CALL TO ORDER
City Hall, Ross Annex Room 1600
20 Civic Center Plaza, Santa Ana, California

Committee Members:  Michele Martinez, Chairperson
Vincent Sarmiento, Vice-Chairperson
Vacant – Councilmember #3

Recording Secretary: Teresa Ramirez, Executive Secretary

PUBLIC COMMENTS - Members of the public are allowed three minutes to speak on agenda items or matters within the jurisdiction of the Committee.

AGENDA ITEMS

1. Approval of Minutes for May 18, 2015, Meeting

2. IT Assessment Update {Strategic Plan No. 6, 1i} (Robert Cortez, CMO)

3. Overview of the upcoming implementation of the Workforce Innovation Opportunity Act {Strategic Plan No. 2,4} (Deborah Sanchez, CDA)

4. Update on potential Transportation or Infrastructure Bond Measure(s); timeline and next steps {Strategic Plan No. 4}

5. Participatory Budgeting {Strategic Plan No. 4}

6. Pilot Program CDBG Funds for Non-profits {Strategic Plan No. 4, 3e}

If you need special assistance to participate in this meeting, please contact Michael Ortiz, City ADA Program Coordinator, at (714) 647-5624. Please call prior to the meeting date, to allow the City enough time to make reasonable arrangements for accessibility to this meeting. [Americans with Disabilities Act, Title II, 28 CFR 35.102]
7. CDBG Funding and Timeline {Strategic Plan No. 4, 3e} (Sylvia Vasquez, CDA)

8. Procurement process {Strategic Plan No. 5, 1b}

9. Reserve policy for deferred maintenance for city infrastructure (Newport Beach Model) {Strategic Plan No. 6, 2a}

10. RFP Process for Housing Funds {Strategic Plan No. 5, 3}

11. Grant Funding Update {Strategic Plan No. 4, 3e} (Jorge Garcia, CMO)

STAFF MEMBER COMMENTS:

COMMITTEE MEMBER COMMENTS:

**ADJOURNMENT** – Next regularly scheduled meeting is Monday, September 14, 2015
CALL TO ORDER: City Hall  
20 Civic Center Plaza, Room 1600  
Santa Ana, CA  
5:39 p.m.

ATTENDANCE: Council Committee members:  
Michele Martinez, Chairperson  
Vincent Sarmiento, Vice-Chairperson  
Vacant, Committee Member #3

MEMBERS ABSENT: None

STAFF PRESENT: Francisco Gutierrez, FMSA  
Robert Cortez, CMO  
Sergio Vidal, FMSA  
Fred Mousavipour, PWA  
Waldo Barela, FMSA  
Carlos Rojas, SAPD  
Teresa Ramirez, FMSA  
Vince Fregoso, PBA  
Nabil Saba, PWA  
Marc Morley, CDA  
Natalie Verlinich, CDA  
Ryan Hodge, CDA  
Gabby Lomeli, CDA  
Susan Gorospe, CDA  
Deborah Sanchez, CDA  
Alma Flores, CMO  
Jorge Garcia, CMO


PUBLIC COMMENTS

• Greg Uttech, VP of Operations, Fabrica Intl., spoke on concerns of water restrictions and how they may affect his employees and business.

• Peter Katz, Com-Link, spoke in support of water conservation measures due to severe drought.

• Paul Deibel, Latino Health Access, spoke on affordable housing and in support of wayfinding signs. Would like to see marker signs for walkers and to promote fitness.
Tad Springer, TES Inc., spoke on affordable housing units

Adela Montanez, Latino Health Access, will reserve comment until after presentation for Downtown Wayfinding.

AGENDA DISCUSSION ITEMS

1. Approval of Minutes from the Special Meeting of March 18, 2015.
   
   MOTION: Martinez          SECOND: Sarmiento
   
   VOTE: AYES: Martínez, Sarmiento (2)
   NOES: None (0)
   ABSENT: None (0)
   
   (Items taken out of order.)

4. The Governor’s Executive Order and Water Drought Action Plan: Water Conservation Ordinance {Strategic Plan No. 5, 2} - (PWA)

   Nabil Saba, Water Resources Manager, provided presentation on Emergency Ordinance Amending SAMC Chapter 39, Article VI, Conservation of Public Water Supply. Statewide water use reduction should be 25% over the next nine months (February 29, 2016). Santa Ana must reduce consumption by 12%. As compared to 2013, Santa Ana has reduced consumption by 4% in the period between June 2014 and February 2015.

   Committee Chair Michele Martinez would like to see the City take the lead in water cutbacks along with districts and help residents find ways to reduce consumption.

   Executive Director Fred MousaviPour stated that PWA is aware of businesses dependence on water for growth and this will be taken into consideration. The overall mandate reduction is to reach 12% and will vary by consumer. The conversion of old water meters to smart meters will be a useful enforcement tool.

   Vice-Chair Vince Sarmiento would like all to do their fair share in conservation. Is glad PWA is flexible with enforcement. Santa Ana is a densely populated community and we need to make sure we look into any health issues and environmental impacts. In agreement that it is important for the City to take the lead and to show our efforts.

   Committee Chair would like us to move forward with plan, be prepared, and take the lead and the next steps. Communications outreach could possibly include utilizing Channel 3 and live stream, video to youth showing what needs to be done to reach goal. Work with water districts and agencies to help meet goals.

May 18, 2015 | Finance, Economic Development, & Technology Minutes
7. Housing Opportunity Ordinance Review {Strategic Plan No. 5, 5b} - (CDA)

Natalie Verlinich, Housing Programs Analyst, provided presentation on current rulings in the Housing Opportunity Ordinance and issues related, such as confusing and difficult calculations for developers of the in-lieu payment and authority to waive requirements of the Ordinance should not be with Executive Director of Community Development Agency.

Committee Member Vince Sarmiento agrees that waiver authority should be considered with city council not at EMT level (CDA/PBA) and should be reviewed with planning commission. Possibly review in-lieu fees of other cities such as Huntington Beach model for developer fees. Committee Chair Martinez in agreement.

5. Update on Downtown Wayfinding {Strategic Plan No. 5, 4a} – (CDA)

Marc Morley, Economic Development Specialist, reviewed presentation of signage for various City locations including pedestrian, vehicles, and parking I.D. panels. Additional funding of $150,000 is needed to complete. Locations are currently being evaluated and RTKL will be fine tuning the plan.

6. Update on Economic Development Strategic Plan {Strategic Plan No. 3, 1a} – (CDA)

Economic Development Specialist, Marc Morley, presented current progress and next steps for Economic Development Strategic Plan. Input sessions, data analysis, and evaluation on schedule with draft report to Council November / December 2015.

2. FY 2013-14 Audit Update and FY 2014-15 Audit Plan {Strategic Plan No. 4, 1c} – (FMSA)

Francisco Colon, CPA with Macias Gini O’Connell, (MGO) has concluded opinion of CAFR (Comprehensive Annual Financial Report) for City and is glad to report no financial findings. Only reportable item was CDBG property acquisition transaction noted that written letter to owner did not include market value of property as required. MGO spot tests City controls for risk assessment and has training available to ensure best practices are maintained.
10. Grant Funding Update {Strategic Plan No. 4, 3e} – (CMO)

Jorge Garcia, Senior Management Assistant reported that City has been successful in obtaining $14M in competitive grants. Teams have been working together for combined total portfolio of $125M that comprises CDA, PWA, FMSA, and PBA.

