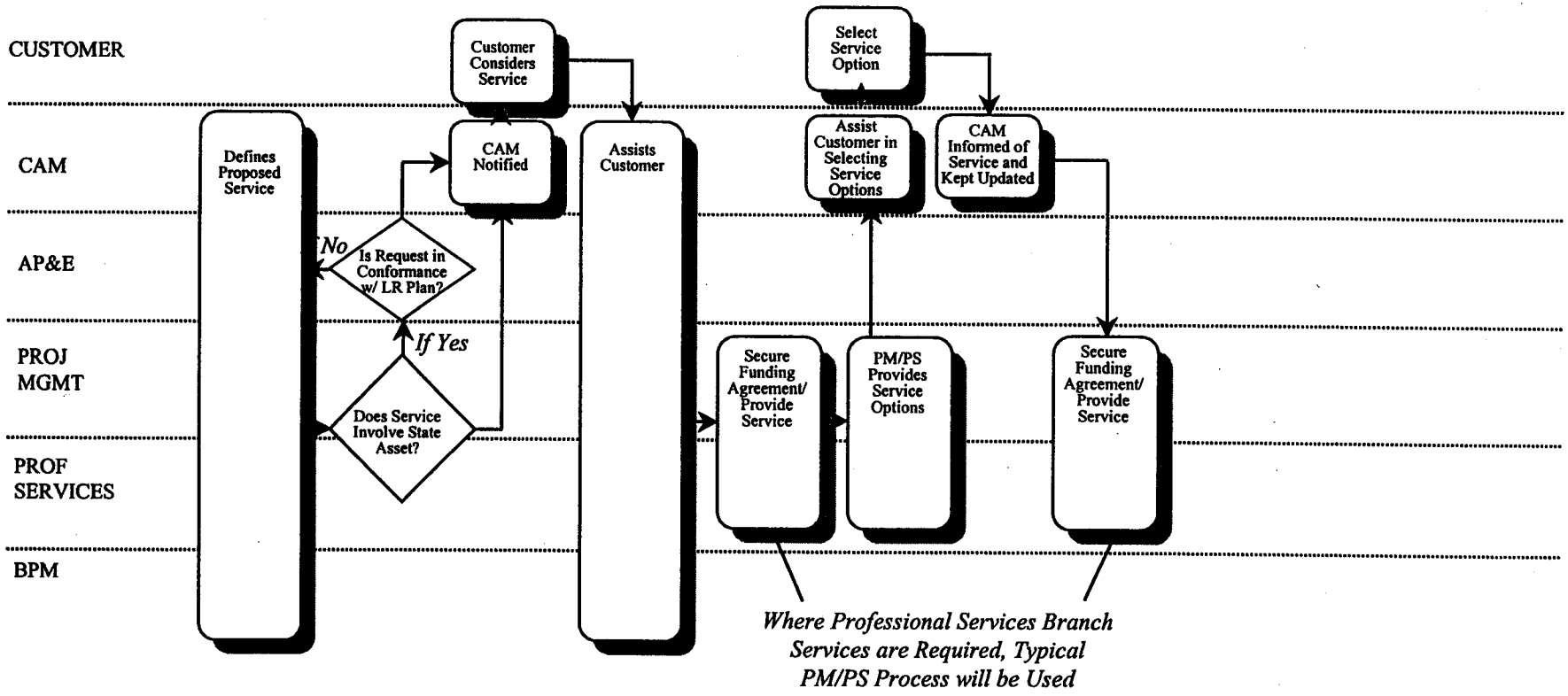


Where Professional Services Branch Services are Required, Typical PM/PS Process will be Used

Division Proposes Service to Customer - Customized Services

The process is initiated by the Division with Project Management and/or Professional Services assisting the Customer in defining the service. These services may or may not involve a State asset. If the service DOES NOT involve a State asset, Project Management and/or Professional Services secure a funding agreement and provide the service following the typical Project Management/Professional Services process (see page 3-9). If the service DOES involve a State asset, the CAM assists the Customer and checks with Asset Planning and Enhancement to confirm that the service is consistent with the Long Range Plan. If the service is CONSISTENT with the Long Range Plan, then Project Management and/or Professional services secure a funding agreement with the Customer agency and implements the request. If the project is NOT CONSISTENT with the Long Range Plan, Asset Planning and Enhancement prepares alternatives. The CAM then assists the Customer in selecting an alternative. Once the Customer has selected an alternative, the CAM is informed and Project Management and/or Professional Services secures a funding agreement with the Customer and provides the service.

Division Proposes Service to Customer - Customized Service



Preparation of a Five Year - Long Range Regional Plan

The Regional Long Range Plan (Plan) establishes the DGS policy for accommodating the State's consolidated office and related facilities. Initially, the regional plans will focus only on office space that can be consolidated; however, over time, it is expected that other types of state facilities will be integrated into the process. The Plan outlines real estate strategies for consolidation, location and cost effectiveness. A major update of the plan occurs on a rotating, annual cycle among the State's five real estate regions. The Portfolio Manager for the region is the "client" for the Plan, and the planning process is managed by the Planning Management Section. The following text and process diagram describes the process for the initial preparation of the Plan and the major five year update.

Data Collection

The data collection process begins with the preparation of long range forecasts of employment, existing space and projected space by the agencies housed within the region. For efficiency, prior to beginning the process, the Program Forecasting Section polls other RESD Sections who may be requesting information from customers. The intent is to consolidate data collection on a standard format at a time that is convenient to the customer. The data collection process is initiated by the CAM who requests the forecasts and specific issues the customer may want addressed in the Plan. When the forecasts are returned to AP&E, the Program Forecast Section consolidates the information and compares the data with the SPI. Appropriate updates are made to the SPI.

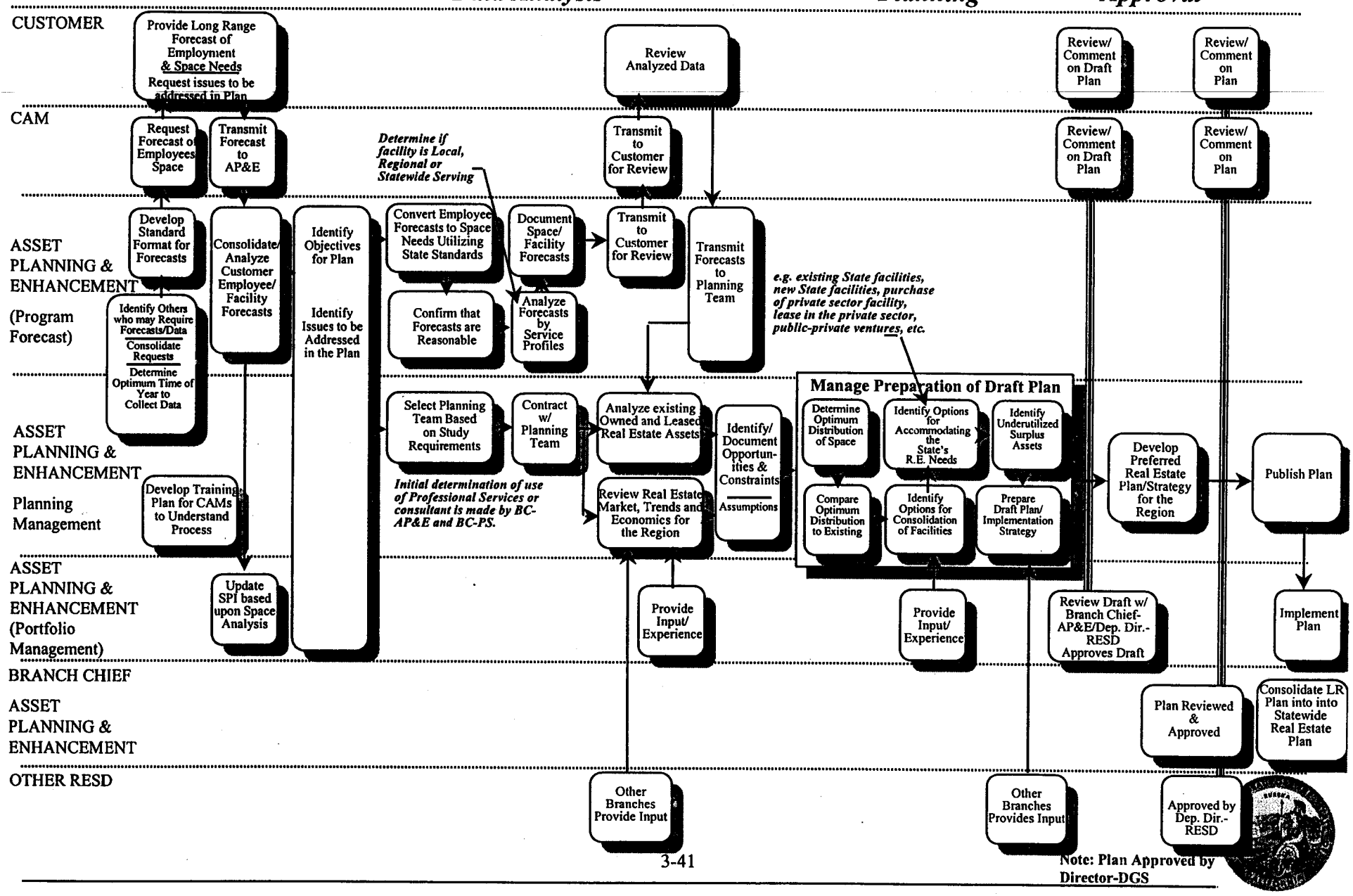
Data Analysis

The planning process begins with the identification of specific objectives issues to be addressed in the process. State standards are used to convert the Customer forecasts to overall space needs. The space needs are verified for reasonableness using State policy, trends in State government and anticipated growth or reduction within the customer agencies. The space needs are analyzed by service profile (e.g., is the use a statewide, regional or local serving function?) to establish locational criteria. The needs and the analysis are documented and returned to the customer for verification. Concurrent with the initial data analysis, the Planning Management Section begins the process of identifying the requirements of the planning process and assembling and contracting with the planning team. The Asset Planning & Enhancement and Professional Services Branch Chiefs make the initial determination of whether the work will be performed by Professional Services or an outside consultant. The planning process includes the analysis of the State's owned/controlled and private sector leased facilities. At the same time the real estate market, trends and economics for the region are analyzed to identify cost effective strategies to house State operations. The Portfolio Manager for the region, with his/her intimate knowledge of the region provides significant input along with the Professional Service real estate specialists working in the region. The analysis is documented with an outline of the regional "opportunities and constraints" along with the physical and economic "assumptions" to be used in developing the Plan.

Planning

Based upon the analysis and the service profiles, the optimum distribution of state facilities is determined. This analysis includes factors such transportation, existing consolidation, the service profile, where employees live, location of the customer's clients, etc. The existing distribution of space is then compared to the theoretical optimum, and based upon the analysis, options for consolidating and accommodating the State's needs are developed. During the course of the planning, underutilized or surplus properties are identified for disposition or further action. A draft plan and implementation strategy are prepared for review. The draft plan is offered for review by the customer and following receipt of comments and approval by the Asset Planning & Enhancement Branch Chief and the Deputy Director, the Preferred Plan/Strategy is prepared for final review. Upon approval by the Asset Planning & Enhancement Branch Chief and the Deputy Director, the Plan is published for implementation. The Regional Long Range Plan is consolidated into a Statewide Real Estate Plan by the Assistant Branch Chief.

Preparation of a Five Year - Long Range Regional Plan



The Regional Long Range Plan (Plan) is updated on an annual basis and a Annual Status Report prepared to document progress toward implementation. The purpose of the update is to identify significant changes in the market and the need for space that would required an amendment to the Regional Long Range Plan.

Data Collection

An update of the employment, existing space and projected space needs by the agencies housed within the region is requested by the CAM. Since all regions are updated annually, the request to the Customer will cover the entire state. When the completed forecasts are returned to AP&E, the Program Forecast Section consolidates the information and compares the data with the SPI. Appropriate updates are made by AP&E to the SPI.

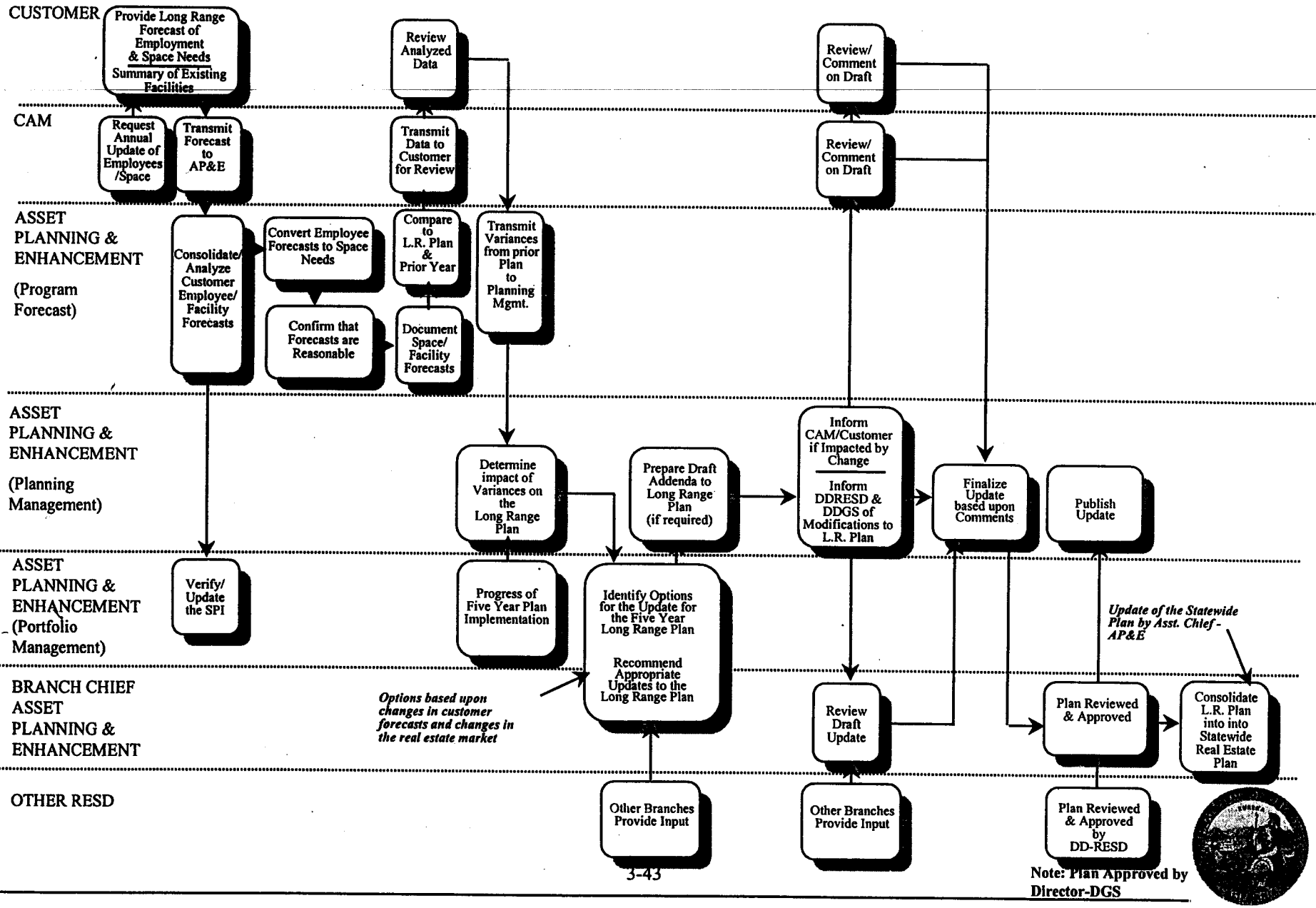
Analysis

The customer forecasts are converted to overall space needs utilizing State standards. The space forecasts are verified for reasonableness by comparing them against State policy, trends in State government and anticipated growth or reduction within the customer agencies. Following documentation, the forecasts are compared with the Regional Long Range Plan and the prior year's analysis to determine if there are significant changes. The analysis is then reviewed and confirmed by the Customer and the findings transmitted to the Planning Management Section which determines potential impacts on the Plan. Concurrently, the regional Portfolio Manager reports on the progress made toward the implementation of the Plan within the prior year.

Planning

The Portfolio Manager and the Asset Planning & Enhancement Branch Chief review options for the update of the Plan and, if appropriate, make recommendations for the update of the Plan. When an update is required, the Planning Management Section prepares the draft amendment to the Plan. The Deputy Director Real Estate Services and the Director of DGS are notified of the recommended amendments along with Customers that may be affected by the update. Following the review and comment, the update is approved by the Asset Planning & Enhancement Branch Chief, Deputy Director Real Estate Services and the Director of DGS. The update is published and the amendment incorporated into the Statewide Real Estate Plan.

Annual Status Report & Update of the Five Year - Long Range Regional Plan



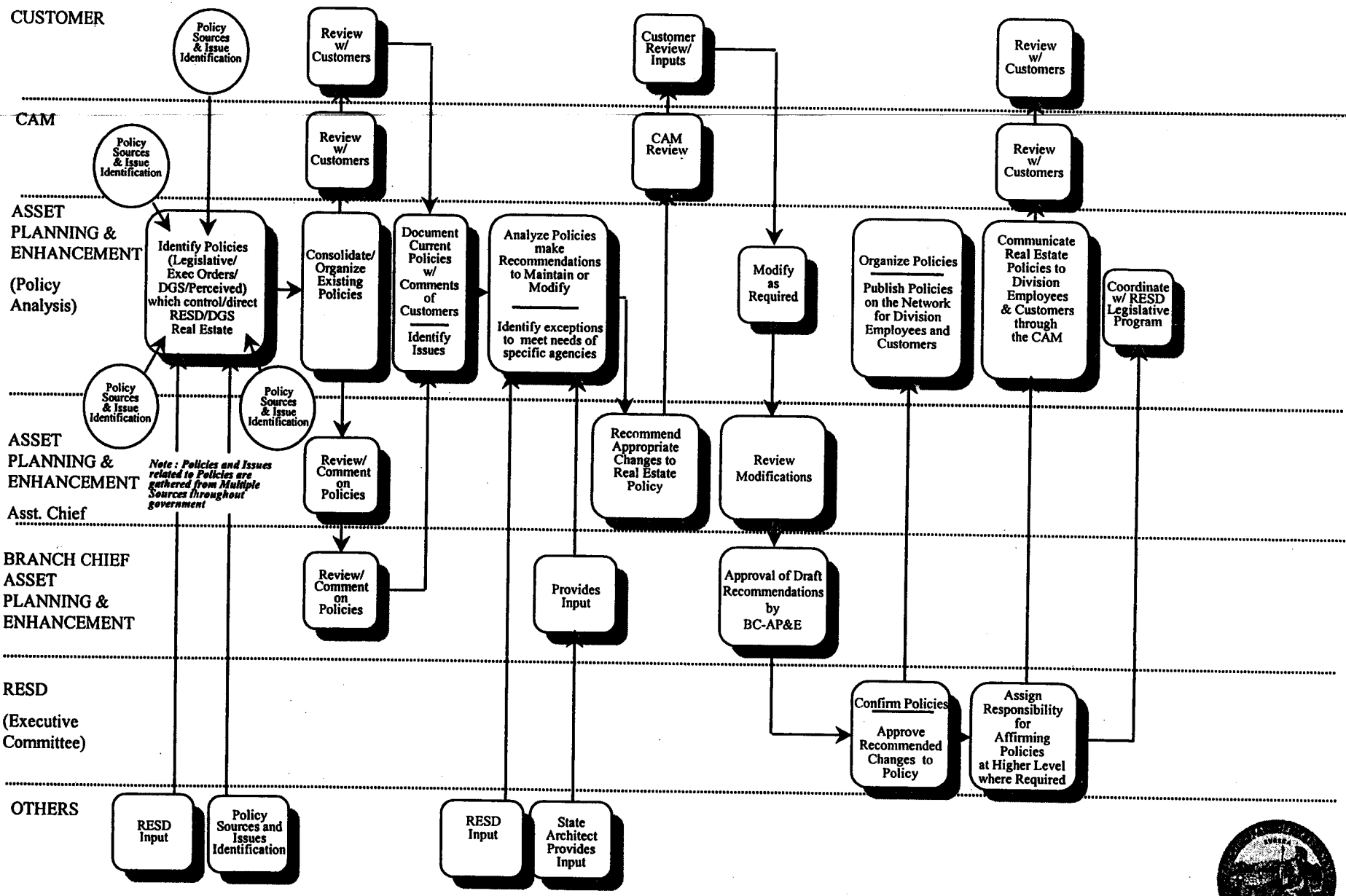
During the start up of the RESD, the policies that govern the State's real estate operations are identified and evaluated, and recommendations are made to the RESD Executive Committee or other policy bodies to confirm, consolidate or amend the existing body of policies. The building standards currently documented in the SAM are also evaluated, and recommendations made to the RESD Executive Committee or other appropriate bodies to confirm, consolidate or amend the building standards. The following text and diagram describe the initial process to update the State's real estates policy. The process to update the building standards would be similar.