ITEMS MOVED TO NEXT COMMITTEE MEETING

Due to time constraints, the following items will be placed on the next meeting’s agenda.

- Overview of the upcoming implementation of the Workforce InnovationOpportunity Act

COMMITTEE MEMBER COMMENTS:

STAFF MEMBER COMMENTS:

Adjournment – 7:29 p.m.

___________________________________
Teresa Ramirez, CAP-OM
Recording Secretary, CDA
Information Technology Assessment & Implementation Roadmap

Finance, Economic Development, & Technology Council Committee Meeting
July 22, 2015

ThirdWave
Information Systems Intelligently Applied℠
Roy Hernandez, President / CEO
Project Approach: Inclusive & Participatory Process

- 3 City Council Member meetings
- 12 Management interviews
- 24 Half-day Rapid Workflow\textsuperscript{®} Business Process Workshops, staff / managers participated
- 122 All IS staff took the online IT Skills Survey
- 230 City staff responded to the Online Staff Survey (an unprecedented 15.3% of staff)
Good Things Observed at the City

- **IT Investments:** Enterprise Resource Planning, Enterprise Content Management & PD CAD/RMS
- **Professional City staff:** committed to delivering exemplary services
- **Management:** a desire to fully leverage IT / web-based technologies
- **City Manager:** an IT vision to enhance customer service, reduce costs and increase revenues
- **Web Innovation:** PD WIKI PDa web knowledgebase & web-enabled HR tools
Opportunities for Transformational Change

- **IS Organization is not structured to succeed or support City Strategy**
  Restructure IS organization to reflect a progressive and responsive structure, recruit a CTIO (Chief Technology Innovation Officer)

- **Limited human / financial resources allocated for the IS organization**
  Adopt a formal budget support model for IS and the IT Strategic Plan Roadmap

- **A lack of IT best practices**
  Adopt the highest level of IT professional / technical policies & practices
Opportunities for Transformational Change

- Outdated Computer Hardware (7 – 15 year old Servers / PCs) & Software, from years of deferred investment
  Implement a formal and adequately funded Technology Refresh Program

- City is not taking advantage of E-Gov / Online service delivery solutions
  Adopt a commitment to become a leader in E-Gov, Open Data & Transparency

- Lack vision, leadership & focus on emerging technologies
  CTIO & adopt emerging IT: Web, Mobile Apps, Wi-Fi, Public/Private Partnerships
Current state of IS Organizations

**FINANCE**
- Tele-Commun
- Operations Section
- Application & Micro Support

**PUBLIC WORKS**
- Ross Annex
- PWA Traffic Division
- Maintenance & Water Division

**POLICE**
- Police Department

**Existing IS organizational challenges:**
1. No CIO, visibility or identity
2. No economies of scale, higher IT costs
3. Fragmented expertise & services
4. Promotes technology silos
5. Staff confusion on technical support
6. Lack of standards, policies & practices
7. Limits leveraging emerging technologies
Proposed centralized IS organization with CTIO

- Move IS out of basement
- Increase visibility
- Go from supporting systems to supporting people
- Establish best practices

New functions

1,2,3,4

Chief Technology Innovation Officer

Business Systems

Innovation Team

- ID Web solutions to improve business processes / service delivery
- Promote the use of new IT
- Assist IT Governance Committee

2,5,6,7

Project Manage. Office

- IT Project Management
- Change Management
- Performance Measurement
- Standards, Procedures & Policies

5,6

Infra-structure

- Data Centers
- Enterprise / Dept. Application Hosting / Servers
- Networks
- Storage and Backup
- Wi-Fi

5,6

Security

- Security of computing and network resources
- Standards, procedures, policies, and internal controls
- Information security training

5,6

User Services

- PC deployment/training
- Desktop support
- Service request management
- Mobility support
- Web support
- Printers and multifunction devices

5,6

Communication Systems

- City website and intranet
- Telephone Systems
- Integrated Voice Response

5,6,7

Apps: Dept. / Enterprise

- Enterprise App. Support
Lawson ERP, HRIS GIS, Asset Management, ECMS Dept. App Support
# Year 1 & 2 ITSP Implementation Roadmap

## Prioritization Criteria
- Improved Staff Productivity
- Improved Customer Services
- Cost Savings
- Increased Revenue
- Reduced Risk
- Fosters Collaboration

### Year 1

<table>
<thead>
<tr>
<th>No.</th>
<th>ITSP Roadmap Initiative</th>
<th>Mos.</th>
<th>YE 1</th>
<th>YE 2</th>
<th>YE 3</th>
<th>YE 4</th>
<th>YE 5</th>
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<tbody>
<tr>
<td>1</td>
<td>Upgraded Network Equipment</td>
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<td>2</td>
<td>Data Centers</td>
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<td>3</td>
<td>Upgrade HP Servers/Software</td>
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<td>5</td>
<td>Provide Smart Phones</td>
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<td>6</td>
<td>Provide Mobile Devices/Tablets</td>
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<td>7</td>
<td>Personal Computer Upgrades</td>
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<td>8</td>
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<td>9</td>
<td>Upgrade Large Format Scanners</td>
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<td>10</td>
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<td>11</td>
<td>Planning &amp; Building Permitting App</td>
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<td>Public Works CIP, Asset Manag. PM App</td>
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### Legend:
- Requirements/RFP
- Implementation
- Ongoing

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City of Santa Ana

ThirdWave
# Year 3, 4 & 5 ITSP Implementation Roadmap

## Year 3
<table>
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<tr>
<th>Item</th>
<th>Description</th>
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<tr>
<td>25</td>
<td>Personal Computer Upgrades</td>
<td>6</td>
</tr>
<tr>
<td>26</td>
<td>Upgrade HP Servers / Software</td>
<td>6</td>
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<tr>
<td>27</td>
<td>Provide Laptops</td>
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<tr>
<td>28</td>
<td>Upgrade Large Format Scanners</td>
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<td>29</td>
<td>City Clerk Agenda Management</td>
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<td>30</td>
<td>HR Recruitment NeoGov Enhance.</td>
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<td>32</td>
<td>CDA Housing Choice Voucher Program</td>
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<td>33</td>
<td>Online Perform. Review App</td>
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<td>34</td>
<td>Inspection App</td>
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<td>PD Permitting Process</td>
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<tr>
<td>36</td>
<td>Personal Computer Upgrades</td>
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<td>Upgrade HP Servers / Software</td>
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<td>38</td>
<td>Update Meter Reading Hardware</td>
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<td>39</td>
<td>Online Crime Reporting App</td>
<td>6</td>
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<td>CDBG Funding Workflow App</td>
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<td>41</td>
<td>Online Customer Service Request App</td>
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<td>42</td>
<td>Geographic Information Systems</td>
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## Year 5
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<tr>
<th>Item</th>
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<tr>
<td>43</td>
<td>Personal Computer Upgrades</td>
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<tr>
<td>44</td>
<td>Upgrade HP Server Software</td>
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<td>45</td>
<td>Empl. Self-Service: Payroll/Time Mgmt.</td>
<td>9</td>
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<td>46</td>
<td>Finance, Procurement: Workflow App</td>
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<tr>
<td>47</td>
<td>Library PC Reservation App</td>
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<td>City Attorney Contract Management</td>
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**Legend:**
- Requirements/RFP
- Implementation
- Ongoing
City-wide Benefits

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<tr>
<th>Rapid Workflow® Identified Benefits</th>
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<tbody>
<tr>
<td>1. Staff time savings</td>
<td>96</td>
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<tr>
<td>2. Business process improvement</td>
<td>85</td>
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<tr>
<td>3. Improved productivity and efficiency</td>
<td>45</td>
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<tr>
<td>4. Enhanced customer service</td>
<td>43</td>
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<tr>
<td>5. Cost savings</td>
<td>29</td>
</tr>
<tr>
<td>6. Better use of staff time, high value work</td>
<td>23</td>
</tr>
<tr>
<td>7. More accurate payroll</td>
<td>23</td>
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<tr>
<td>8. Accurate accounting / reporting</td>
<td>19</td>
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<td>9. Reduced staff stress and frustration</td>
<td>18</td>
</tr>
<tr>
<td>10. Improved transparency</td>
<td>17</td>
</tr>
</tbody>
</table>

- 90 different types of **quantitative and qualitative benefits** were identified by City staff in business process improvement workshops.
- The “Top 10” are listed in this chart.
- Easy / fast access to information and better informed employees were # 11 and 12, respectively.
Enterprise Cost – Benefit Analysis

A Compelling Business Case:

- **Cost savings opportunities:**
  - Economies of scale in IT investments
  - Software maintenance costs
  - Physical Asset Maintenance Costs (Substructure)
  - Cost savings in workflow automation / paperless processes

- **Deferred expenses:** operating and staff costs

- **Increased revenues:** public access / convenience to services with e-commerce

5 Year Investment: $8.95 M
Potential Benefits: $14.33 M

Every dollar will count and have an impact; benefits will exceed the investment.
Next Steps

- Adopt the 5-year ITSP Implementation Roadmap
- Allocate IT funding model to sustain the ITSP Roadmap
- First steps:
  - Recruit Chief Technology Innovation Officer
  - Realign IS Department
  - Adopt IT Governance, Project Management Office
  - Proceed with Year 1 ITSP Initiative implementation
Roy R. Hernandez  
President / CEO

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Thought Leadership,  
Exceptional Performance & Results since 1987
Workforce Innovation and Opportunity Act – WIOA

- Law enacted July 22, 2014 – replacing WIA
- Notice of Proposed Rulemaking released April 16, 2015
- July 1, 2015 - Initial implementation
What Does WIOA Do?

- Strengthened and simplified performance measures
- Better alignment across programs through unified or combined state plans
- Required convening of sector partnerships
- 4 Priority areas for implementation:
  - Sector Partnerships
  - Career Pathways
  - Data and Credentials
  - One Stop Delivery System
Key Highlight State Role

- Ensures “Core” programs are coordinated by requiring a **single** 4 year state Plan by July 2016
- Core Programs Include:
  - Title 1 – Adult Dislocated Worker and Youth Programs
  - Adult Education and Literacy
  - Wagner Peyser
  - Title I – Rehabilitation Act
- Identify Workforce Regions
- Establish State Workforce Board
Key Highlight – Local Area

- Local Area Designation

- Local Board Composition
  - Reduces board size
  - Majority business and business chair
  - 20% labor and CBO’s, education, economic development, and core providers
  - Decision makers in their organization

- Board Function –
  - Engage in regional and strategic workforce issues in labor market, employer engagement; sector partnerships, career pathways and other strategies.
WIOA and Sector Partnerships and Career Pathways

- New requirement for local WIB’s to “convene, use or implement” sector partnerships

- Local board lead efforts to develop and implement career pathways, include descriptions in local plans

- New performance measures designed to improve service delivery for low-skilled adults moving along a career pathway
Adult and Dislocated Worker Activities

- Consolidates core and intensive into Career Services – to be conducted by EDD
- WIOA funds should focus on training. Issue is how to correctly assess and prepare individuals for training and employment
- Development of a business liaison – network with small employers
- Establish industry partnerships
- Priority continues on low income and basic skills deficient
WIOA - Youth Services

• Out of School Youth is defined between ages 16 to 24

• Serve 75% Out of School Youth (major shift from the 30% requirement under WIA)

• 20% funding requirement for a work experience component

• Income eligibility is eased by allowing income proxies e.g. eligibility for free or reduced lunch and residency in a high-poverty area
Important Dates

- **Notice of Proposed Rulemaking**
  - April 16, 2015 – 60 day public comment period

- **Transition Year**
  - July 1, 2015 – initial implementation
  - July 1, 2016 – full implementation
Community Development Block Grant (CDBG)

FY 2016-2017
Public Service Funding

Finance, Economic Development & Technology Committee
July 22, 2015
US Department of Housing and Urban Development (HUD)

Develop viable urban communities by providing decent housing, a suitable living environment, and expanding economic opportunities, principally for persons of low and moderate income

Provides flexibility to address a wide range of community needs – 15% may be used for public services
Federal CDBG Reduction of 2.5% : $5,298,515

Public Service (15% Cap): $794,777
  • $331,500 available to Nonprofits
  • $463,277 available for City public services

General Funding needed to maintain FY14–15 & 15–16 service levels for City public services: $370,750

*Good News – Funding has been identified in the forecast to maintain these levels.*
Funding Ideas for FY 2016–17

# 1

- Award FY 2015–16 CDBG funded nonprofits for a second year
  - Funding reductions based on actual allocation
  - No extensions to nonprofits with unresolved monitoring findings
  - Excess funding to be allocated equally to nonprofits

- Benefits
  - More staff time to provide technical support
  - Addresses the learning curve of nonprofits
  - Opportunity to enhance programs or services
  - Additional time for nonprofits to leverage resources
Funding Ideas for FY 2016–17

#2

- Conduct a new application process
  - Council Work–study Session
  - Provide public service needs list
  - Designate percentages to allocate to types of programs
  - Conduct application process
  - Staff ensures allocated percentages are applied

- Benefits
  - Designated percentages for nonprofit types of services
  - Opportunity for new programs to apply for funds
Participatory Budgeting

- Utilized for one-time expenditures
- A committee comprised of community members establishes funding guidelines, eligibility, and election processes
- $331,500 budget vs $COST
  - Vallejo- Estimated cost $200,000
  - 9 month process
- Average turnout of 3.25% of total population
  *based on Chicago and Vallejo examples
Next Steps

- City Council Work-study Session This Fall
Thank you.
Sec. 421. - Non-public works contracts.

(a) The City shall not be bound by any contract, unless the same shall be made in writing by order of the City Council, except as hereinafter provided, and signed by an officer on behalf of the City who has been authorized to do so by the City Council. The approval of the form of all contracts shall be endorsed thereon by the City Attorney, or his or her designated representative.

(b) The City Council may by ordinance authorize the City Manager to bind the City on contracts for such amounts as may be established from time to time. At least quarterly, the City Manager shall place on the City Council agenda for information, a report of contracts let by the City Manager pursuant to authority granted hereby. That report shall include the identities of contractors and amounts of each contract.