The Policy Analysis Section identifies the existing policies that control or direct the State's real estate operations. Input on the identification of the policies and the impact of the policies on government operations is sought from Customers and others throughout State government. The policies are consolidated and reviewed with customers to verify completeness and the apparent impact of the policies on the State operations. Specific exceptions to the general policies are noted. The State Architect provides specific input on policies and standards that enhance the quality of State facilities.

Based upon the input received from the review of the existing policies, draft recommendation as are made relative to maintaining, consolidating, and revising the State's real estate policies. The recommendations are reviewed by the Customers and the Asset Planning & Enhancement management prior to forwarding to the RESD Executive Committee for confirmation/approval.

Based upon the approval and input by the RESD Executive Committee the Policy Management Section organizes the policies and publishes the policies on the RESD network for reference by Customers and RESD employees. The RESD Executive Committee assigns the responsibility within RESD for affirming policies where required from the higher levels of government and authorizes the Policy Section to communicate policies to the Customers through the CAM. The Executive Committee will communicate to the Customers upper management and will coordinate with the Legislature to effect confirmation or amendment of State's real estate policy.

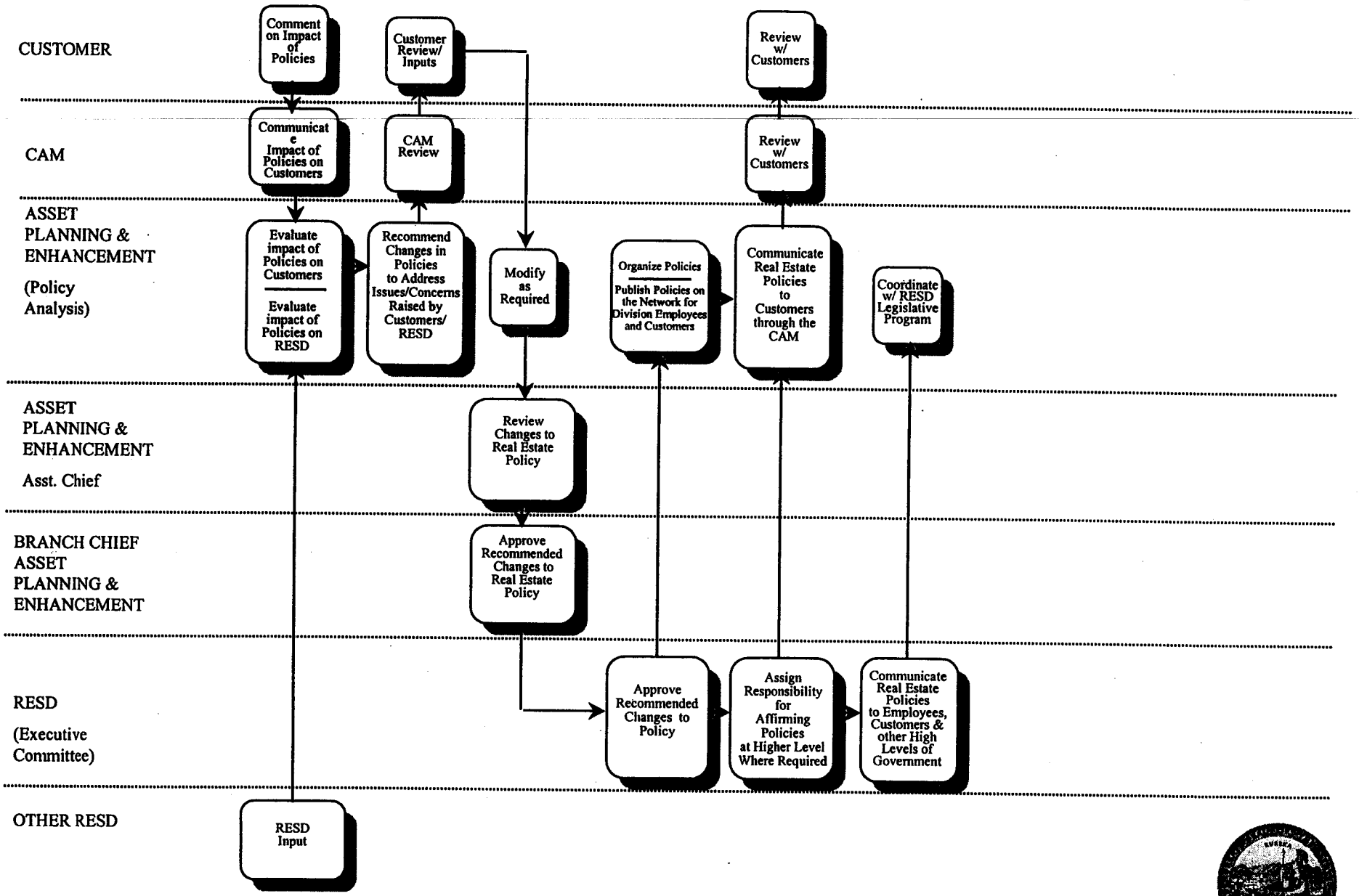
Real Estate Policy - Initial Process



Annually the Policy Analysis Section evaluates the use and effectiveness of the State's real estate policy. Input is sought from throughout RESD, from the Customers through the CAMs and from the State Architect. Based upon the input, recommended changes are identified to address specific issues or concerns. The recommendations are reviewed by the Customers and then by Asset Planning & Enhancement prior to review by the RESD Executive Committee.

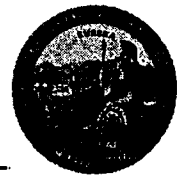
Based upon the action of the RESD Executive Committee, the Policy Management Section integrates the policy amendments into the RESD policy document and publishes the amended policies on the RESD network for reference by Customers and RESD employees. The RESD Executive Committee assigns the responsibility within RESD for affirming policies where required from the higher levels of government and authorizes the Policy Section to communicate policies to the Customers through the CAM. The Executive Committee communicates the policy changes to the Customer's upper management and coordinates with the Legislature to effect confirmation or amendment of the State's real estate policy.

Real Estate Policy - Annual Policy Update

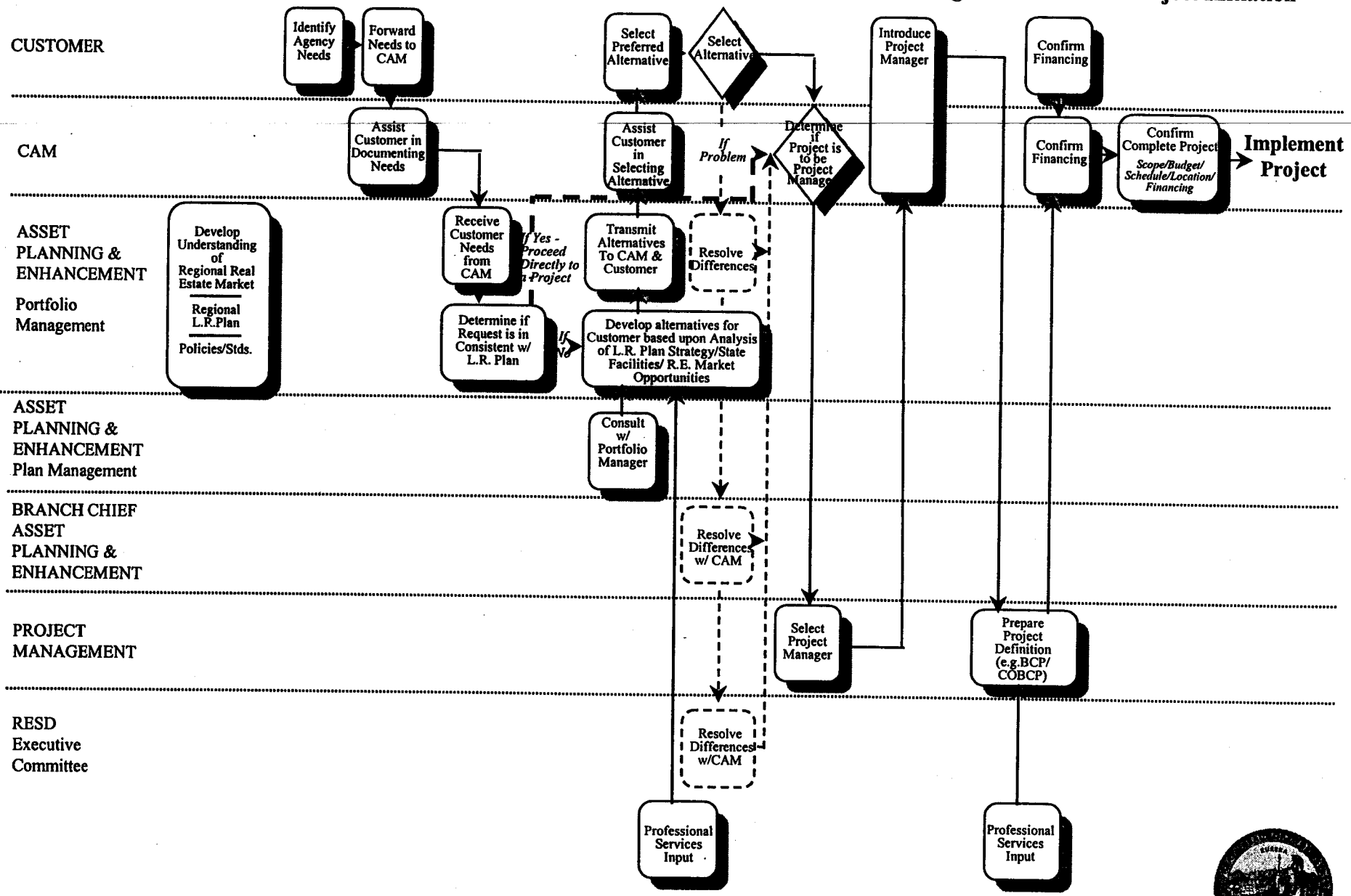


The State's real estate assets are managed in five geographic regions. The real estate within each region is managed by a Portfolio Manager. The Portfolio Manager undertakes of the role of the "Owner" on behalf of the Director of DGS and the State, and in the real estate process plays a key role in the identification and development of "projects" or actions to meet the needs of the Customers. The process diagram (opposite) outlines the role of the Portfolio Manager within the typical process for the development of a new project (see typical project flow).

Once the Customer determines a business need that requires a new facility, the CAM assists the customer in identifying the need through the use of standardized forms. The CAM forwards the Customer's needs to the Portfolio Manager in the appropriate region. The Portfolio Manager reviews the request to determine if it is consistent with the Long Range Plan. If the request is site specific and consistent, the request is returned to the CAM who will determine how the project will be managed to completion. If the request is less definitive, the Portfolio Manager will offer alternatives to meet the needs of the Customer. The development of the alternatives may require the input or assistance of the Professional Services Branch. The alternatives are presented to the Customer through the CAM. If the Customer is unable to accept one of the alternatives, negotiations proceed first with the Portfolio Manager then the Asset Planning & Enhancement Branch Chief and finally the RESD Executive Committee. Once an agreement is reached on the general solution to meet the need, the CAM determines how the project will be managed. If the project needs pre-development or feasibility studies to refine the location, scope, budget, schedule and final funding, that work will commence upon the determination of the available feasibility funding from the Customer. If the project is ready for implementation, the CAM will confirm the financing to complete the work and authorize the implementation of the project.



Portfolio Management Process - Project Initiation



The portfolio manager is responsible for both DGS Owned and Controlled Facilities as well as Leased Facilities.

DGS Owned or Controlled Facilities

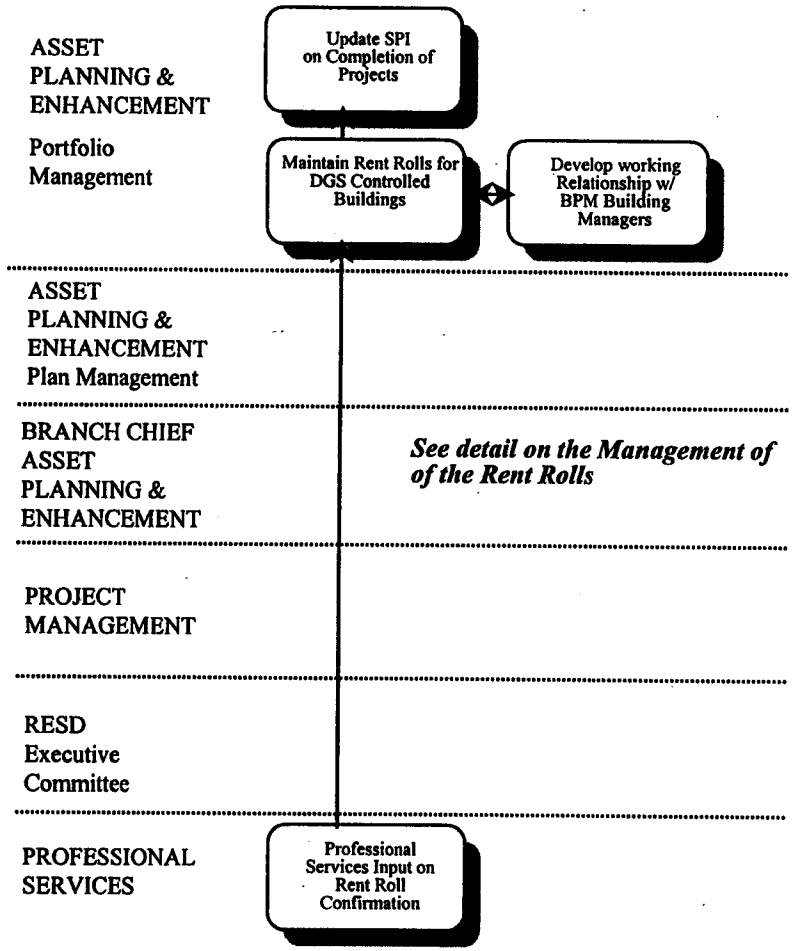
The Portfolio Manager maintains the Rent Rolls for the DGS Owned and Controlled Facilities. During the course of the management of the Rent Rolls, appropriate changes are made to the SPI. The Portfolio Manager works closely with the Professional Services space planner assigned to the facility along with the Building Manager to assure that the rent is correctly allocated to the tenants. (See Rental Management of DGS Owned/Controlled Facilities that follows)

Leased Facilities

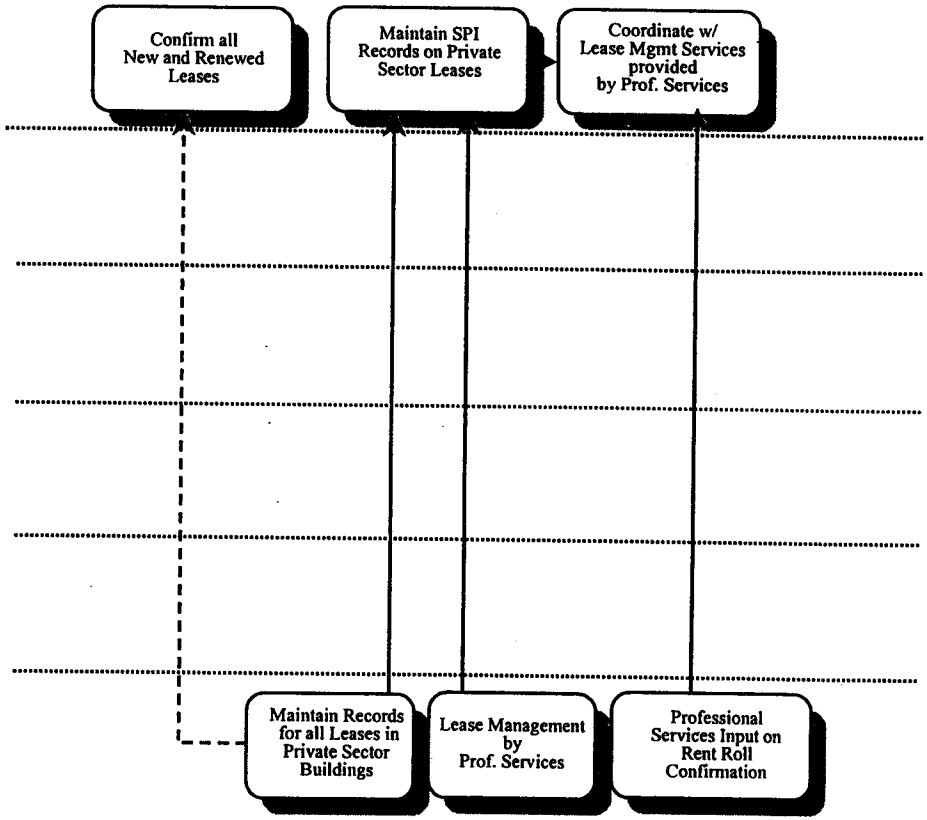
The Portfolio Manager indicates approval of all new and renewed leases as confirmation that the leases are consistent with the Long Range Plan. Professional Services maintains the records for all State leases in private sector facilities and AP&E makes appropriate changes to the SPI. Professional Services performs the Lease Management Services and monitors the performance of the landlords. Professional Services also assists the Portfolio Manager and BPM in the monitoring of the Rent Rolls.