(c) The City Council shall establish by ordinance rules and procedures for competitive bidding for purchases of, or contracts for materials, supplies, equipment, or services, including exceptions from formal bidding as the City Council may deem appropriate, including providing for emergencies. Nevertheless, such rules and procedures shall provide, where feasible, for review of such alternative sources of such materials, supplies, equipment, or services, including professional services, as may be available in competition with one another and selection therefrom on the basis of obtaining maximum quality goods, services, or performance at minimum cost, and may provide for use of other public agency bidding and contracting processes where found to be otherwise consistent with this Charter. Nothing herein contained shall authorize any person to bind the City on any such contract if the same be a portion of a larger purchase or series of purchases which, in the aggregate, exceed the authority set by the City Council hereunder.

(Ord. No. NS-1405, 3-13-78, approved at election 6-6-78; Ord. No. NS-1642, 8-2-82, approved at election 11-2-82; Ord. No. NS-2715, 7-3-06, approved at election 11-7-06)

Sec. 422. - Public works contracts.

(a) For purposes of this section, "public works construction" shall be deemed to mean a project for the erection or improvement of public buildings, streets, drains, sewers, or parks. Maintenance and repair of public buildings, streets, drains, sewers, or parks shall not be considered as public works construction.

(b) Every contract for public works construction in excess of that amount set from time to time by ordinance of the City Council pursuant to (c) below, shall be made by the City Council with the lowest and best bidder after publication for at least two (2) days in a newspaper of general circulation in the City of notice calling for bids and fixing a period during which such bids will be received, which shall be for not less than ten (10) days after the first publication of said notice, except where alternate contracting procedures are utilized pursuant to (c), below.

(c) The City Council shall adopt by ordinance rules and procedures for competitive bidding for all public works contracts, which rules and procedures shall establish limits for public works contracts approved by the City Manager. Such rules and procedures shall establish criteria for thresholds for formal and informal bidding, and notice requirements therefor; standards for rejection of bids and dispensing with bidding; criteria and procedures for prequalifying bidders and contractors; and utilization of alternate project delivery systems such as design-build contracts. For purposes of this Article, "design-build" means a range of methods of procuring design and construction from a single source, where the selection of the single source occurs before the development of complete plans and specifications. Notwithstanding the foregoing, any rule permitting dispensing of bidding and/or performing work with City forces for any reason including an emergency shall require the affirmative votes of at least two-thirds (2/3) of the members of the City Council.

(Ord. No. NS-2715, 7-3-06, approved at election 11-7-06)
Santa Ana Municipal Code  
Chapter 2 – Administration

**Article I.**

**Sec. 2-1. - City manager's authority to approve change orders.**

The city manager of the City of Santa Ana is hereby authorized to bind the City of Santa Ana on change orders to city contracts for materials, supplies, labor or equipment, or for public works construction as defined in Santa Ana City Charter section 421 and 422, without previous city council approval when such change order for any one (1) contract, together with any previously approved change orders for said contract, do not cumulatively amount to an increase of the city's expenditure obligation under said contract of more than ten (10) per cent, or the amount of twenty five thousand dollars ($25,000.00), whichever is the greater.

(Ord. No. NS-1294, § 1, 2-17-76; Ord. No. NS-1477, § 2, 4-16-79; Ord. No. NS-1682, § 7, 5-16-82; Ord. No. NS-2037, § 1, 11-20-89; Ord. No. NS-2742, § 3, 5-7-07)

**Cross reference**— City manager's authority re purchasing, § 2-801

**ARTICLE VII.II. - PURCHASING RULES AND REGULATIONS**

**Sec. 2-800. - Purposes of purchasing system.**

These purchasing rules and regulations are hereby adopted in order to:

1. Establish efficient procedures for purchasing of materials, supplies, labor and equipment;
2. Secure maximum quality goods, services or performance at minimum cost for the city;
3. Exercise positive financial control over the city's purchases; and
4. Establish the necessary procedures for the selection of providers of all ranges of goods and services so as to avoid favor or prejudice.
5. To simplify, clarify, and modernize the law governing procurement by the City;
6. To provide for increased public confidence in the procedures followed in public procurement;
7. To ensure the fair and equitable treatment of all persons who deal with the procurement system of the City;
8. To foster effective broad-based competition within the free enterprise system;
9. To provide safeguards for the maintenance of a procurement system of quality and integrity, and
10. To obtain in a cost-effective and responsive manner the materials, services, and construction required by City agencies in order for those agencies to better serve the City's businesses and residents.

(Ord. No. NS-2502, § 3, 7-1-02; Ord. No. NS-2742, § 4, 5-7-07)
Sec. 2-801. - City manager's authority.

The city manager is authorized to bind the city to any one written contract for an amount not exceeding the sum of twenty-five thousand dollars ($25,000.00).

(Ord. No. NS-2502, § 3, 7-1-02; Ord. No. NS-2717, § 2, 7-3-06)

Sec. 2-802. - Definitions

For purposes of this article, the following definitions shall apply:

Agency shall mean the executive director of the city agency or department which has responsibility for awarding a contract for services.

Agreement or contract shall mean a legal contract which complies fully with the provisions of Section 421 of the City’s Charter and this article. The words agreement and contract may be used interchangeably in this article.

Electronic shall mean electrical, digital, magnetic, optical, electromagnetic, or any other similar technology.

Local business shall mean a business certified by the state department of general services as a small business, which has a substantial presence through either a headquarters or branch office within the geographical boundaries of the city, and which headquarters or branch office was established prior to the city inviting bids for the respective procurement. Said business must possess a current business license and certificate of occupancy. For purposes of this article, a post office box address within the city shall not qualify as a valid business location.

Materials, supplies, labor and equipment shall mean those goods or services, but excluding services and public works construction, that are readily ascertainable and measurable by an objective standard in terms of quantity or quality so as to be susceptible to competitive bidding.

Orange County business shall mean a business certified by the state department of general services as a small business, which has a substantial presence through either a headquarters or branch office within the geographical boundaries of Orange County, and which headquarters or branch office was established prior to the city inviting bids for the respective procurement. Said business must possess a current business license to perform work in Santa Ana. For purposes of this article, a post office box address within the county shall not qualify as a valid business location.

Public notice shall mean the distribution or dissemination of information to interested parties using methods that are reasonably available. Such methods can include publication in newspapers of general circulation, electronic or paper mailing lists, and web site(s) designated by the city and maintained for that purpose.

Purchasing manager shall mean that city employee or official so designated by the city manager and authorized to carry out the responsibilities under this article, including the promulgation and enforcement of administrative procedures.

Purchase order (PO) shall mean that standardized contract developed pursuant to subsection 2-803(j) issued to the vendor of materials, supplies, labor and equipment.

Services shall mean the furnishing of labor, time, or effort by a contractor, not involving the delivery of a specific end product other than reports which are merely incidental to the required performance. Services are of an advisory nature, provide a recommended course of action or personal expertise, have an end product comprised of a transmittal of information, written or verbal, and that is related to the governmental functions of administration, management, program management or innovation. The product may include anything from answers to specific questions to design of a system or plan, and includes provision of workshops, seminars, retreats, and conferences for which expertise is necessary. This term
shall not include employment agreements or collective bargaining agreements. This term shall not include contracts for the construction, alteration, improvement, repair, or maintenance of real or personal property.

(Ord. No. NS-2502, § 3, 7-1-02; Ord. No. NS-2742, § 5, 5-7-07; Ord. No. NS-2828, § 3, 3-19-12)

Sec. 2-803. - Powers and duties of the purchasing manager.

The city manager is directed to establish and maintain a centralized purchasing system, and in connection therewith, the city manager shall designate a purchasing manager for the city whose duties shall include, but not be limited to, the following:

(a) Act to procure for the city the needed quality in materials, supplies, labor, and equipment, and services including professional services, at the least expense to the city.

(b) Recommend execution of contracts.

(c) Endeavor to obtain as full and open competition as possible on all purchases.

(d) Keep informed of current developments in the field of purchasing, prices, market conditions and new products.

(e) Establish rules and procedures governing the purchase of materials, supplies, labor, equipment and services, for the city through the preparation and adoption of an administrative code which shall provide for the review of such alternative sources of supply or performance as may be available in competition with one another and selection therefrom on the basis of obtaining maximum quality at minimum costs.

(f) Prescribe and maintain such forms as are reasonably necessary for the operation of this article.

(g) Keep or cause to be kept an inventory of all municipal property in his or her custody.

(h) If required by federal, state or other law, cause notices inviting bids to be published.

(i) Endeavor to establish standards in the variety of articles, materials, supplies, labor, and equipment, commonly used by the various departments and agencies, as will make possible uniform purchases, when consistent with efficiency.

(j) Prepare, with the approval of the city attorney as to form, a pre-printed purchase order to be utilized in contracts for materials, supplies, labor and equipment.

(Ord. No. NS-2502, § 3, 7-1-02; Ord. No. NS-2742, § 6, 5-7-07)

Sec. 2-803.1. - Local preference in contracts for materials, supplies, labor and equipment.

Except for those contracts for which the Charter of the City of Santa Ana prohibits the provision of a local preference, and/or those contracts funded through programs or partners which prohibit the use of a local preference, the city council authorizes the purchasing manager to extend a preference to local business and Orange County business as set forth herein.

(a) In the procurement of material, supplies, labor and equipment involving expenditures between five thousand dollars ($5,000.00) and one hundred thousand dollars ($100,000.00), the purchasing manager shall extend a preference to each local business and each Orange County business, which preference shall be applied to the bid which provides maximum quality at minimum price. Said preference shall be set by resolution of the city council.

(b) If the bidder submitting the maximum quality at minimum cost bid is not a local business or an Orange County business, and if a local business or an Orange County business has submitted a responsive and responsible bid, and with the benefit of the applicable preference, the bid submitted by local business or Orange County business is equal to or less than the original
maximum quality at minimum cost bid, the contract shall be awarded to the local business or the Orange County business at its submitted bid price. If two (2) or more low bids received are equal after the application of the preference, the contract shall be awarded in the following order:

(1) To a local business.
(2) To an Orange County business.
(3) To the bidder submitting the maximum quality at minimum cost bid.

The city shall reserve the right to reject any or all bids.

(c) In order for the preference to apply, a bidder must certify under penalty of perjury, that the bidder qualifies as a local business or Orange County business. The preference is waived if the certification does not appear on the bid.

(Ord. No. NS-2828, § 4, 3-19-12)

Sec. 2-804. - Reporting requirements

The city manager reporting requirements mandated by Section 421 of the City Charter shall only include contracts let that exceed five hundred dollars ($500.00), all other contracts let by the city manager under five hundred dollars ($500.00) shall be provided to the city council if requested by a councilmember.

(Ord. No. NS-2742, § 7, 5-7-07)

Editor's note—Ord. No. NS-2742, § 7, adopted May 7, 2007, amended § 2-804 in its entirety to read as herein set out. Formerly, § 2-804 pertained to procurement of materials, supplies, labor, and equipment under five hundred dollars ($500.00), and derived from Ord. No. NS-2502, § 3, adopted July 1, 2002.

Sec. 2-805. - Procurement of materials, supplies, labor, and equipment between five hundred dollars ($500.00) and twenty-five thousand dollars ($25,000.00).

(a) For those agreements exceeding five hundred dollars ($500.00) but not exceeding five thousand dollars ($5,000.00), the city manager may bind the city on contracts for materials, supplies, labor, and equipment in amounts not exceeding five thousand dollars ($5000.00) in any one contract or in the aggregate with any one vendor or service provider. These contracts can be entered into administratively without the need for informal or formal bidding.

(b) Unless exempt from bidding pursuant section 2-807, all contracts involving an expenditure between five thousand dollars ($5,000.00) and twenty-five thousand dollars ($25,000.00) for materials, supplies, labor, and equipment shall be let on the basis of obtaining maximum quality at minimum cost in accordance with procedures established by the purchasing manager. Those procedures shall provide for at a minimum the following:

(1) There shall be a written or verbal invitation for bid which shall include the following information: A general description of the things to be purchased or project, the time and place for bid opening when applicable, bid instructions, and the terms and conditions of the bid and any resulting contract. The purchasing manager shall make a good faith effort to notify all businesses engaged in providing such materials, supplies, labor, and equipment located within the boundaries of the city of the opportunity to bid.
(2) Where required by state or federal law or regulations, or upon request by a bidder, the bids shall be opened, if sealed, and declared in public at the time and place stated on the "Invitation for Bid."

(Ord. No. NS-2742, § 8, 5-7-07; Ord. No. NS-2828, § 5, 3-19-12)

Editor's note—Ord. No. NS-2742, § 8, adopted May 7, 2007, amended § 2-805 in its entirety to read as herein set out. Formerly, § 2-805 pertained to procurement of materials, supplies, labor, and equipment between five hundred dollars ($500.00) and ten thousand dollars ($10,000.00), and derived from Ord. No. NS-2502, § 3, adopted July 1, 2002.

Sec. 2-806. - Procurement of materials, supplies, labor, and equipment in excess of twenty-five thousand dollars ($25,000.00).

Unless exempt from bidding pursuant to section 2-807, all contracts involving an expenditure in excess of twenty-five thousand dollars ($25,000.00) for materials, supplies, labor, and equipment shall be let on the basis of obtaining maximum quality at minimum cost, in accordance with procedures established by the purchasing manager. Those procedures shall provide for at least the following:

(a) Public notices inviting bids shall include a general description of the things to be purchased and the time and place for bid opening. Adequate public notice of the invitation for bids shall be given a reasonable time prior to the date set forth therein for the opening of bids, in accordance with regulations established by the purchasing manager. To the extent that public notice is by way of publication in a newspaper of general circulation, such publication shall be for at least two (2) days, the first of which shall be at least ten (10) days before the date set for opening bids.

(b) Invitation of bids shall be mailed or transmitted by other means established by the administrative code but not recited over the telephone or in person. Any interested bidder may obtain an invitation for bid.

(c) All bids shall be submitted sealed in accordance with the instructions contained in the "Invitation for Bid" form.

(d) The bids shall be opened in public, at the time and place stated on the "Invitation for Bid." All bids shall be publicly declared.