Portfolio Management Process - Leased/DGS Controlled Facilities

DGS Owned or Controlled Facilities



Leased Facilities

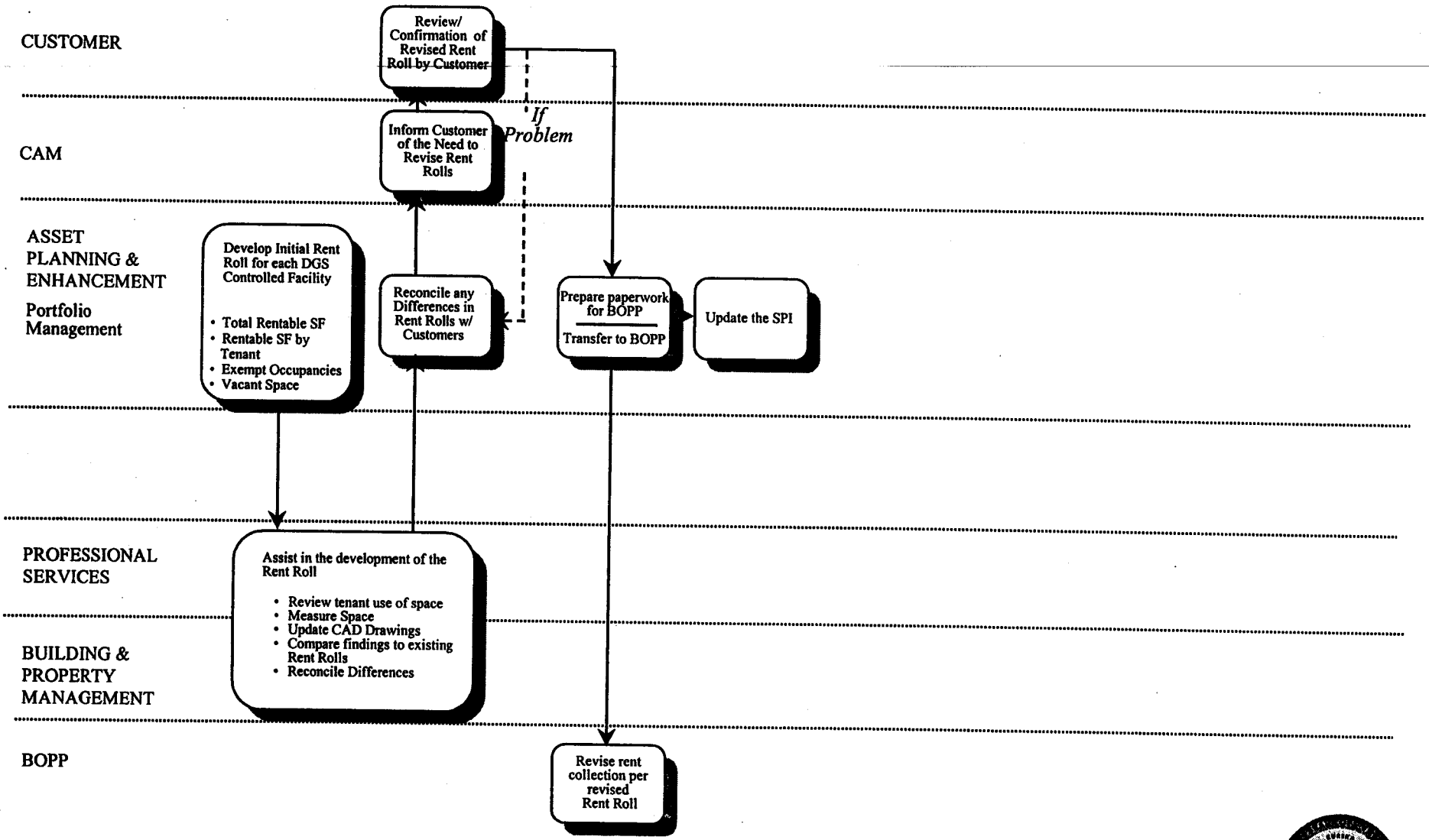


Asset Planning & Enhancement is responsible for the management of the State's real estate portfolio. Asset Planning & Enhancement undertakes the role of the "Owner" and is responsible for assuring that the Statewide Property Inventory is accurately maintained, the Rent Rolls and rent collections are accurate and building occupancy is maximized. Building and Property Management is responsible for the management, operations and maintenance of the buildings according to an established budget and program. The local building manager provides the direct communication with the tenants. The Portfolio Manager and the Building Manager maintain a close relationship to assure that Asset Planning & Enhancement is apprised of issues affecting the tenancy or systems of the building, and that the Building Manager is fully apprised of plans and programs for the building.

PREPARATION OF THE INITIAL RENT ROLL

An initial base Rent Roll is established for all DGS Owned/Controlled facilities. The Portfolio Manager works with a team composed of a space planner from Professional Services and the BPM Building Manager. The Rent Roll for each building is composed of the Total Rental Square Footage, the Rentable Square Footage attributed to each tenant, the Rentable Square Footage attributed to exempt tenants and Vacant Rentable Space. The team reviews the use of space by each tenant, measures the space and prepares or updates CAD-based building occupancy drawings. The findings of the analysis are compared to the existing allocation of rentable space for each of the tenants. Discrepancies between the findings and the existing rent structure are reported to the Portfolio Manager who reconciles the differences with the Customer through the CAM. Where required the Portfolio Manager prepares the necessary paperwork for BOPP to revise the collection of rent. The Portfolio Manager makes appropriate updates to the SPI.

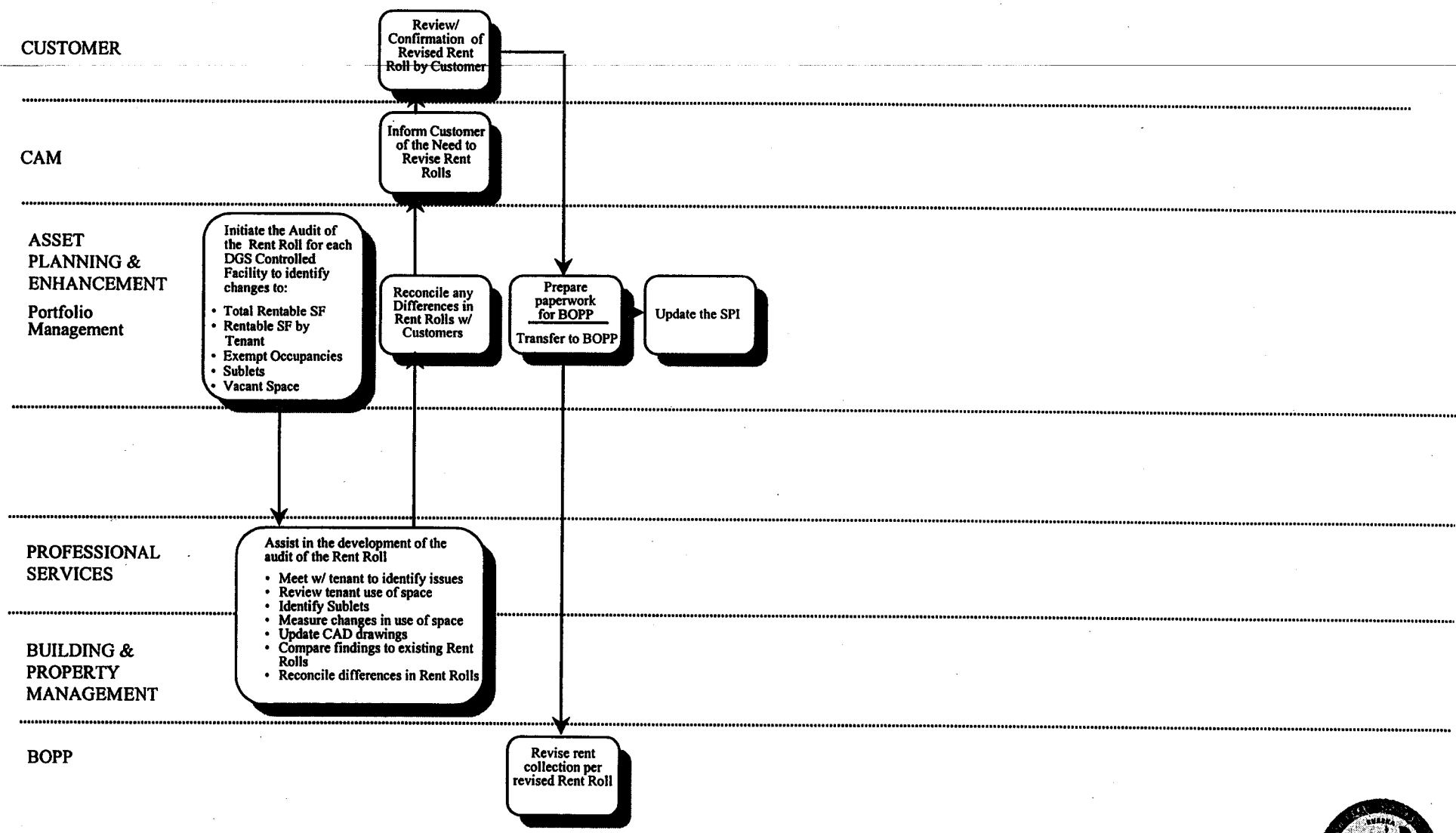
Phase I - Preparation of Initial Rent Roll



PERIODIC UPDATE OF THE RENT ROLLS

On a periodic basis the Portfolio Manager initiates an audit of the Rent Roll for each of the DGS Owned/Controlled facilities. The Portfolio Manager works with a team composed of a space planner from Professional Services and the BPM Building Manager. The Rent Roll for each building is composed of the Total Rental Square Footage, the Rentable Square Footage attributed to each tenant, the Rentable Square Footage attributed to exempt tenants and Vacant Rentable Space. In addition to the above items the team will determine if any of the space is being sublet by the existing tenants. The team meets with the tenants to identify any issues relative to their use of the space and reviews the use of space by each tenant, identifies any changes to the space configuration since the last audit, measures the changes to the space and prepares or updates CAD based building occupancy drawings. The findings of the analysis are compared to the existing Rent Roll for each of the tenants. Discrepancies between the findings and the Rent Roll are reported to the Portfolio Manager who reconciles the differences with the Customer through the CAM. Where required the Portfolio Manager prepares the necessary paperwork for BOPP to revise the collection of rent. The Portfolio Manager makes appropriate updates to the SPI.

Phase II - Periodic Update of the Rent Rolls

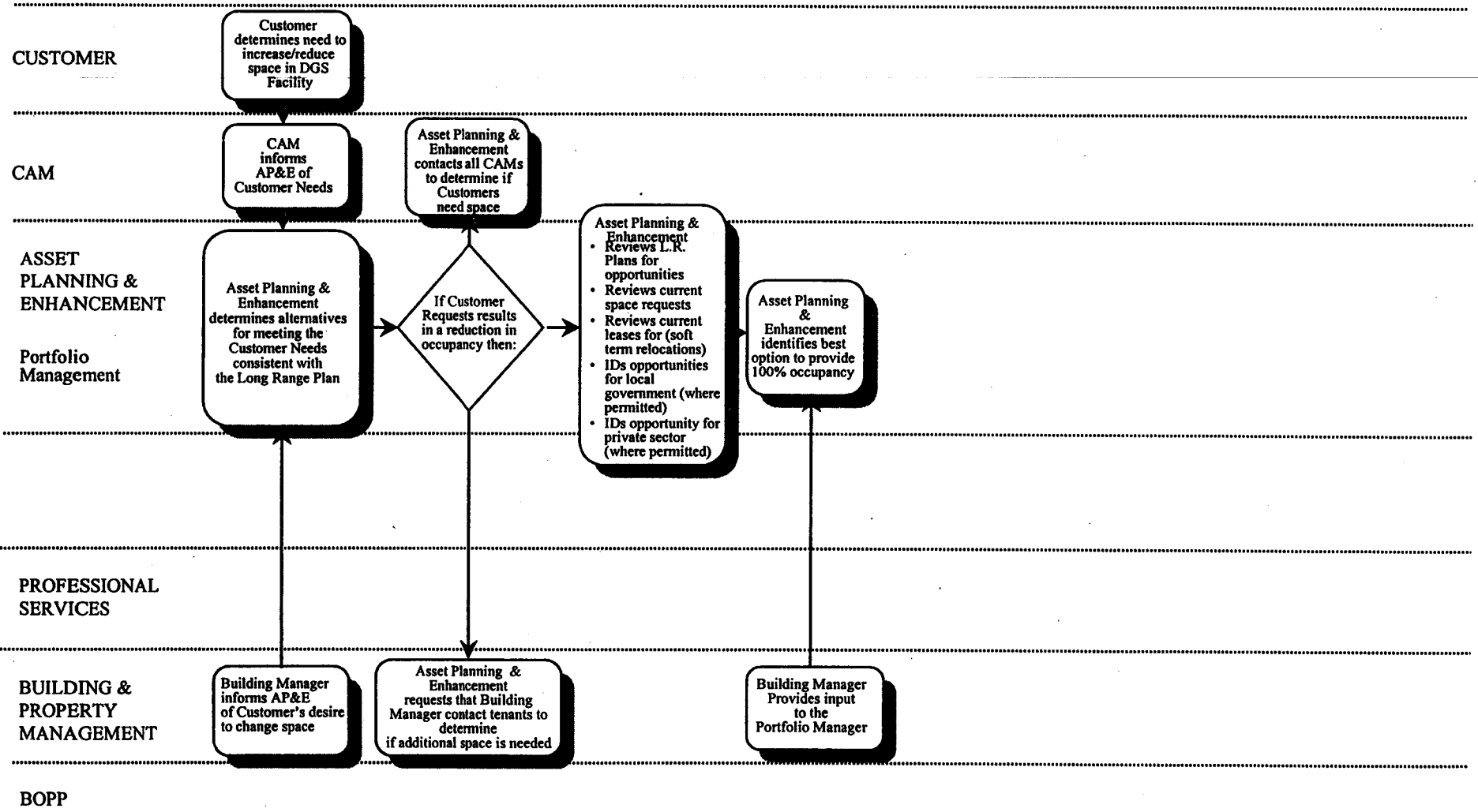


MANAGEMENT OF BUILDING OCCUPANCY

The following outlines the process to be followed when a tenant in a DGS Owned/Controlled facility desires to increase or reduce its space. The Customer notifies the CAM (or the Building Manager) of their intentions who in turn notify the Portfolio Manager.

The Portfolio Manager has the primary responsibility to maintain the occupancy in the facility and initiates a process to determine the alternatives to ensure full occupancy. The diagram documents the process for backfilling space by a tenant that is intending to vacate space. The Portfolio Manager requests the Building Manager to contact the existing tenants of the building to determine if they require additional space. At the same time the Portfolio Manager contacts the CAMs to determine if any of their Agencies require additional space. The Portfolio Manager reviews the Long Range Plan to identify opportunities, reviews the current requests for new space within the region, and reviews the current leases to identify the potential for soft term leases that could be relocated to the State facility. If State tenants cannot be identified, then the Portfolio Manager investigates the legality for offering the space to other local, regional or federal entities and/ or the private sector.

Management of Building Occupancy

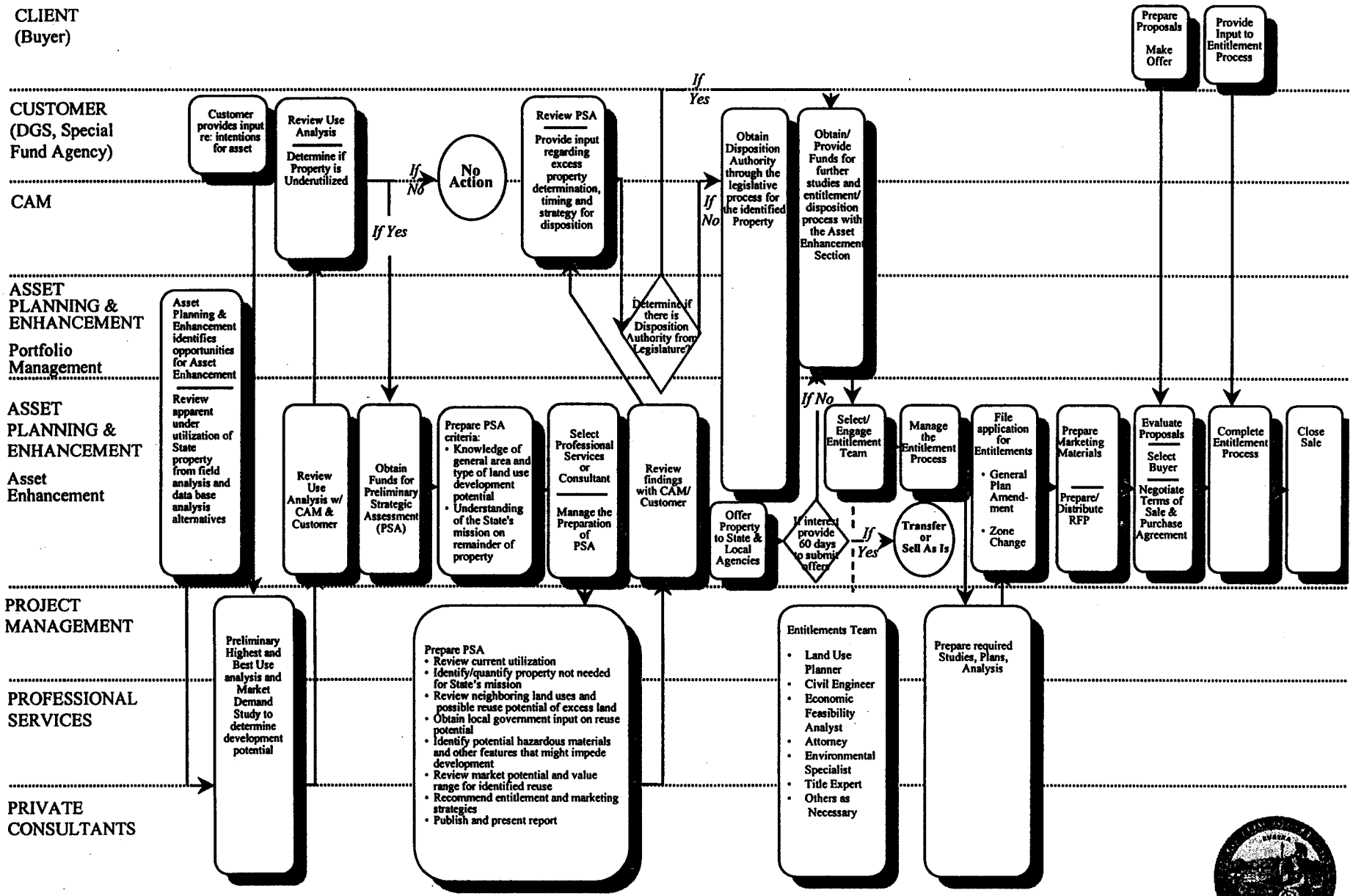


Asset Planning & Enhancement identifies opportunities to enhance the inherent value of State assets that are considered underutilized or surplus prior to disposition. The value of the real estate assets are enhanced by obtaining the optimum entitlements, subdividing and/or providing appropriate infrastructure. The Asset Enhancement Section reviews the candidate properties and engages Project Management, Professional Services or private consultants to create a Highest and Best Use Study to determine the potential for enhancing the value of the property. The analysis is reviewed with the Customer and a determination is made whether the value enhancement process should proceed. If the decision is made to not proceed, no action is taken. If the decision is made to proceed, the Customer or Asset Enhancement obtains funds for a Preliminary Strategic Assessment (PSA). The PSA is prepared by Project Management, Professional Services or private sector consultants. The PSA includes a review of the current utilization of the land and an identification of the land required for the continued program use of the Customer and the identification of the land that is underutilized or surplus. The site environs are analyzed for their land use and circulation patterns. The attributes of the site are evaluated, including hazardous materials, or other factors that impact future development. The local entitling agencies are consulted to determine their thoughts on the re-use of the land. The real estate market is evaluated, and the most likely re-use of the site (to create the highest value) is identified. The findings of the PSA are reviewed with the Customer and, following review of the study, if the decision is to proceed with the asset enhancement, the authority to dispose of the property is researched. If additional authority is required from the Legislature, the Asset Enhancement Section proceeds to obtain the authority with the assistance of the customer.

The Asset Enhancement Section reviews with Portfolio Managers the appropriateness for other State reuse and then may offer the property to local agencies prior to or concurrent with advertizing the property to the general public. If agencies express interest they are given 60 days to submit offers and negotiate acceptable terms. Assuming an acceptable offer the property is sold or transferred according to existing State law. If no interest is expressed by other agencies, the Customer or Asset Enhancement obtains the necessary funds and authorizes the Asset Planning & Enhancement Section to proceed with the entitlement process.

The Asset Enhancement Section engages the services of Project Management, Professional Services, and/or private sector consultants to prepare the required studies, plans and analysis. Typically market analysis, land use planning, preliminary engineering and environmental and economic feasibility analysis are undertaken in sufficient depth to enter into the entitlement process. Once the entitlement process proceeds and there is a preliminary understanding between the entitling agency and the Asset Enhancement Section as to the probable future use of the property, Asset Enhancement prepares marketing materials and publishes a Request for Proposal to the development community. Offers are received and evaluated, and the terms of sale are negotiated with the Buyer. The Buyer provides input into the final entitlement process to ensure that the development entitlements are tailored specifically to the needs of the Buyer. Asset Enhancement completes the entitlements, implements infrastructure improvements (if required) and closes the sale with the Buyer.

Asset Enhancement



General Approach to Business Operations, Policy and Planning Branch

The Business Operations, Policy and Planning Branch provides common administrative functions and support services for all the RESD Branches. Its business processes include four main areas:

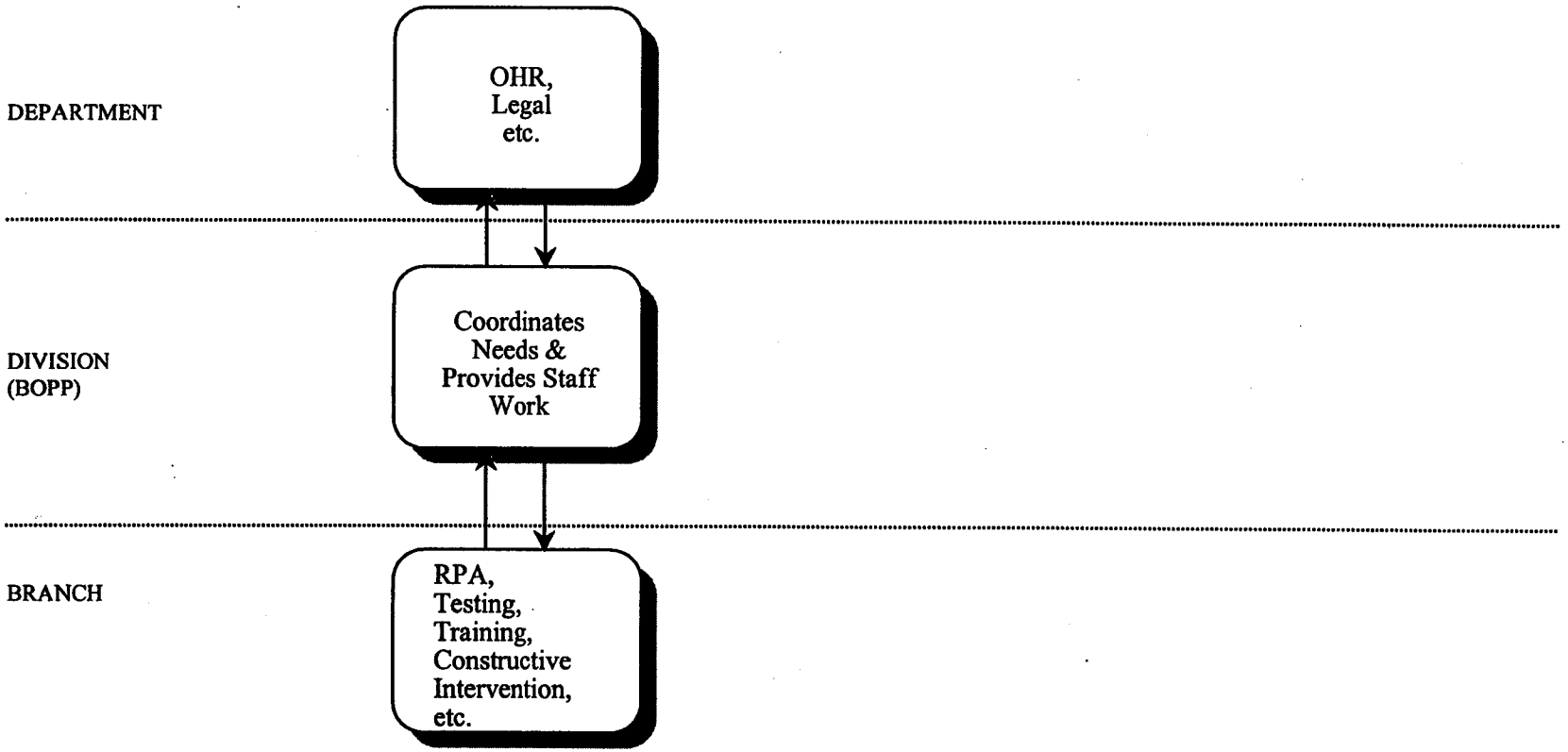
Human Resources
Contracts
Budget and Accounting
Information Services

General Approach to BOPP/Branch/Department Interaction

Work priorities will be set by each Branch. Any competing priorities will be elevated to BOPP management for a resolution intended to provide Branch satisfaction. BOPP will work with the Department level functions such as the Office of Human Resources and Office of Fiscal Services to achieve efficient and consistent directions and instructions, and to standardize forms, processes, procedures and communications.

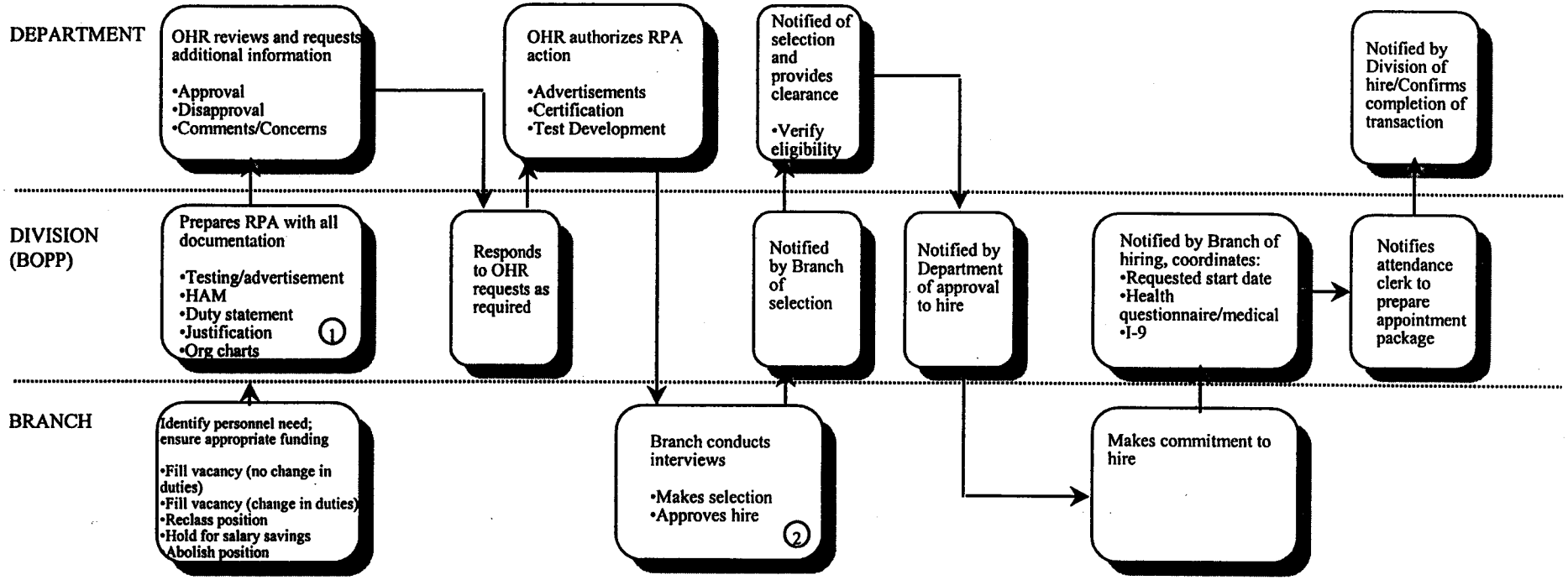
General Approach to HR Support

The operating Branches have needs for RPA's, testing, training, constructive intervention and other related human resources requirements. The BOPP Human Resources unit would coordinate these needs with the DGS Office of Human Resources and provide the necessary staff work to assist the Branches in carrying out the human resources functions. The objective is to provide service to the Branch Chiefs by providing qualified trained staff to support their needs.


DEPARTMENT
OHR, Legal etc.
DIVISION (BOPP)
Coordinates Needs & Provides Staff Work
BRANCH
RPA, Testing, Training, Constructive Intervention, etc.

The Branch identifies the personnel need and insures funding. The BOPP HR Section prepares the RPA with all documentation required and forwards it to OHR. OHR approves or disapproves and provides comments and concerns. BOPP responds to OHR's request as required, resulting in authorization by OHR of the RPA action. The Branch conducts interviews, makes the selection and approves the hiring. BOPP will assist in the selection and interview process. BOPP is notified by the Branch and provides appropriate notification of selection to OHR which provides clearance, verifies eligibility and notifies the BOPP of approval to hire. The Branch then makes the commitment to hire the individual. BOPP coordinates the requested start date, health and medical questionnaires and I-9, and notifies the attendance clerk to prepare the appointment package. BOPP notifies the Department of the hire and OHR confirms the completion of the transaction.

HR Support
Project Flow - RPA Process

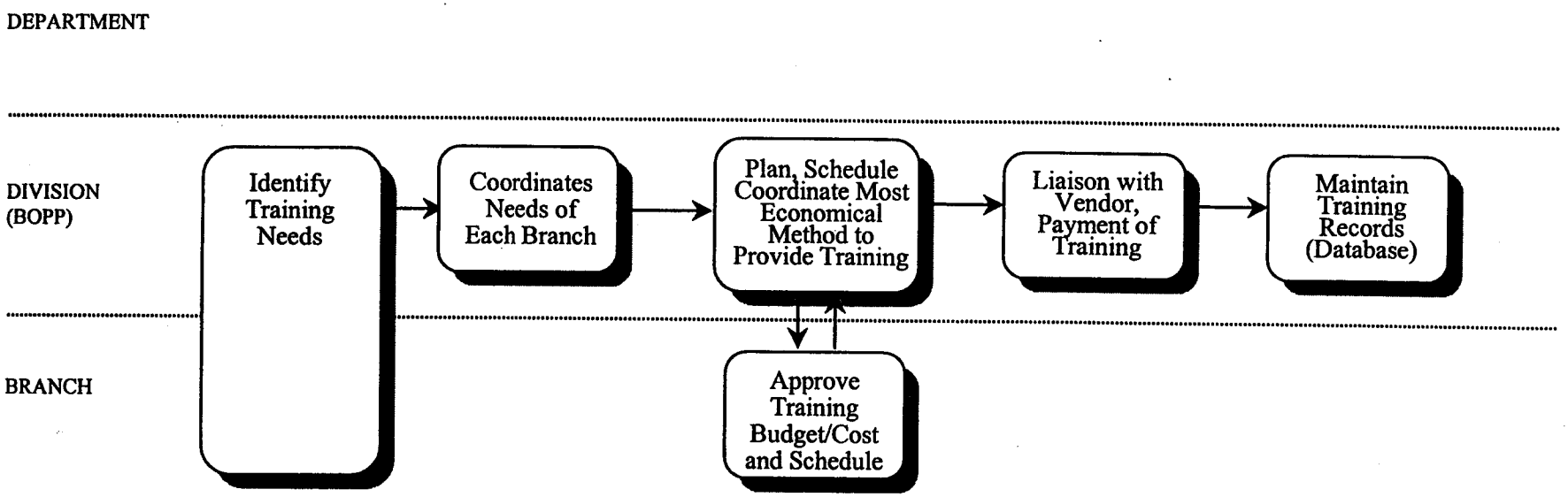


① BOPP responsible for questions, concerns and responses to OHR.

② Branch to involve assigned BOPP staff for coordination efforts, if necessary or desired. Branch can use assistance of Division (BOPP) to complete requests.

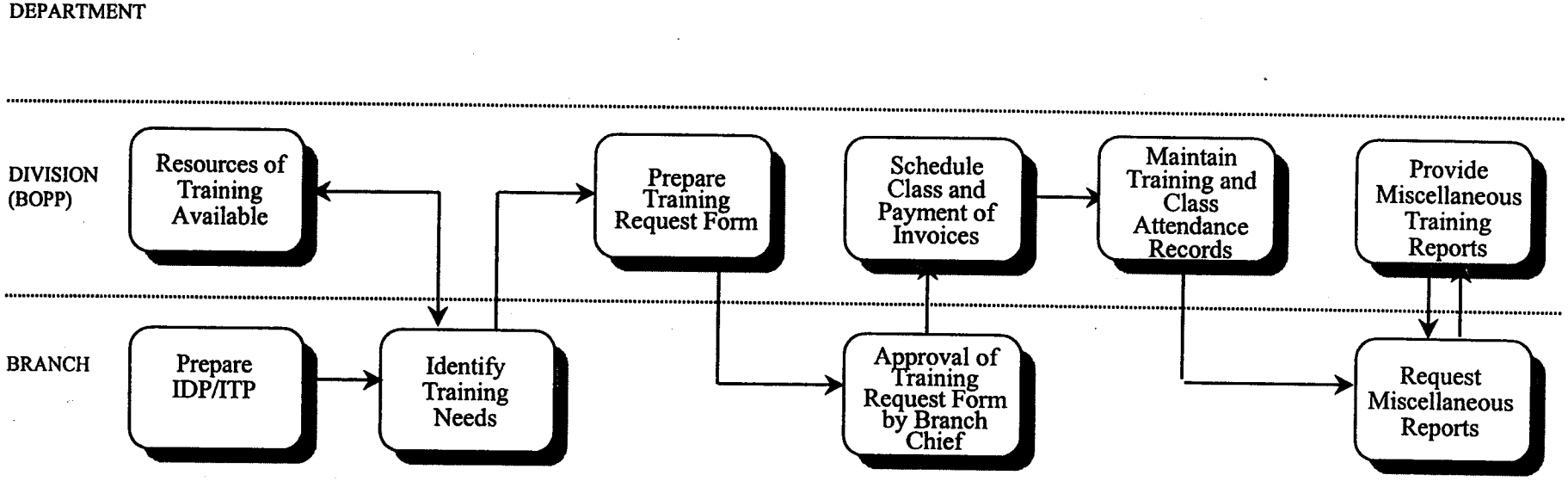
The Branch identifies training needs with the assistance of BOPP. BOPP coordinates the needs of each Branch and plans, schedules and coordinates the most economical method to provide the training. The Branch approves the training budget, cost and schedule. BOPP maintains liaison with the vendor, arranges payment for the training and maintains the training records data base.

This process describes the most economical and efficient means to train Division/Branch staff, including cross-educational functions for the Branch.



The Branch prepares an IDT/ITP and identifies specific training needs with the approval of the Branch Chief. BOPP maintains training resources available. BOPP assists the Branch in preparing the training request forms. BOPP schedules the class and arranges payment on invoices. BOPP also maintains training and class attendance records. BOPP provides miscellaneous training reports at the request of the Branch.

This process describes how the Branch can better identify individual employee training needs and manage training budgets.