(Ord. No. NS-2742, § 9, 5-7-07; Ord. No. NS-2828, § 6, 3-19-12)

Editor's note—Ord. No. NS-2742, § 9, adopted May 7, 2007, amended § 2-806 in its entirety to read as herein set out. Formerly, § 2-806 pertained to procurement of materials, supplies, labor, and equipment in excess of ten thousand dollars ($10,000.00), and derived from Ord. No. NS-2502, § 3, adopted July 1, 2002.

Sec. 2-806.1. - Acquisition of goods and services by reverse auctions; posting on Internet; registration and requirements; inapplicability to construction contracts.

(a) Notwithstanding the bidding provisions of this chapter, reverse auctions may be utilized for the acquisition of goods and services. The reverse auction process shall include a specification of an opening date and time when real-time electronic bids may be accepted, and provide that the procedure shall remain open until the designated closing date and time.

(b) All bids on reverse auctions shall be posted electronically on the Internet, updated on a real-time basis, and shall allow registered bidders to lower the price of their bid below the lowest bid posted on the Internet.
(c) The purchasing manager shall require vendors to register before the reverse auction opening date and time, and as part of the registration, agree to any terms and conditions and other requirements of the solicitation. The purchasing manager may require vendors to be prequalified prior to placing bids in a reverse auction.

(d) For purposes of this section, "reverse auction" means a competitive online solicitation process for fungible goods or services in which vendors compete against each other online in real time in an open and interactive environment.

(e) The reverse auction process may not be used for bidding on any construction contract that is subject to Section 422 of the City Charter. (Ord. No. NS-2742, § 10, 5-7-07)

Sec. 2-807. - Non-bid purchases.

The following contracts may be exempted from competitive bidding through an open market purchase by the purchasing manager, and confirmed by the city council in the case of contracts for over twenty-five thousand dollars ($25,000.00), but shall nevertheless be entered into only after compliance with the rules established by the purchasing manager, which shall include the review of such alternative sources of supply or performance as may be available in competition with one another and selection therefrom on the basis of obtaining maximum quality at minimum costs:

(a) Purchases of materials, supplies, labor, and equipment whenever it shall appear that there is only one (1) reasonably available source or where solicitation of bids would for any reason be an idle act.

(b) Purchases of materials, supplies, labor, and equipment necessary for the preservation of life, health or property, following the declaration of a state of emergency or disaster in the city. A full written account of emergency procurements made during the declared emergency or disaster shall be submitted to the city council within thirty (30) days after their procurement.

(c) Situations where no bids are received or all bids are rejected and the city council determines, upon the affirmative vote of at least two-thirds (2/3) of its members, that the materials, supplies, labor or equipment can be obtained at a lower cost.

(d) Purchases from vendors whose names are on current established lists and have been awarded the same type of purchase contract by a federal agency (including the general services administration), a state agency, county, city or other public agency after a competitive bidding process determined by the purchasing manager to be substantially equivalent to that prescribed by this article.

(e) Contracts for services.

(Ord. No. NS-2502, § 3, 7-1-02; Ord. No. NS-2742, § 11, 5-7-07; Ord. No. NS-2770, § 3, 8-18-08)

Sec. 2-808. - Local preference in contracts for services.

Except for those contracts for which the Charter of the City of Santa Ana prohibits the provision of a local preference, and/or those contracts funded through programs or partners which prohibit the use of a local preference, the city council authorizes the agency to extend a preference to local business and Orange County Business as set forth herein.

(a) Contracts for services shall be awarded on the basis of demonstrated competence and on the professional qualifications necessary to for the satisfactory performance of the services required. In evaluating proposals for service contracts in amounts up to one hundred thousand dollars ($100,000.00), proposers which qualify as local business or Orange County business shall be eligible for preference points. The preference shall be added to the proposal to reach a final score in determining the most advantageous proposal. Said preference shall be set by resolution of the city council.
(b) A non local proposer associating with a local business or Orange County business, shall be eligible for the local preference if a minimum of fifty (50) percent of the contract value will be performed by the local business or Orange County business.

(Ord. No. NS-2828, § 7, 3-19-12)

Secs. 2-809—2-814. - Reserved.
CITY OF SANTA ANA

PURCHASING DIVISION

POLICIES & PROCEDURES

Revised January 2014
# CITY OF SANTA ANA
# PURCHASING POLICIES & PROCEDURES
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FOREWORD

These policies and procedures are intended to provide a uniform guideline for the purchasing functions of the City of Santa Ana. It is neither intended as, nor does it establish, a legal standard for these functions except and unless specific charter or code sections are referenced.

The purpose of this manual is to provide all departments with the procedures and policies to be used in the requisitioning and purchasing of supplies, materials, equipment and technical/maintenance services.

SECTION 1.00 MUNICIPAL PURCHASING

Section 1.1 Purchasing Authority & Responsibility

The City of Santa Ana is dedicated to the principles of open and fair competition in its bidding practices.

The City Council of the City of Santa Ana established a centralized purchasing system by the adoption of Sec. 2-800 of the Santa Ana Municipal Code (SAMC).

The City Manager and his/her designees (i.e. Purchasing Manager) may bind the City on contracts in amounts not to exceed twenty-five thousand dollars ($25,000). The City Charter and Municipal Code further sets forth formal, informal and open market procedures to be followed in carrying out the purchasing function.

Buyers may authorize any department to proceed with a purchase or to contract for specified supplies, materials, equipment and services, but shall require that such purchases or contracts be made in conformity with the Santa Ana Municipal Code purchasing rules and regulations and administratively established policies and procedures.

Note: This excludes professional services/consultant agreements(SAMC Sec. 2-807) and Public Works Agency construction projects (SAMC Sec. 33-200).

Section 1.2 Vendors and E-procurement

It is to the City's advantage to maintain and promote good relations with suppliers. The City's vendor relations reflect the public image of the City organization. Both the Purchasing and the user departments are responsible for promoting fairness, integrity, courtesy and goodwill in their vendor relations.

The City of Santa Ana implemented an online (e-procurement) bid management system with PlanetBids. Vendors wishing to receive notification of bid opportunities with The City of Santa Ana must have e-mail
Purchasing Policies and Procedures

capability and must register online at www.santa-ana.org/finance/vendor_registration.asp. Vendors are encouraged to register online as both formal and informal bid solicitations are processed through the online (e-procurement) bidding system. Buyers may solicit from a requesting department the names of qualified vendors not registered on the city’s Planet Bids Vendor Portal. Inclusion on any requesting department’s bidder list does not guarantee that a vendor will be notified every time a quotation or bid is solicited. The City makes every attempt to include local vendors within the city limits of Santa Ana on its vendor list. It is the responsibility of the Buyer to ensure there are an adequate number of solicitations to meet the established competitive bid requirements (SAMC Sec. 2-806). Vendors may be removed from the City’s vendor list for failure to return a mailed solicitation indicating that they do not wish to submit a bid, however, do wish to remain on the bidders list. Vendors may also be removed for providing unacceptable products and/or services.

Requests for information, such as bid results or abstracts, should be submitted in writing via Request for Public Records (See Appendix A). In consideration of bidders, only information deemed public shall be disclosed (California Government Code 6253). The City must determine within ten days after receipt of any request whether to comply with the request and shall immediately notify the requesting party of its determination and reasons therefore.

SECTION 2.00 PURCHASING POLICIES & PROCEDURES

Section 2.1 The Purchasing Process

The purpose of the purchasing process overview is to provide a general understanding of the procedures for securing the materials and services required by the City.