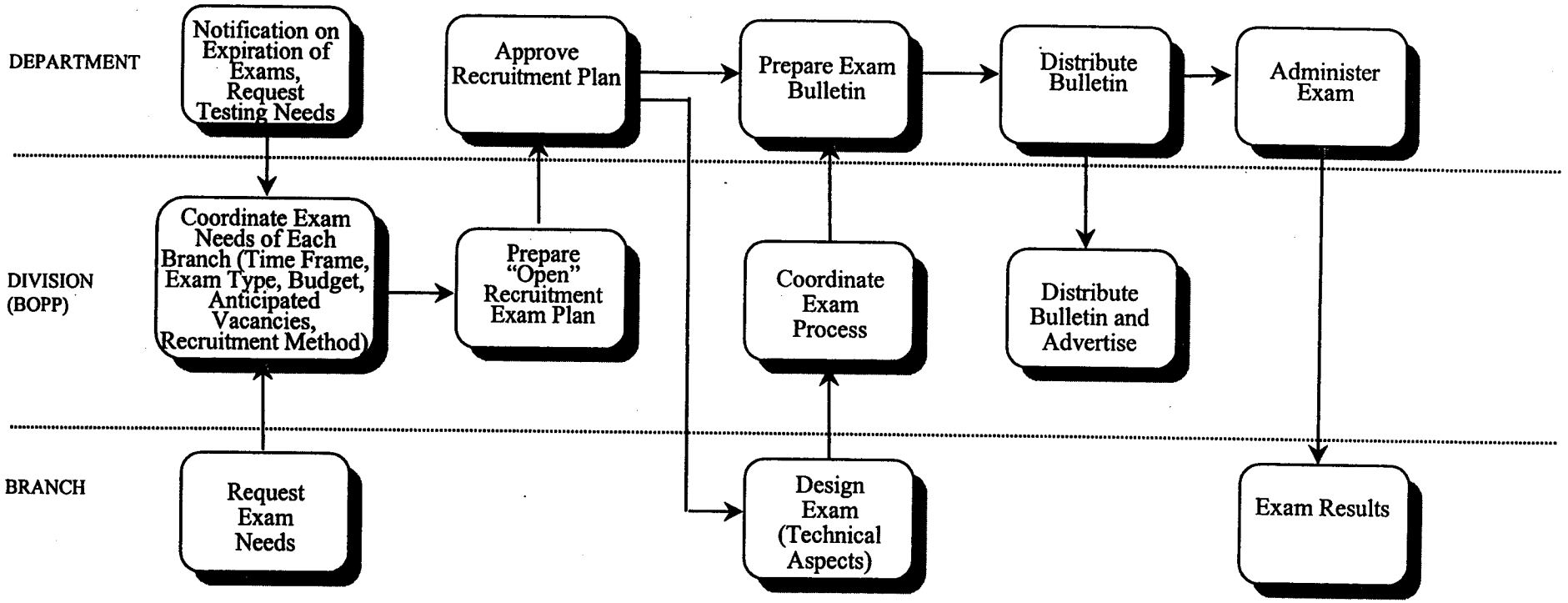


IDP: Individual Development Plan
ITP: Individual Training Plan

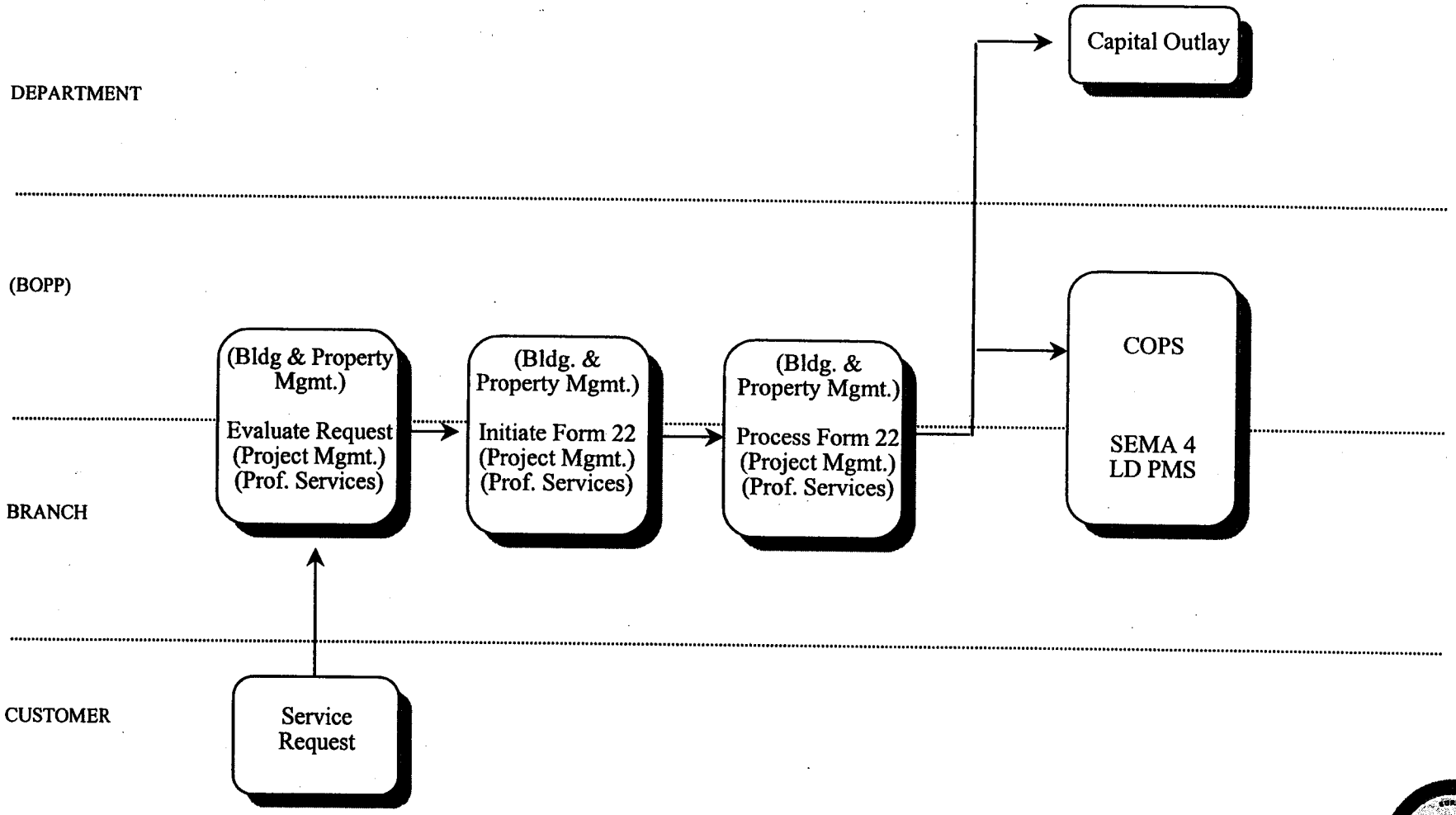
The Branch requests an exam. BOPP coordinates the exam needs of each Branch including the time frame, type of exam, budget, anticipated vacancies and recruitment method. The Department also may provide notification on expiration of exams and request testing needs.

BOPP prepares an open recruitment exam plan which is approved by the Department. The Branch designs the technical aspects of the exam which is coordinated by BOPP with the Department who prepares the exam bulletin and distributes the bulletin. BOPP coordinates the distribution of the bulletin and advertisements. The Department administers the exam and the Branch reviews the exam results.

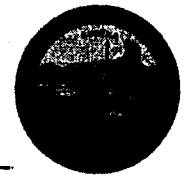
This is the process for scheduling open and promotional exams. The process describes the most economical and efficient method to process exams for the Division.

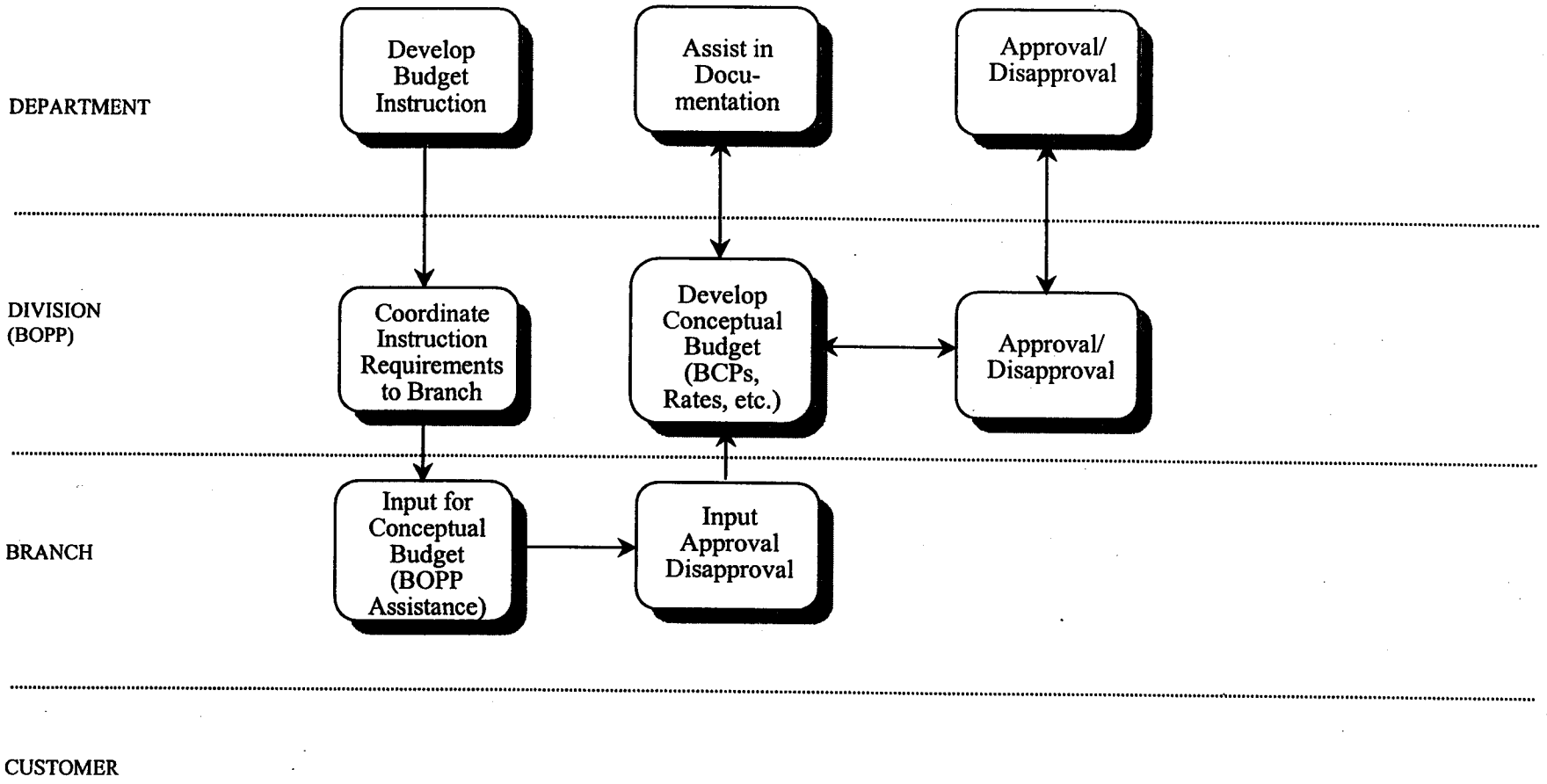


For Project Management and Professional Services, the customer provides a service request which is evaluated and processed by the Branch. For Building and Property Management, the Customer provides a service request which is evaluated and processed by the BOPP. Processing includes obtaining approvals from the Department of Finance and the State Controllers Office as well as customer notification of such approvals. Information is then input into the capital outlay accounting system. The Branch assures that the COPS, SEMA4, and LDPMS systems are updated.

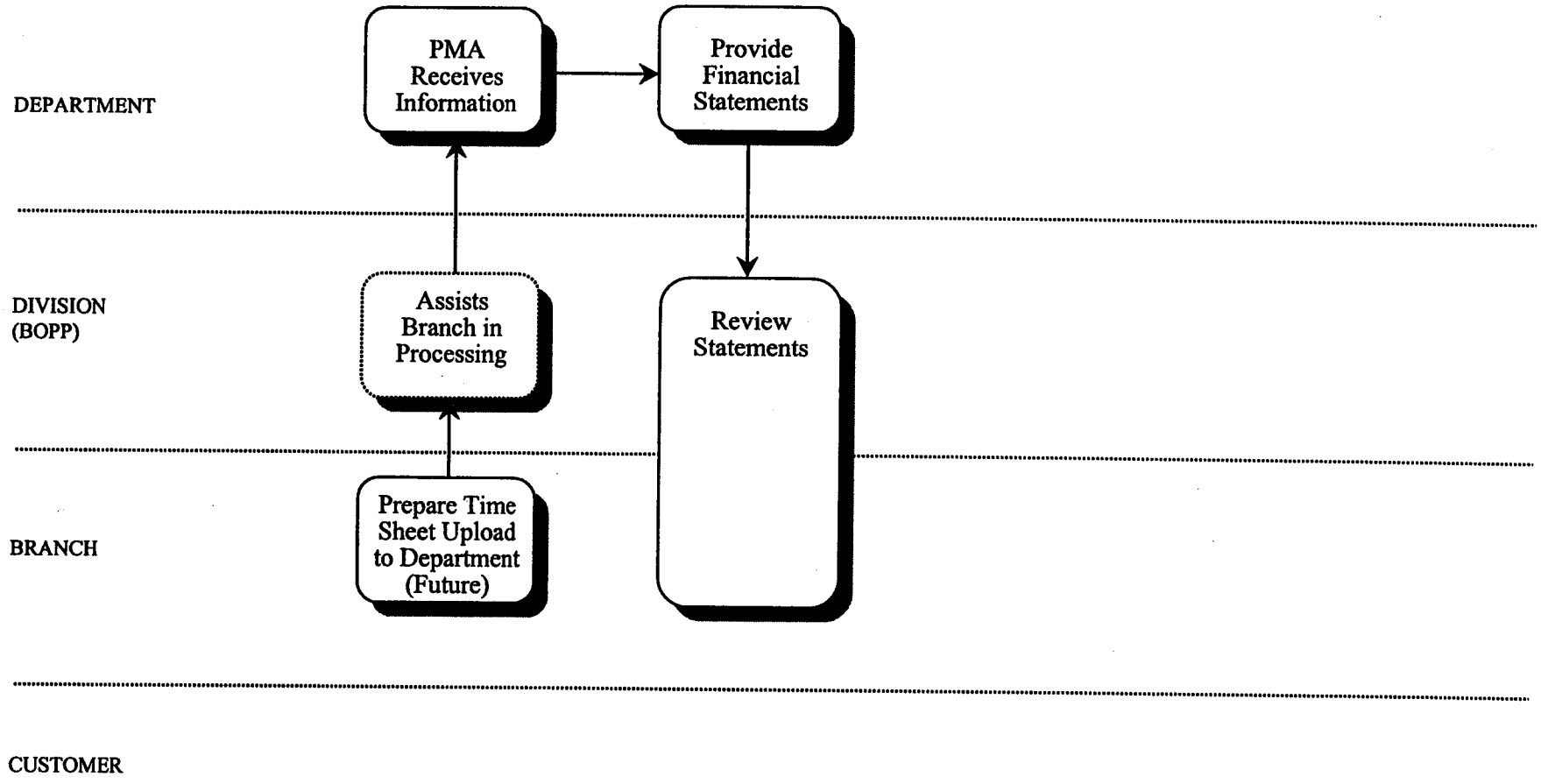

Capital Outlay
DEPARTMENT
(BOPP)
(Bldg & Property Mgmt.)
Evaluate Request
(Project Mgmt.)
(Prof. Services)
(Bldg. & Property Mgmt.)
Initiate Form 22
(Project Mgmt.)
(Prof. Services)
(Bldg. & Property Mgmt.)
Process Form 22
(Project Mgmt.)
(Prof. Services)
COPS
SEMA 4
LD PMS
BRANCH
CUSTOMER
Service Request

The Department develops budget instructions and distributes to BOPP. The BOPP coordinates the budget instruction information to the Branch. The Branch with the assistance of BOPP develops the input for a conceptual budget. BOPP prepares the conceptual budget including the RESD BCP's, rates, etc. The Department assists in the documentation prepared by BOPP. BOPP seeks Divisional approval which then goes on to the Department for approval . Resolution of any disapprovals is part of the BOPP coordination activities.

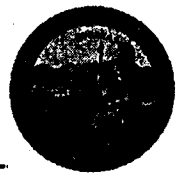


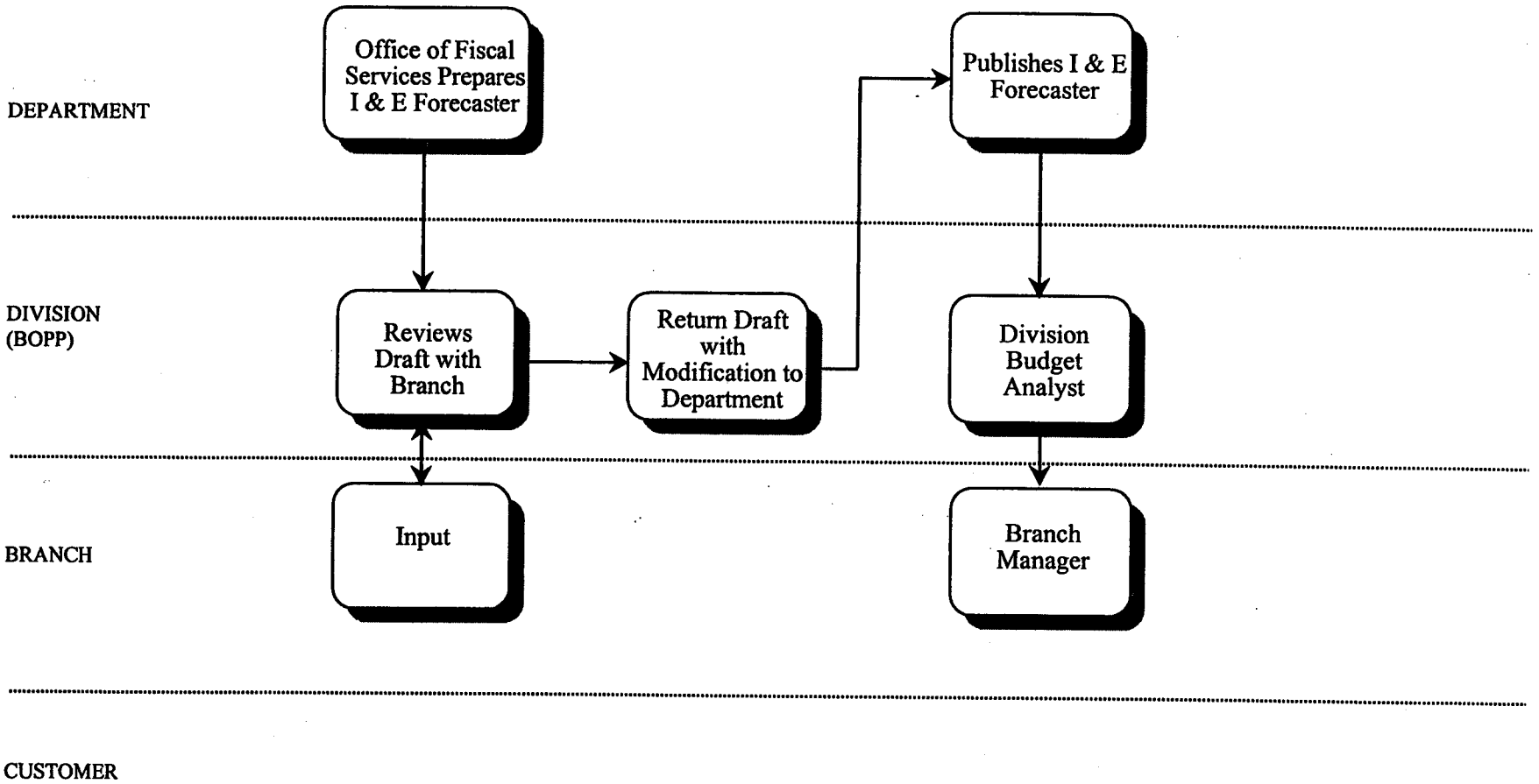

DEPARTMENT
DIVISION (BOPP)
BRANCH
CUSTOMER
Develop Budget Instruction
Assist in Docu-mentation
Approval/ Disapproval
Coordinate Instruction Requirements to Branch
Develop Conceptual Budget (BCPs, Rates, etc.)
Approval/ Disapproval
Input for Conceptual Budget (BOPP Assistance)
Input Approval Disapproval

The Branch prepares time sheet information for upload to the Department. (In the future, a computer system will accept this information directly). BOPP assists the Branch in processing time sheet information which is ultimately processed into the PMA system. The Department provides financial statements which are reviewed by the BOPP and the Branch.


PMA Receives Information
Provide Financial Statements
DEPARTMENT
Assists Branch in Processing
Review Statements
DIVISION (BOPP)
Prepare Time Sheet Upload to Department (Future)
BRANCH
CUSTOMER

The Department Office of Fiscal Services prepares the draft I&E Forecaster. BOPP reviews the draft with the Branch, obtains their input, and returns the draft with modification to the Department. The Department publishes the I&E Forecaster which is reviewed by the Division budget analyst and by the Branch Chief.




DEPARTMENT
DIVISION (BOPP)
BRANCH
CUSTOMER
Office of Fiscal Services Prepares I & E Forecaster
Publishes I & E Forecaster
Reviews Draft with Branch
Return Draft with Modification to Department
Division Budget Analyst
Input
Branch Manager

General Approach to Contract Services

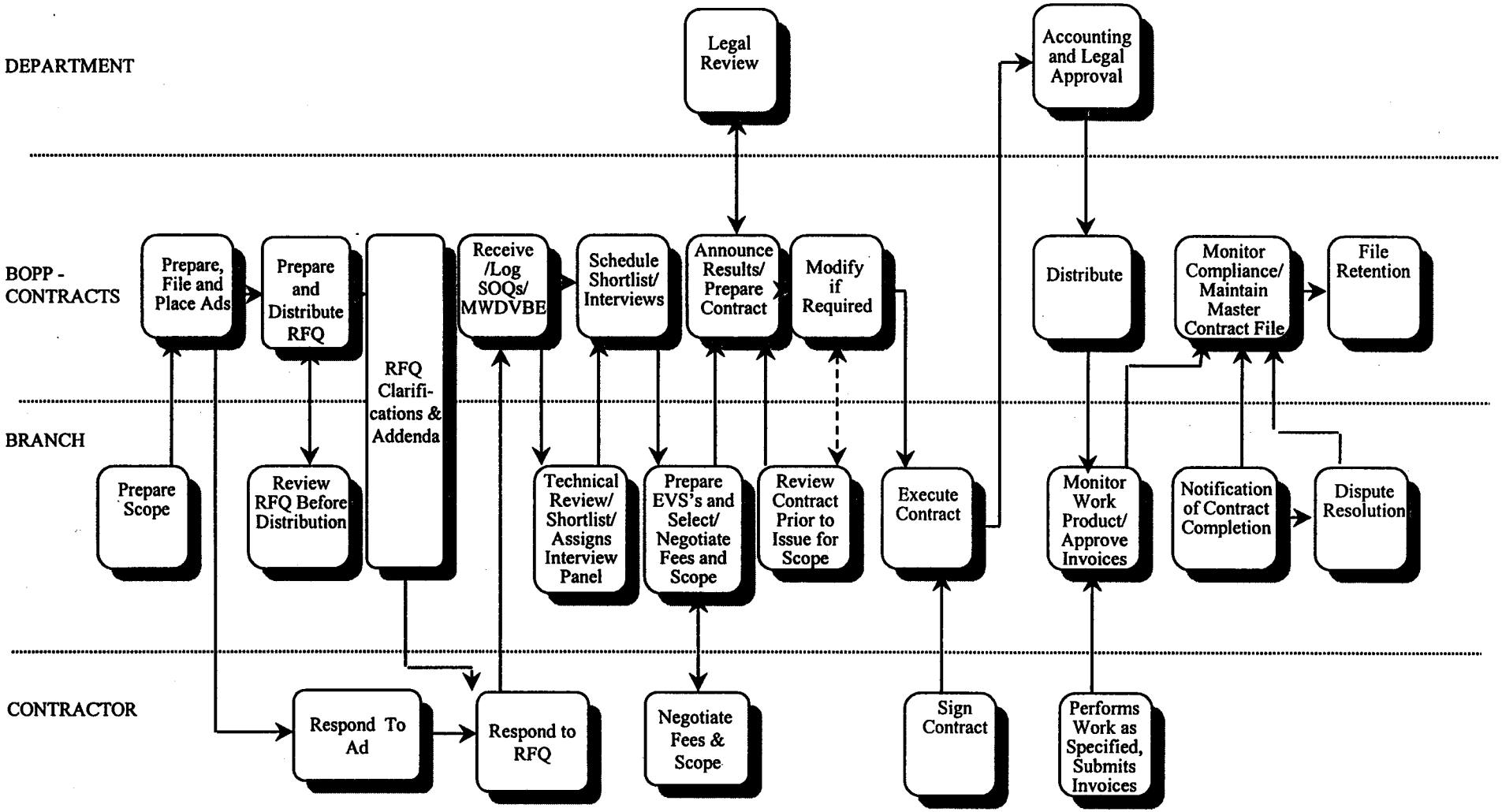
The general approach is for similar contracts to be processed uniformly. BOPP will develop a standard set of policies and procedures and language where appropriate for all contracts.

BOPP will keep the permanent contract file and it will receive information copies of contract working files including copies of invoices and payment data. The working file will be kept with the site or group where it is used.

Professional Services Contracts (e.g. A&E, CM, Environmental, et al)

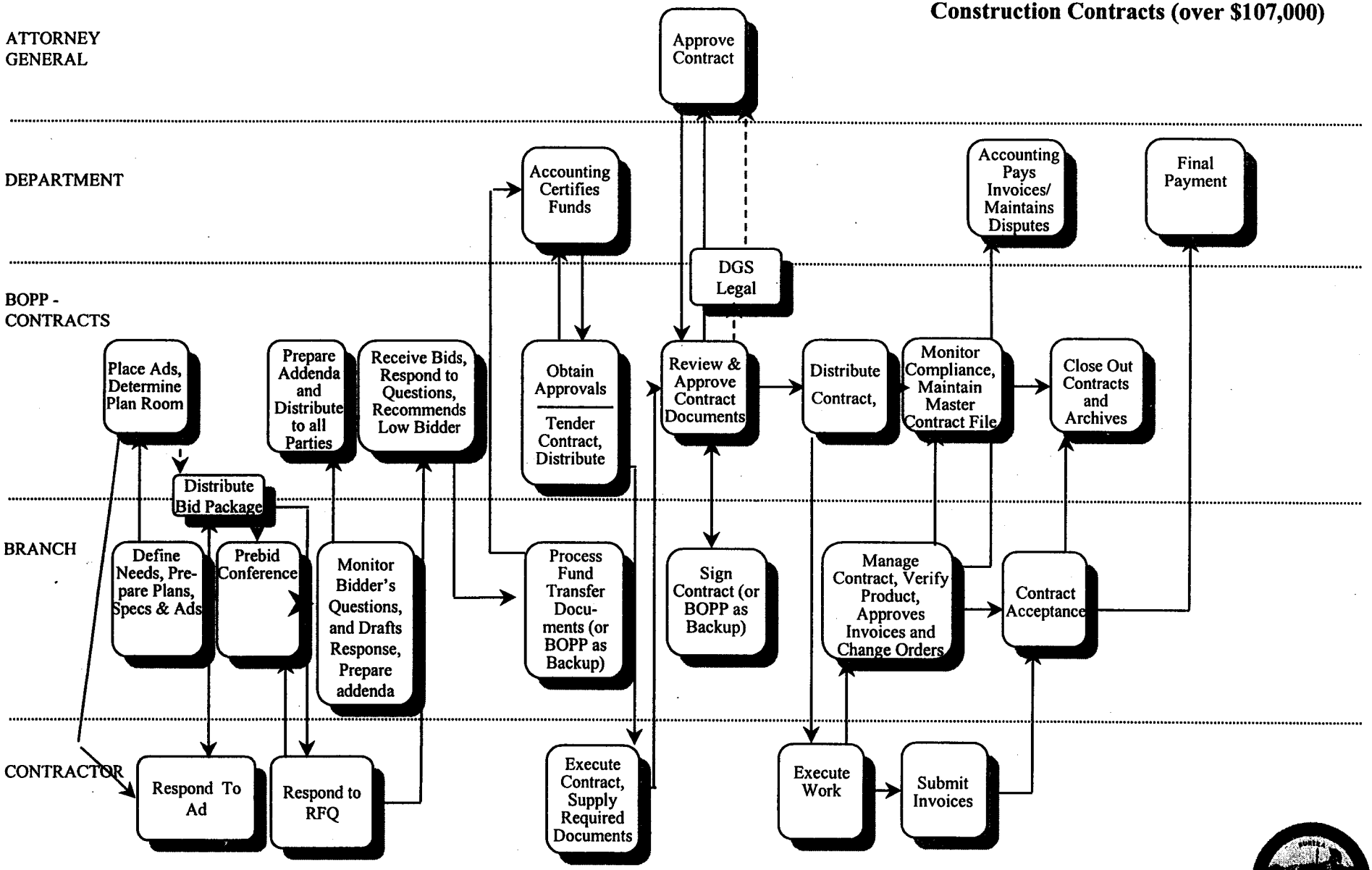
Government Code Section 4525 authorizes the Department of General Services to select professional services of private architectural, landscape architectural, engineering, environmental, land surveying, or construction project management firms on a basis of demonstrated competence and on the professional qualifications necessary for the satisfactory performance of the services required.

The Branch prepares the scope of the project, prepares and reviews the advertisement, and submits it to the BOPP. The BOPP Contracts Section files and places the ads, and prepares and distributes a Request For Qualifications. The Branch reviews the RFQ before distribution. The contractor responds to the ad and responds to the RFQ. The Branch clarifies the RFQ and works with the BOPP to provide addenda as required. The BOPP receives and logs SOQ's and MWDVBE. MWDVBE disqualifications must be approved by the Branch. The Branch reviews the responses from a technical standpoint and provides a short list. BOPP schedules the short list interviews. The Branch does the selection, and negotiates fees and scope with the contractor. BOPP prepares the contract and ancillary forms, and submits it for legal review by the Legal Office. The Branch reviews the contract prior to issue for scope, and modifications are made by BOPP if required. Final review and approval are provided by the DGS Legal Office. BOPP or the Branch executes and signs the contract after it is signed by the contractor. BOPP unit distributes the contract information. The Branch monitors the work product and processes invoices submitted by the contractor. BOPP monitors compliance and maintains the master contract file. The Branch notifies BOPP upon contract completion and engages in any dispute resolution. The completed contract is filed as required for retention.


DEPARTMENT
BOPP - CONTRACTS
BRANCH
CONTRACTOR
Legal Review
Accounting and Legal Approval
Prepare, File and Place Ads
Prepare and Distribute RFQ
RFQ Clarifi-cations & Addenda
Receive /Log SOQs/ MWDVBE
Schedule Shortlist/ Interviews
Announce Results/ Prepare Contract
Modify if Required
Distribute
Monitor Compliance/ Maintain Master Contract File
File Retention
Prepare Scope
Review RFQ Before Distribution
Technical Review/ Shortlist/ Assigns Interview Panel
Prepare EVS's and Select/ Negotiate Fees and Scope
Review Contract Prior to Issue for Scope
Execute Contract
Monitor Work Product/ Approve Invoices
Notification of Contract Completion
Dispute Resolution
Respond To Ad
Respond to RFQ
Negotiate Fees & Scope
Sign Contract
Performs Work as Specified, Submits Invoices

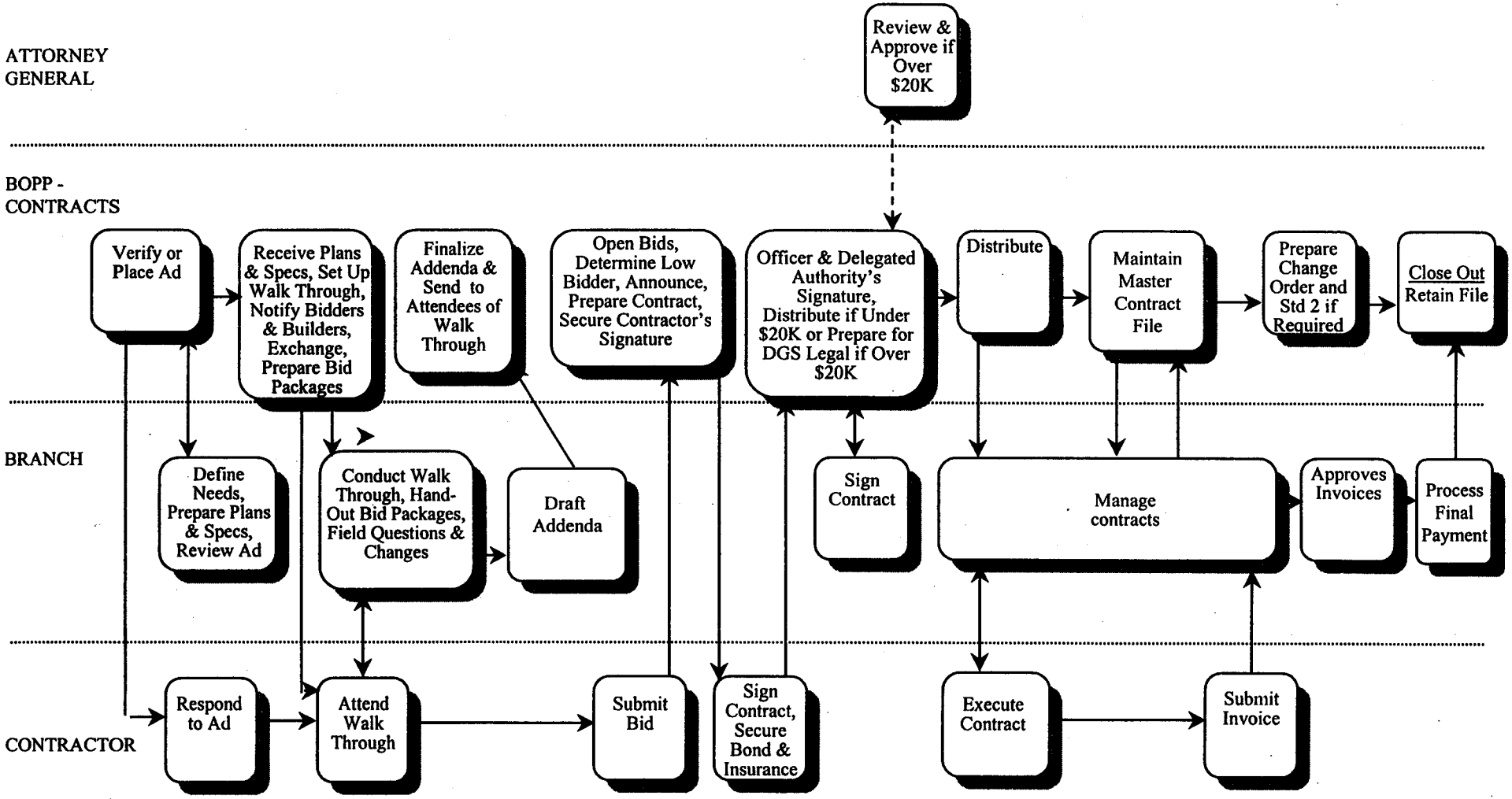
The Branch defines its needs and prepares plans and specifications. BOPP prepares and places the ads and determines the distribution. The contractor responds to the ad, and BOPP coordinates the bid packages. The Branch holds a pre-bid conference. BOPP performs the MWDVBE presentation as determined by the Branch. The Branch and BOPP monitors bidders' questions. The Branch prepares an addenda and BOPP distributes to all parties. The contractors respond to the RFP. BOPP receives the bids, responds to questions and determines the low bidder. Based on BOPP input the Branch processes the fund transfer documents. (BOPP may backup the Branch when necessary.) BOPP receives notification of funds availability and tenders the contract. The contractor executes the contract and supplies required documents. BOPP reviews and approves the contract documents with DGS Legal, if necessary. The Branch signs the contract or, as backup, BOPP may sign. The Attorney General's Office reviews and approves the contract. BOPP distributes the contract, monitors compliance and maintains the master contract file. The Branch manages the contract, verifies the product, and approves invoices and change orders received from the contractor. BOPP assists with the contract closeout and ultimately the contract is closed out and sent to archives.

Contract Services
Construction Contracts (over $107,000)

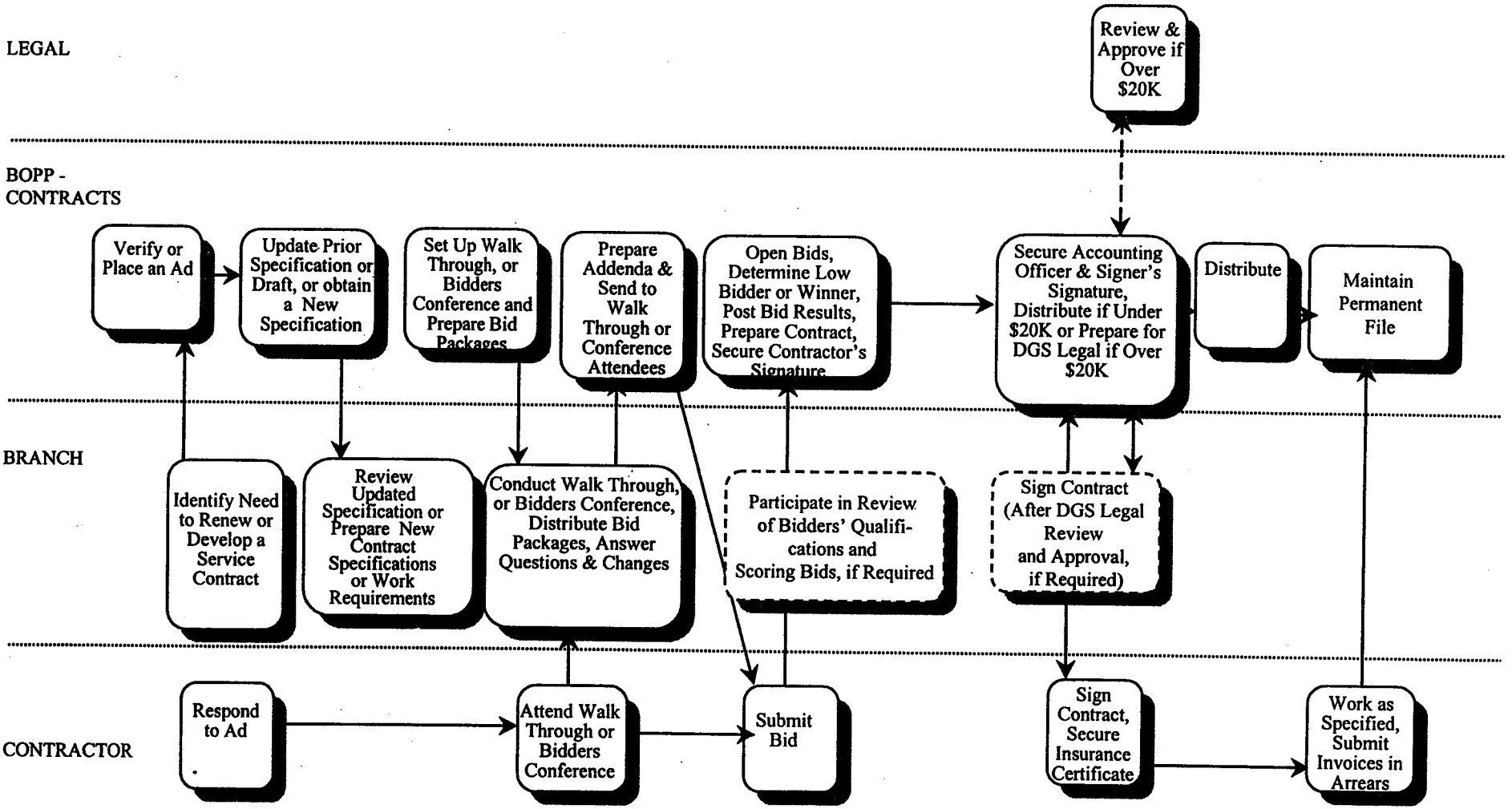


The Branch defines its needs, prepares plans and specs and reviews the advertisements. BOPP verifies and places the ad. BOPP receives the plans and specs, sets up a walk-through for the bidders, notifies the bidders and Builders Exchange, and prepares the bid packages. The Branch conducts the walk-through, hands out bid packages, fields the questions and changes, and discusses MWDVBE based on presentation materials provided by BOPP. The Branch drafts the addenda which are finalized by BOPP and sent to the attendees of the walk-through. The contractor attends the walk-throughs and submits bid. BOPP opens the bids, determines the low bidder, faxes the bid results, prepares the contract and secures the contractor's signature. The contractor provides bond and insurance as required. BOPP secures the signatures of the Branch and the accounting officer, distributes if under $20,000, or prepares for DGS Legal if over $20,000. DGS Legal reviews and approves if over $20,000. BOPP distributes the contract and maintains the master files. The Branch conducts start-up meetings and reviews submittals. The contractor attends start-up meetings, provides submittals and works as required and submits invoices. BOPP maintains the master contract file while the Branch retains the contract face sheet. The Branch inspects work and prepares or drafts any change orders and processes invoices submitted by the contractor. BOPP unit prepares any amendments and after Branch processes final payment, closes out and retains the contract file.