The Purchasing Process is summarized as follows:

1. Any department requesting goods or services must prepare a requisition though Lawson Requisition Center and submit specifications.
2. The requisition is assigned to a Buyer by the Purchasing Manager. Requisitions utilizing capital expenditure funds, for computers or information technology equipment shall be forwarded to the Budget Office for review and approval.
3. The Buyer reviews the requisition for completeness and determines procurement method.
4. The Buyer solicits quotations using methods appropriate to the type of purchase.
5. The Buyer evaluates vendor responses and issues a purchase order, or initiates a formal bid process and recommends award to City Council.
6. After selection of supplier, the Buyer issues a purchase order and sends a copy to the vendor and the requesting department. The Buyer retains the requisition backup as per the City’s retention schedule.
7. The using department authorizes final payment upon satisfactory completion of services or receipt of materials.
8. Upon receipt of departmental approval, Accounts Payables staff will process payment.
Section 2.2 Purchase Requisitions

The purpose of the requisition is to communicate the need of a user to the Purchasing Division and to signify that the appropriate authority within the requesting department has approved the purchase. With the exception of some blanket orders, no action towards processing procurements should be made on the part of the Buyer without an approved requisition.

It is the responsibility of the requesting department to provide a complete description/specification for their requirement(s). If the information is incomplete or insufficient, the Buyer may request clarification and/or additional information.

Section 2.3 Methods of Procurement and Payment

The purpose of this section is to identify and describe the various methods used for procurement of goods and services.

The method used is determined by such factors as dollar value, complexity, urgency, and frequency of the procurement. All purchases (including those associated with staff travel) must be in conformance with City policies and procedures established to manage purchase of goods and services for the efficient operations of the City.

**Purchase Order:** The Purchase Order is the most common and generally preferred method of procurement. It establishes the parties involved, the products purchased, pricing, terms and conditions of the purchase. The purchase order establishes a legally enforceable contract. Purchase Orders are generated from a properly authorized requisition and distributed to the vendor.

**Blanket Order Contract:** To facilitate purchases which are required on a recurring basis and to reduce the number of small value purchase orders, blanket order contracts (BOC) are created. Purchases can be made against a BOC using a purchase order or material release. BOC’s can be established in two ways:

- *Without* competitive bidding; blanket order contracts that have not been competitively bid are limited to a maximum of $25,000 per fiscal year.
- *With* competitive bidding; bids are solicited for fixed pricing within a specific time period. Purchases against blanket order contracts with established prices or rates are allowed up to the full value of the contract unless otherwise specified.

For a current listing of blanker order contracts visit [http://citydesk/finance/documents/blanket_order_list.pdf](http://citydesk/finance/documents/blanket_order_list.pdf)

**Emergency Order (Verbal):** An emergency order is a commitment made by Purchasing or a requesting department for the procurement of materials, supplies, equipment or services necessary for the preservation of life, health or property. At its discretion, the Purchasing Division shall issue a confirming order number. Confirming order numbers are reserved for critical, rather than convenient, circumstances.

It is the responsibility of the requesting department to assess the severity of the requirement and identify its critical needs, including the consequences of delaying the procurement. Prior to any ordering of materials or services the requesting department must complete and submit an Emergency Request & Declaration Form (See
Appendix B). If in agreement with the requesting department’s recommendation, the Buyer shall authorize the procurement and issue a confirming order number. This provides a reference for matching the requisition, purchase order, and invoice properly. Buyers shall maintain a log of confirming order numbers released, to whom they were released, and additional information as required to maintain accurate records. Requisitions and the resulting purchase orders shall then be processed per normal procedures with some exceptions:

- It is important that the using department clearly state Confirming Only on their requisition to avoid duplication by the Buyer.

- The Buyer shall note the emergency number on the purchase order, thereby alerting Accounts Payable to match invoices by the emergency number rather than the purchase order number.

It shall be incumbent upon the requesting department to inform any contractors providing services to, for, or on behalf of the City that, per SAMC Sec. 2-750, they are required to provide to the City, prior to performing any services on City property, evidence of insurance in the amounts required.

Professional Services Agreements: Within the City of Santa Ana, the term “agreement” refers to agreements for professional services and consultants, and are appropriate when contractors are providing specialized expertise, time, and/or effort but do not deliver a tangible end product other than reports which are merely incidental to the required performance. Generally, these services are of an advisory nature, provide a recommended course of action or personal expertise, have an end product comprised of a transmittal of information, written or verbal, that is related to the governmental functions of administration, management, program management or innovation. The product may include anything from answers to specific questions to design of a system or plan, and includes provision of workshops, seminars, retreats, and for which expertise is necessary. Agreements are prepared by the using department with the assistance of the City Attorney’s office, which is signed by the City Manager, City Attorney, Director of the using department, Clerk of the Council, and the vendor. A purchase order may also be issued against an agreement for purposes of encumbering funds and facilitating payment. However, most agreements are paid with a Purchasing Authorization Form described below.

Agreements for these services are exempt from bidding per SAMC Sec. 2-807 (e).

Credit Card: Use of a credit card is an expedient, efficient, and cost-effective alternative for the purchase and payment of small dollar expense items. Executive Directors and their designees are authorized users of credit/purchasing cards. Credit cards may be used when at least one of the following conditions exists:

- Company does not accept purchase orders.
- A one-time purchase from a company that has not been established as a City vendor.

For credit/purchasing card restrictions see section 3.7.

Purchases against an existing requisition:

- Buyer shall advise the department that their purchase was made against a credit/purchasing card and they will not be receiving a purchase order.
- Buyer shall instruct the end user to send an e-mail confirmation along with scanned copies of the shipping documents to the buyer when the items have been received.
- Buyer shall forward the proof of purchase, receipt confirmation e-mail and documentation, signed statement, and requisition to Accounts Payable for payment.
Material Release: Designed to allow City employees to make low value and emergency purchases quickly and easily with a minimum of paperwork. Once a blanket order contract is established, properly identified City employees may make purchases of up to $2,500 (at the Buyer's discretion) against a Material Release Form, which the employee must present at the time of purchase. When ordering by phone, the end user is responsible for providing the vendor with the material release number for accounting purposes. Invoices, along with copies of the Material Release Forms, are sent directly to Accounts Payable for payment. For purchases over $2,500, the using department must enter a Requisition.

Methods of Payment - Forms

Payment Forms: The primary purpose of the following forms is for low value and repetitive purchases. The using department places the order, receives the invoice, and forwards the properly authorized document to Accounts Payable for processing. In addition, the using department is responsible for obtaining complete information required to issue a vendor number using the New Vendor Checklist Packet.

Purchasing Authorization Form: Used for payments against approved agreements and contracts up to and including their maximum value. If ordering by phone, the user is responsible for providing the vendor with the purchase order number for accounting purposes (see Appendix C).

Direct Payment Voucher (DPV): Used for reimbursements, registrations, subscriptions, memberships, fees, utilities, and travel expenses regardless of the amount and for miscellaneous materials and services up to $500 per vendor per fiscal year (See Appendix D).

Section 2.4 Open Market Competitive Bidding

The City Charter and Municipal Code set forth formal, informal, and open market procedures to be followed in carrying out the purchasing function.