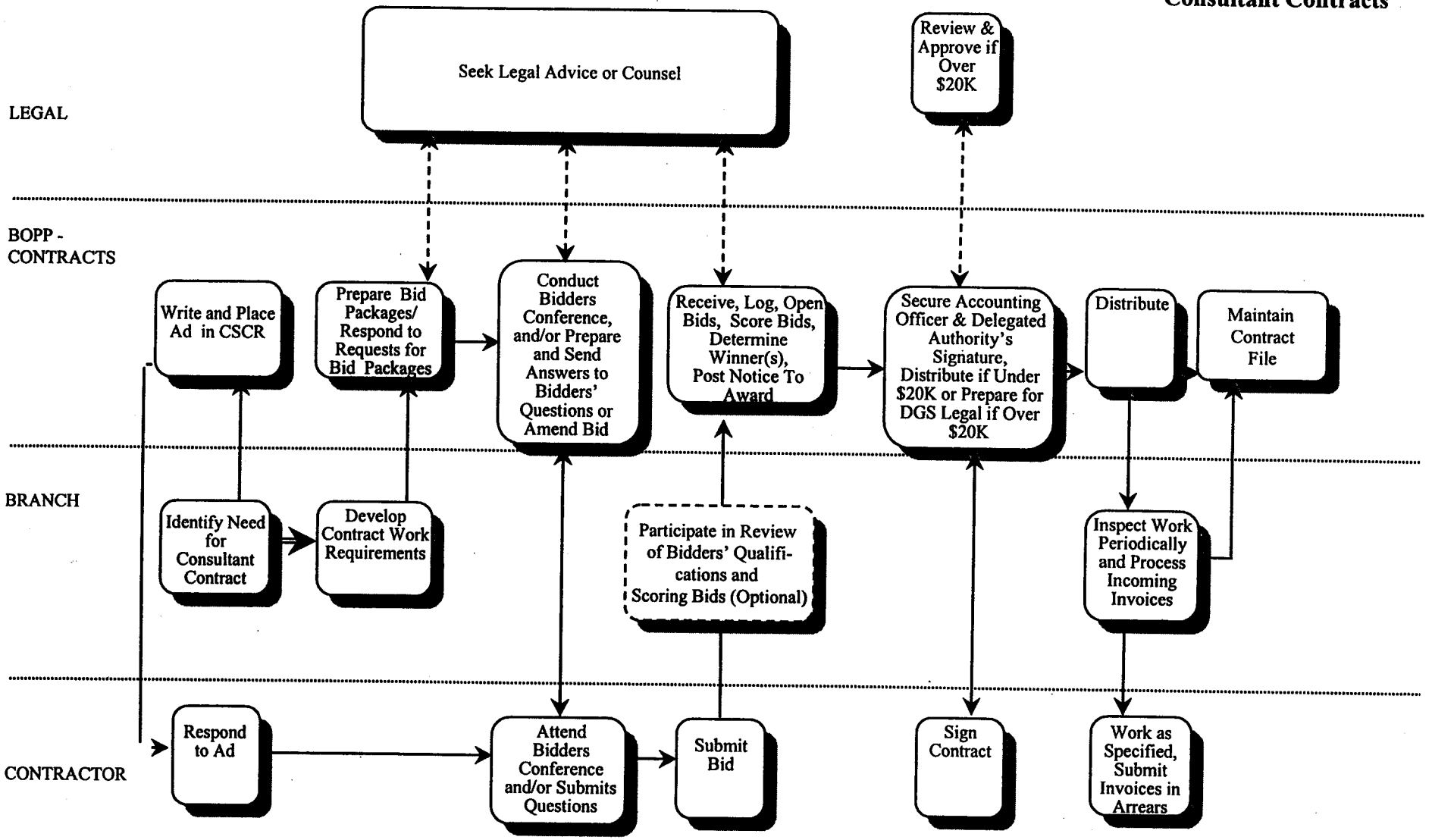
Contract Services
Construction Contracts ($5,000 - $107,000)



Branch identifies a need to renew or develop a service contract. The Branch develops and reviews the ad. BOPP verifies and places an ad. BOPP updates prior specifications or drafts or obtains a new specification. Branch reviews the updated specification or prepares new contract specifications or work requirements. BOPP provides MWDVBE materials, sets up a walk-through or bidder's conference and prepares bid packages. The Branch conducts the walk-through or bidder's conference, distributes the bid packages, answers questions and changes, and discusses MWDVBE if applicable. The BOPP prepares addenda and sends to attendees of the walk-throughs or conferences. Contractor attends the conferences and submits their bid. BOPP opens bids, determines low bidder or winner, posts bid results, prepares contract and secures contractor signature. The Branch participates in the review of bidder's qualifications and scoring of the bids. BOPP secures signatures of the accounting officer, distributes if under $20,000, or prepares for DGS Legal if over $20,000. DGS Legal reviews and approves if over $20,000. The Branch signs the contract after review and approval, if required. BOPP distributes the contract and maintains the permanent file. Branch processes incoming invoices submitted by the contractor.


LEGAL
BOPP - CONTRACTS
BRANCH
CONTRACTOR
Review & Approve if Over $20K
Verify or Place an Ad
Update Prior Specification or Draft, or obtain a New Specification
Set Up Walk Through, or Bidders Conference and Prepare Bid Packages
Prepare Addenda & Send to Walk Through or Conference Attendees
Open Bids, Determine Low Bidder or Winner, Post Bid Results, Prepare Contract, Secure Contractor's Signature
Secure Accounting Officer & Signer's Signature, Distribute if Under $20K or Prepare for DGS Legal if Over $20K
Distribute
Maintain Permanent File
Identify Need to Renew or Develop a Service Contract
Review Updated Specification or Prepare New Contract Specifications or Work Requirements
Conduct Walk Through, or Bidders Conference, Distribute Bid Packages, Answer Questions & Changes
Participate in Review of Bidders' Qualifi-cations and Scoring Bids, if Required
Sign Contract (After DGS Legal Review and Approval, if Required)
Respond to Ad
Attend Walk Through or Bidders Conference
Submit Bid
Sign Contract, Secure Insurance Certificate
Work as Specified, Submit Invoices in Arrears

The Branch identifies the need for consulting contracts. BOPP unit writes and places ad in CSCR and the contractor responds to the ad. The BOPP prepares bid packages and responds to requests for bid packages. The Branch develops the contract work requirements. BOPP seeks legal advice or counsel during this process and conducts bidder's conferences and/or prepares and sends answers to bidder's questions or bid amendments. The contractor attends bidder's conferences and/or submits questions and ultimately submits a bid which is received, logged and opened and scored by BOPP who determines the winner and posts the notice to award. The Branch participates in the review of bidder's qualifications and scoring the bids. The contractor reviews the notice to award. After Contractor signs the contract the BOPP secures signatures of the accounting officer and delegated authority, distributes if under $20,000, or prepares for DGS Legal if over $20,000 for their review and approval. The Branch signs the contract after review and approval if required. The BOPP distributes the signed contract and maintains the contract file. The Branch inspects the work periodically and processes incoming invoices as submitted by the contractor.


LEGAL
BOPP - CONTRACTS
BRANCH
CONTRACTOR
Seek Legal Advice or Counsel
Review & Approve if Over $20K
Write and Place Ad in CSCR
Prepare Bid Packages/ Respond to Requests for Bid Packages
Conduct Bidders Conference, and/or Prepare and Send Answers to Bidders' Questions or Amend Bid
Receive, Log, Open Bids, Score Bids, Determine Winner(s), Post Notice To Award
Secure Accounting Officer & Delegated Authority's Signature, Distribute if Under $20K or Prepare for DGS Legal if Over $20K
Distribute
Maintain Contract File
Identify Need for Consultant Contract
Develop Contract Work Requirements
Participate in Review of Bidders' Qualifi-cations and Scoring Bids (Optional)
Inspect Work Periodically and Process Incoming Invoices
Respond to Ad
Attend Bidders Conference and/or Submits Questions
Submit Bid
Sign Contract
Work as Specified, Submit Invoices in Arrears

Information Services Business Processes

The general approach to providing Information Services support to RESD is to concentrate a significant number of common functions in BOPP, and augment that with locally-based resources for user and network support. The local resources would be trained and supervised by the BOPP Information Services unit management.

IT Functions Map

The major functions of the Information Services Section in the BOPP include:

- IS Administration
- Network Support
- Technical Support
- Strategic Applications
- Application Development

IS Administration includes the RESD Information Officer and overall management, IT contracts, procurement, planning and budgets.

Network Support includes local area network administration and maintenance, administration of network security and user accounts, IT inventory and licensing control, administration of E-mail and Groupware, systems implementation, systems/data back up, feasibility studies and reports, IT project management, and needs assessments..

Technical Support includes the staff providing support to the users of the software and desktop systems. This includes PC hardware, a Help Desk, IT research and analysis.

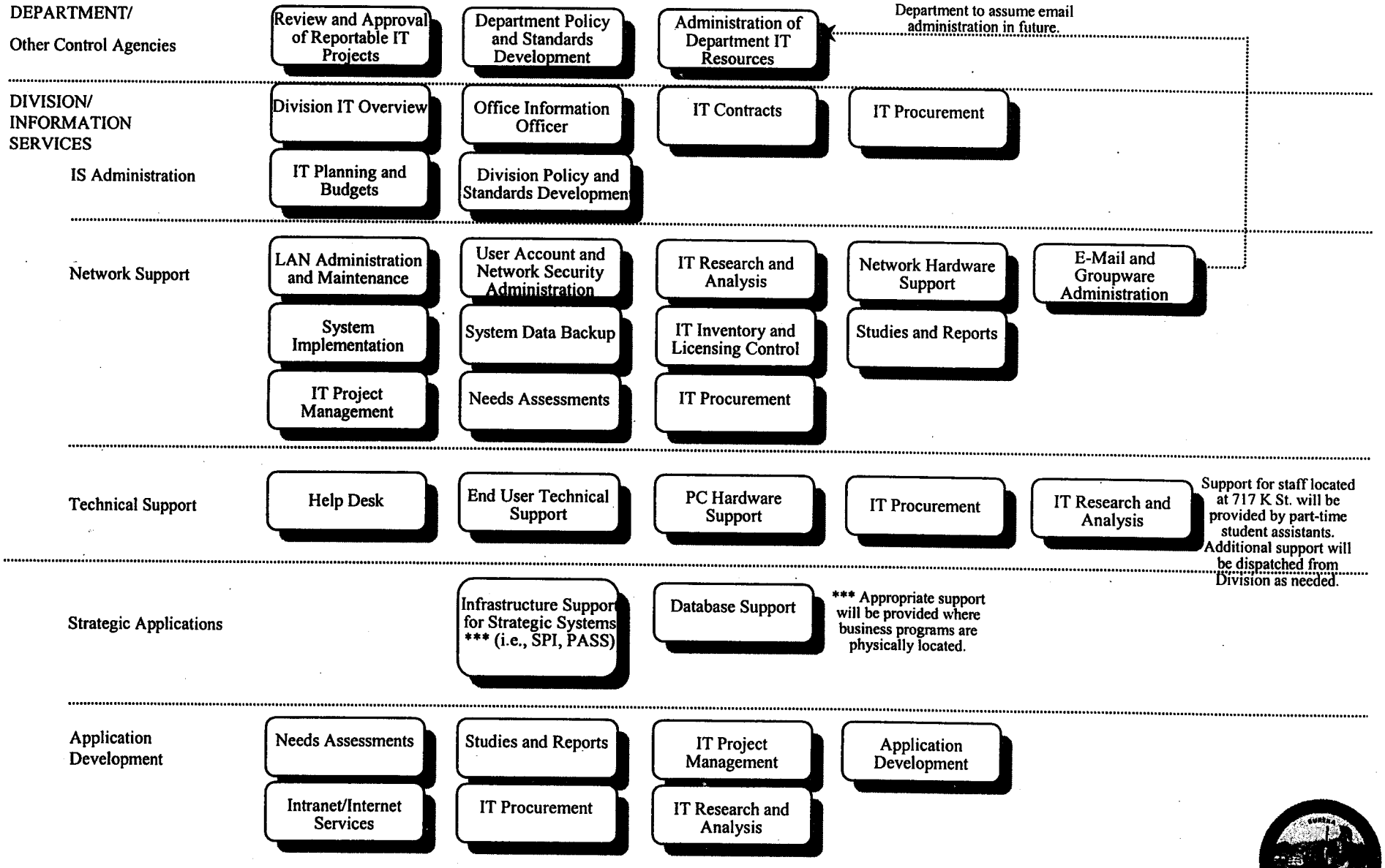
Strategic Applications includes support activities to maintain major data bases such as the SPI. It also provides maintenance of strategic applications that relate to the overall technology infrastructure for the Division.

Application Development includes staff and contract analyst/programmers for in-house development of custom business applications, as well as management capabilities for major IT projects. It also includes major implementation of business applications such as integration of Project Management and Financial Management Systems being developed at the Department level, and Intranet/Internet Services.

The information services unit will also provide the local support at the distributed office locations of the Branches. This will include local staff to support the networks, strategic systems being used by the end users, and the Technical Support for desk-top hardware and software coordinated with the Help Desk.

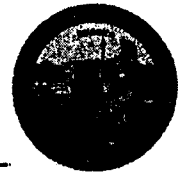
The information services roles of the Department level and other control agencies will include the review and approval of reportable IT projects and the administration of Department level IT resources.

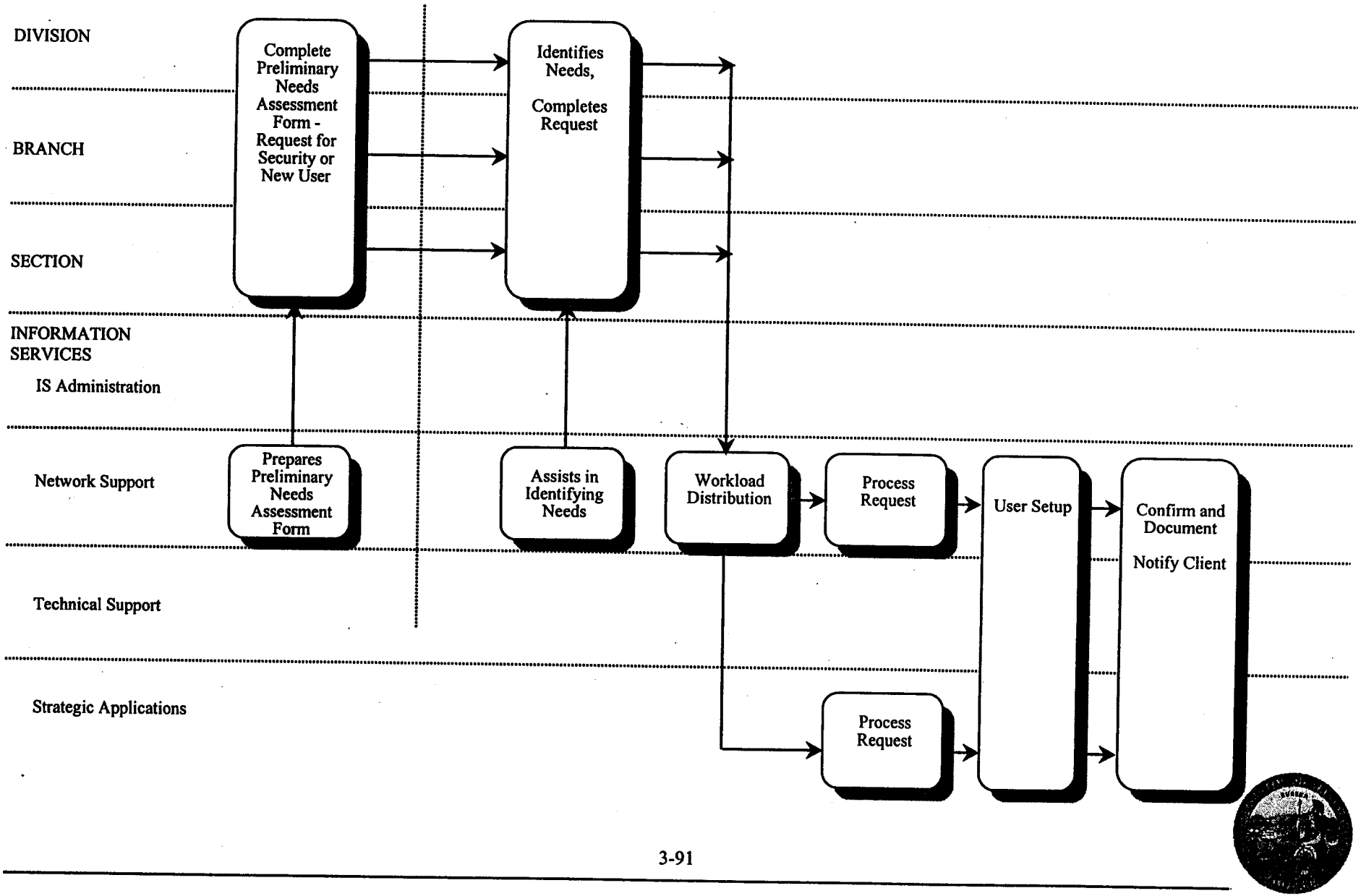
Information Services IT Functions Map



This business process is focused on processing a request for network security or a new user. In the transition period prior to full implementation of BOPP support, the IS Network Support prepares a preliminary needs assessment form which is completed by the Division, Branch or Section making the request. Once BOPP support is ongoing, Network Support will play a more active role in identifying the needs.

In either case, the request flows through Network Support which determines the work load requirement. It either processes the request directly or passes it to Strategic Application and Data Base Support. User setup is performed by Network Support, Technical Support or Strategic Application and Data Base Support. The unit providing the service confirms and documents, and notifies the local client.

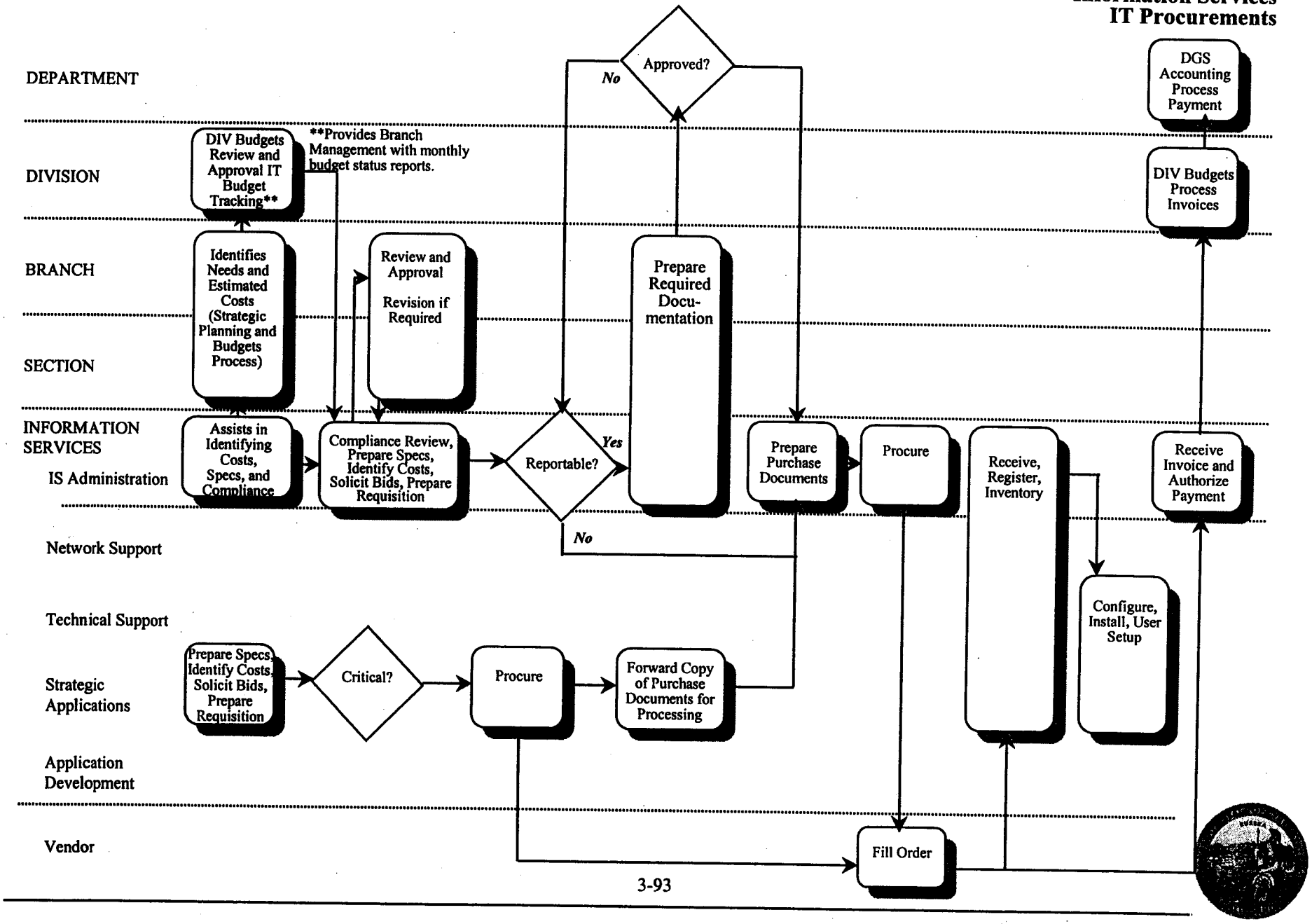



DIVISION
BRANCH
SECTION
INFORMATION SERVICES
IS Administration
Network Support
Technical Support
Strategic Applications
Complete Preliminary Needs Assessment Form - Request for Security or New User
Identifies Needs,
Completes Request
Prepares Preliminary Needs Assessment Form
Assists in Identifying Needs
Workload Distribution
Process Request
Process Request
User Setup
Confirm and Document
Notify Client

This process begins with the Branch or Section identifying its needs and estimating costs within the strategic planning and budgeting process. The IS Administration group assists the Branch in identifying these costs, specifications and compliance with standards. The budgets are reviewed and approved at the Division level, and Branch management is provided with monthly budget status reports. IS Administration, Technical Support, Network Support, Strategic Applications, and/or Application Development prepares the specs, identifies costs, solicits bids, and prepares a requisition. This is reviewed and approved at the Branch and/or Section level, and revised if required. After a final review by IS Administration, if it is deemed reportable to the Department Chief Information Officer, or DOIT, the required documentation is prepared in conjunction with the Branch. If that documentation is then approved by the Department, the purchase documents are prepared by IS Administration. If not approved, it goes back to IS Administration for revision.

The equipment or software is then procured from the vendor and received, registered and inventoried by IS Administration and ultimately, Network Support. Technical Support assists in configuring, installing and setting up the users. Invoices are received from the vendor by IS Administration and payments are made through Division budget process to DGS Accounting for payment processing.

Information Services
IT Procurements



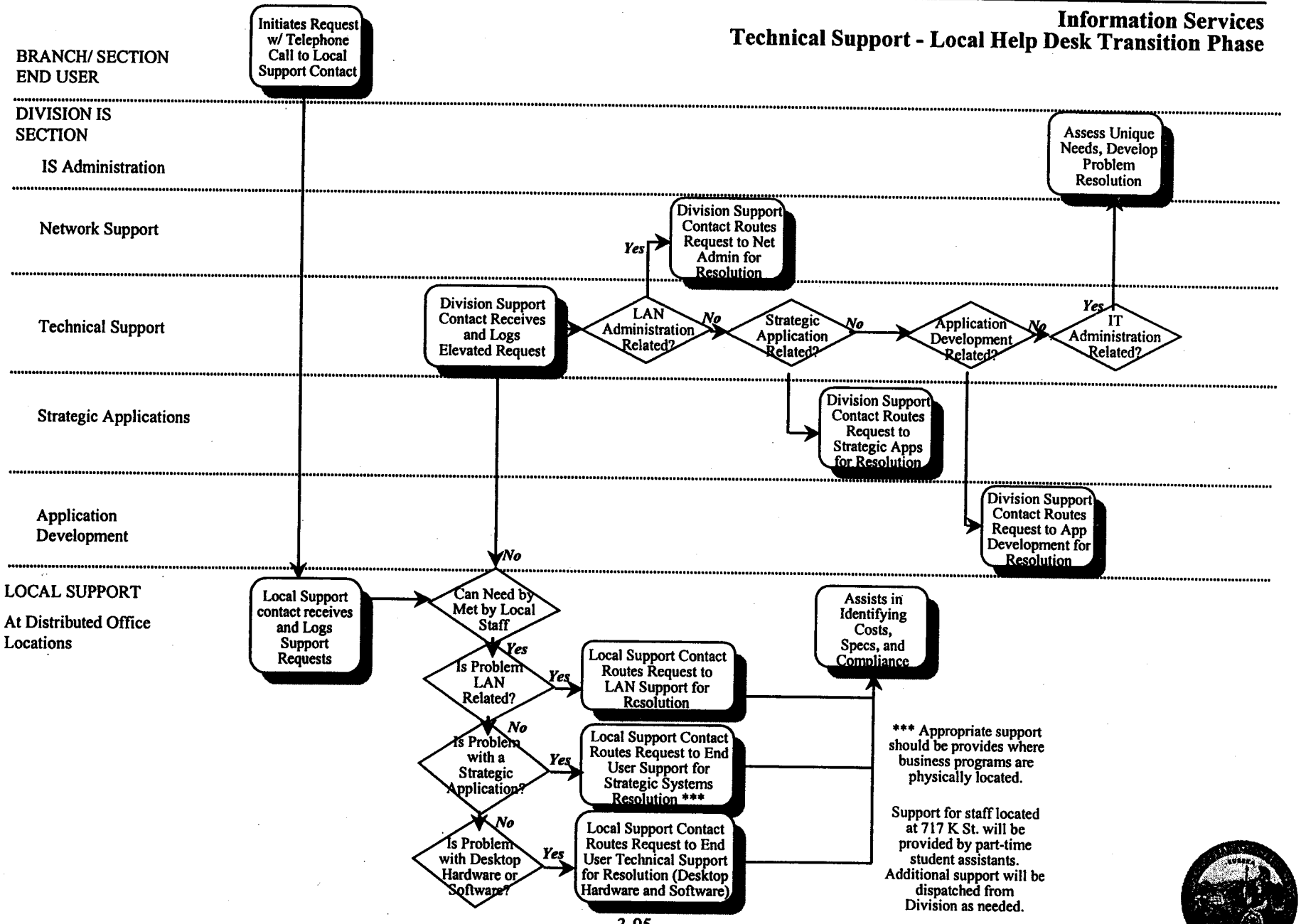
Technical Support - Local Help Desk Transition Phase

The Help Desk operation in Technical Support will be operated in the following manner during the transition phase. (The long-term approach to central Help Desk is shown on the succeeding chart.)

The process begins with a telephone call from the end user to the local support contact individual located at the distributed office location. That person receives and logs the support request. If the request cannot be met by the local staff, it goes to Division level Technical Support which receives and logs the request. If it can be met by the local staff, determination is made of the type of problem, whether it is LAN related, a strategic application or a desk-top hardware and software problem. The local support contact routes the request to the appropriate Technical Support group which includes LAN support, strategic systems or end user support. Upon resolution of the problem, the information is logged and the request closed.

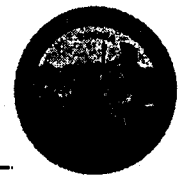
For those requests elevated to the Division level, the appropriate support group is contacted based on the type of problem and resolved either by Network Support, Strategic Applications, Application Development or IT Administration.

Information Services
Technical Support - Local Help Desk Transition Phase

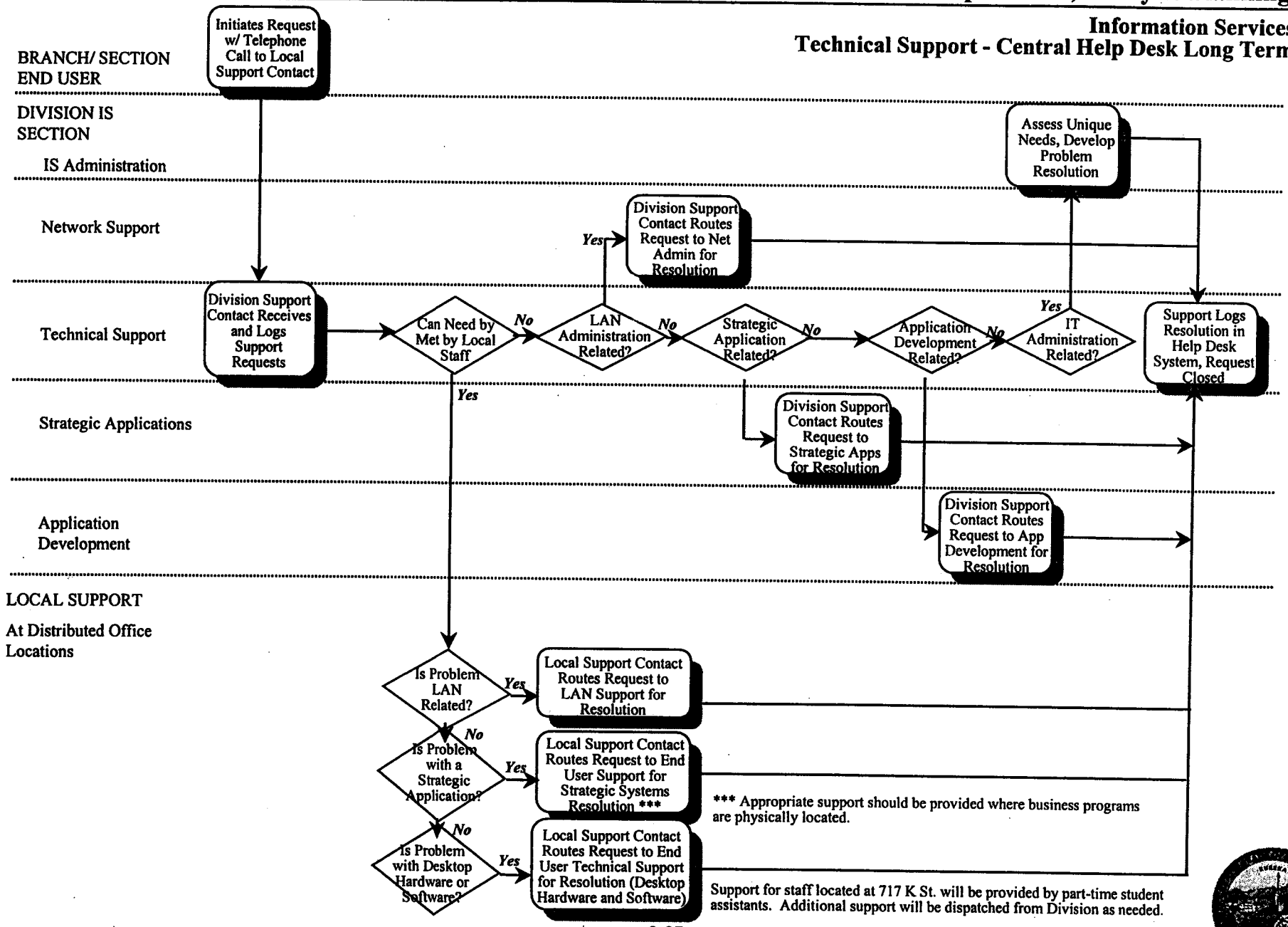


In the long term view, the end user would make a call to the support contact located at the Division level. The Division Technical Support contact receives and logs the support request. If it can be met by local staff, it proceeds to resolution at the distributed office locations. If not, it is resolved either by LAN Administration, Network Support, Strategic Applications, Application Development or IT Administration.

After the problem is resolved the Technical Support at the Division level logs the resolution into the Help Desk system for future inquiries on new problems.



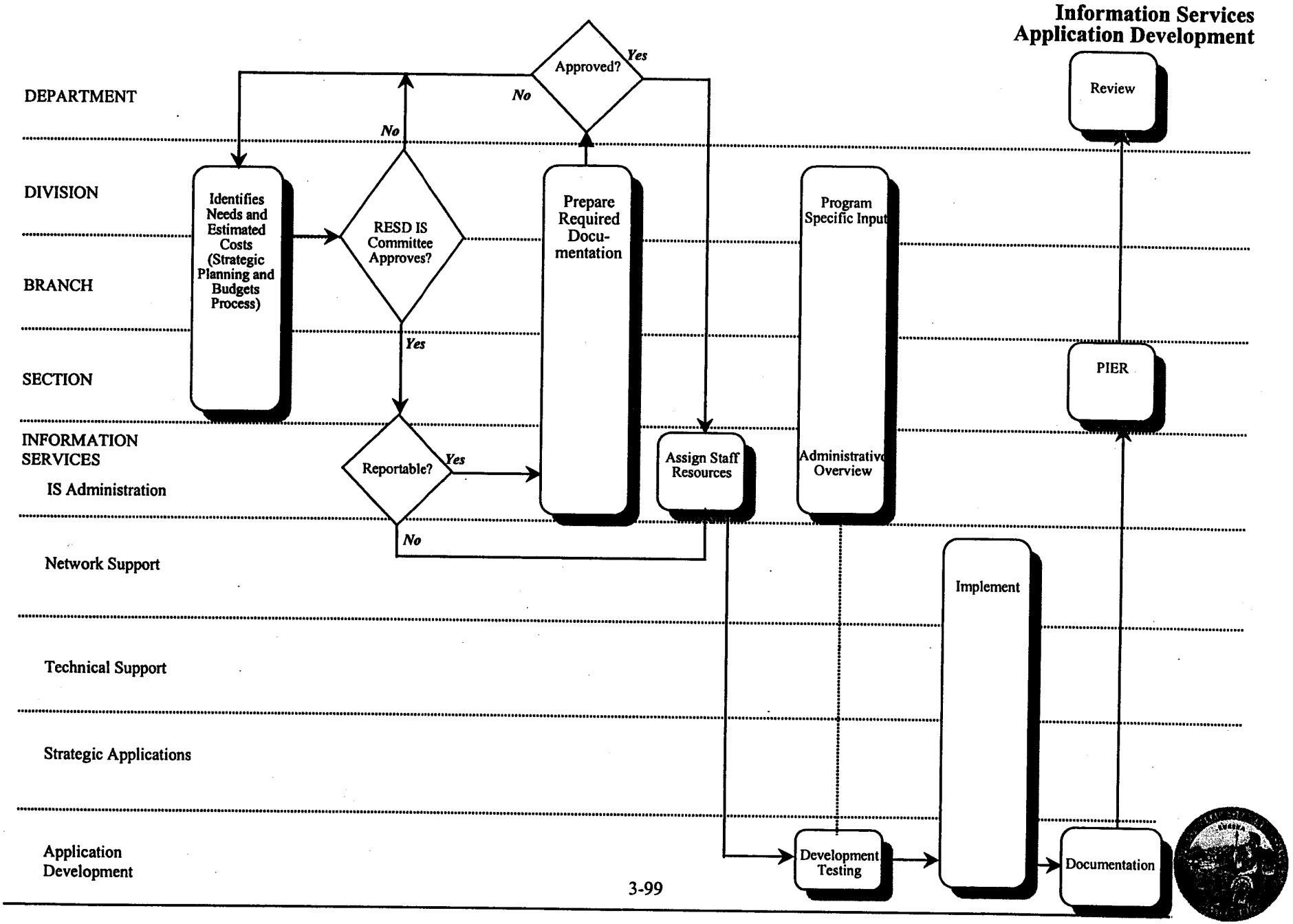
Information Services
Technical Support - Central Help Desk Long Term



*** Appropriate support should be provided where business programs are physically located.

Support for staff located at 717 K St. will be provided by part-time student assistants. Additional support will be dispatched from Division as needed.

This process begins with a need being identified at a Division, Branch or Section level. A request is prepared there and submitted to the RESD Information Systems Steering Committee. If the project is approved by that group and is reportable to the Department or Chief Information Officer or DOIT, Information Services prepares the required documentation with assistance from the Division, Branch or Section involved. If the project is not approved, it is sent back for revision. If it is approved, IS Administration assigns appropriate staff resources and Application Development proceeds with development and testing. IS Administration maintains an overview of the project, and program specific input is provided by the Division, Branch or Section. The project is implemented using the required resources from all of Information Services elements. Documentation is provided by Application Development and the user group does the Post Implementation Evaluation Report (PIER). The Department and other control agencies provide final review, if necessary.


Information Services
Application Development
DEPARTMENT
DIVISION
BRANCH
SECTION
INFORMATION SERVICES
IS Administration
Network Support
Technical Support
Strategic Applications
Application Development
Approved?
Yes
No
No
Identifies Needs and Estimated Costs (Strategic Planning and Budgets Process)
RESD IS Committee Approves?
Yes
Reportable?
Yes
No
Prepare Required Documentation
Assign Staff Resources
Program Specific Input
Administrative Overview
Review
PIER
Implement
Development Testing
Documentation

List of Task Teams and Participants

This document is based on the efforts of many individuals within DGS. They each spent a significant portion of their time from November 1996 through June 1997 working on the new structure and processes while simultaneously carrying out their day-to-day responsibilities. Several individuals contributed to more than one of the task teams listed below.

Steering Committee
Steve Olsen
Fred Hummel
Gene Spindler

Project Director
Mike Courtney

STRUCTURE, ROLES AND RESPONSIBILITIES

Advisory Committee
Rosamond Bolden
Jerry Burchfield
Doug Grandy
Tim Hefler
Glenn Hezmalhalch
Peg Hudson
Vilas Mujumdar

Infrastructure Committee
Jack Smith, Chair
Steve Durham
Richard Hill
Lewis Kiehn
Mike Langley
Ron Neal
Lee Sacks
Joe Sogge
Sharon Williams

Operational Structure Committee
Mike Courtney, Chair
Debra Bouler
John Brooks
Steve Cohen
Jerri Dale
Neil Fairbanks
Fred Luzzi
David Nisenbaum
Rich Sturman
Lee Willoughby

Finance Committee
Gene Pieracci, Chair
Geoff Brandt
Rick Rusk
Ted Park

BUSINESS PROCESSES

Project Decisions
Jack Barr, Co-Chair
Peg Hudson, Co-Chair
Glenn Hezmalhalch, Asst. Chair
John Baca
Jerry Burchfield
Anne Cavanagh
Dennis Corelis
Bob Courtnier
Kevin Kaestner
Jayne Muraki Rasmussen
Tom Nichols
Lane Richmond

CAM and Project Flow
Rich Sturman, Chair
Jerri Dale
Neil Fairbanks
Anne Garbeff
Fred Luzzi
David Nisenbaum
Howard Sacks
Steve Savage
Bob Sleppy

Asset Management
John Brooks, Chair
Jim Derby
Judy Putman
Christal Waters
Dwight Weathers
Everett Whiteside

Business Operations, Policy & Planning
Rosamond Bolden, Co-Chair
Mike Courtney, Co-Chair

- Budgets

Geoff Brandt
Steve Cohen
Ted Park
Rick Rusk

- Contracts

Roger Brown
Steve Cohen
Stephanie Counts
Steve Durham
Kam Langham
Kathy Yamamoto

- Human Resources

Charlene Bozzo
Kari Hammond
Marlene Hensen
Kay Lee
Gary Lee
Bonnie Steiner

- Information Technology

Lewis Kiehn
Mike Langley
Ron Neal
Joe Sogge
Sharon Williams

Doug Grandy

ARTHUR ANDERSEN PROJECT TEAM

Ian Cameron, Partner-in- charge
Herb Isaacs, Project Leader
Bob Odermatt, Principal Consultant
Jenny Tsai, Staff Consultant