Informal bids valued from $1 to $5,000 do not require competitive quotes, however; the Buyer (or designee) may solicit additional offers. Upon verification of price, delivery terms, delivery dates, shipping information, and source of quotation, the Buyer may issue a purchase order.

Informal bids valued from $5,001 to $25,000 require a minimum of three competitive quotes unless solicitation of bids proves to be an idle act or the Purchasing Manager deems less than three quotes will suffice. Quotes may be solicited by the Buyer or their designee. Suppliers shall be selected based upon their ability to provide maximum quality goods and services at a minimum cost. Purchase orders over $6,000 will be signed by the Purchasing Manager.

Formal bids valued above $25,000 require competitive, sealed bidding and will be administered per section 2-806 of the Santa Ana Municipal Code and the following:

The Buyer shall, in conjunction with the requesting department, develop an Invitation for Bid (IFB) which includes a complete product or service specification. The requesting department should review and approve specifications before distribution and may provide a suggested list of qualified bidders. The Buyer shall issue a RFP number and establish an issue date, a bid due date, an estimated council award date, and provide public
Public notices may include publication in newspapers of general circulation, electronic or paper mailing lists, and the City’s website (SAMC Sec. 2-806).

A pre-bid conference or job walk may be scheduled to further explain product or service requirements if the specification is of a complicated nature, or if site conditions could impact price or performance. This shall be coordinated with and attended by a representative of the requesting department and the Buyer. To ensure that all interested vendors are given consistent and uniform information regarding the product or job, attendance may be required.

Addendums, when required, shall be composed and distributed by the Buyer.

Bids shall be opened in public at the time and place stated in the public notice. Any bid received after the time specified in the notice shall either be returned unopened or received, time stamped, and filed as unopened.

After opening, bid responses become public record and, within 10 days of a request, should be made available for inspection by any interested party. Vendors may designate certain portions of their proposal as “trade secrets” as defined by California Government Code Sec. 6250, exempting them from public release. Bid abstracts, shall be posted on the city’s website pursuant to SAMC Sec. 2-154, as amended by the City's Sunshine Ordinance, NS-2838, 10-15-12.

The lowest responsive and responsible bid, as determined by the Buyer and requesting department, shall be recommended for award.

For bid evaluation purposes qualified bidders may receive one of the following: a 7% preference for "small" Santa Ana businesses, or a 4% preference for "small" Orange County businesses, is given respectively on all qualifying bids for materials, supplies, labor, equipment or services, pursuant to the Small Local Business Preference Program under Ordinance NS-2828. Small Local Business Preference eligibility requirements are available on the City's website at www.santa-ana.org/finance/local_preference_program.asp. Vendors located within the City of Santa Ana limits that do not qualify for the small local business preference program may receive a 1% local vendor preference when evaluating their total bid.

The Buyer, in conjunction with the requesting department, shall prepare a Request for Council Action (RFCA). If three or more bids are received, the Buyer shall prepare an abstract of bids to accompany the RFCA. Once approved, the RFCA and abstract will be submitted to the RFCA Team for review and inclusion on the next available City Council Meeting Agenda.

After award, the Buyer shall issue a purchase order which will include the bid number, date of award, and agenda item number. Council approved purchase orders require Purchasing Manager and City Attorney signatures.

**Request for Proposals**

Request for proposals (RFP) are an alternate method for procurement of goods and services used when qualifying criteria other than price is determined to be of greater value and the lowest, responsive bidder cannot be determined by normal objective measures.

Developing the evaluation criteria is the primary responsibility of the requesting department (with assistance from the Buyer) and must be included in the RFP.
Prior to the advertising of an RFP/Q, departments shall submit to the Finance and Management Services Agency Purchasing Division a completed RFP/Q Posting Form (See Appendix E). The RFP/Q Posting Form serves as a checklist to ensure all RFP's/Q's contain all required and pertinent information to conduct a formal bid process. Once the Purchasing Division has reviewed/approved the RFP/Q Form, the Purchasing Division will post the document to the City's website.

The requesting department shall prepare the Request for Council Action (RFCA).

Submitted proposals do not become public record until after award, rather than upon opening as with an IFB.

Section 2.5 Exceptions to Competitive Bidding

Per SAMC Sec. 2-807 Ord. NS-2312, purchases may be made, without observing competitive bidding requirements.

Cooperative "Piggybacking" Contracts

Per SAMC Sec. 2-807 (d), competitive bidding may be waived for purchases made from vendors who have been awarded the same type of purchase contract (as determined by the Purchasing Manager or his/her designees) by a federal agency, state agency, county, city or other public agency after a competitive bidding process substantially equivalent to those prescribed by the City Charter, Municipal Code, and herein. Any contract, even though not required to be let by competitive bidding, shall nevertheless be entered into only after review of alternative suppliers and determination of the most advantageous source available.

Purchases may be made, even though a cooperative contract was not competitively bid, if the Buyer determines that the price and terms are fair and reasonable and that soliciting further bids would be an idle act.

Emergency Orders

Per SAMC Sec. 2-807 (b), competitive bidding may be waived for procurements of urgent necessity for the preservation of life, health, or property. Requesting departments shall not complete any emergency procurement prior to obtaining approval and/or authorization from the Buyer. The requesting department shall complete and submit an Emergency Purchase Request and Declaration Form (See Appendix B) to the Buyer. Per SAMC Sec. 2-750, all vendors providing services to, for, or on behalf of the City are required to provide evidence of insurance meeting the City's requirements prior to performing any services on City property. It shall be incumbent upon the requesting department to advise any contractors of this policy.

Any procurement which under normal circumstances would require Council action shall be presented to Council for approval before invoices are paid.

Sole Source Purchases / Awards

The City's preference is to solicit competitive bids for its goods and services. However, certain procurements may be exempt from the bidding process if the product or service is available only from a sole source. A sole source shall be defined as a single supplier who is the sole distributor or manufacturer of a product or service for which no acceptable substitute is available. This exclusiveness shall be clearly documented by the requesting department on the Sole Source Request Form (See Appendix G) submitted to the Buyer, and is
subject to verification. Council authorization shall be required for sole source procurements in excess of or in the aggregate of $25,000.

Section 2.6 Specifications

The term "specification," generally refers to the description of the commodity or service required. However, for certain products and/or projects it may also encompass the physical requirements, scope or statement of work, installation requirements and other descriptive aspects of the procurement.

It shall be the responsibility of the requesting department to provide commodity and service specifications containing sufficient information to obtain meaningful proposals and adequate competition from suppliers. The Buyer has the authority and responsibility to challenge specifications which limit competition or do not adequately represent the requirements to suppliers.

The Buyer may assist in developing specifications that will result in a transparent, competitive procurement that is fair and equitable to all parties.

The specification should address the following:

- General description - This may include dimensions, tolerances, model numbers, manufacturer names, colors, sizes, performance characteristics such as speed and storage capacity, or the specific functions to be performed.
- Quantity and unit of measure
- Drawings, maps, pictures, sketches (if applicable)
- Required delivery date
- Installation or site preparation requirements
- Compatibility requirements with existing equipment or programs
- Maintenance requirements (service location/response times)
- Warranty requirements
- Minimum or desired vendor qualifications
- Requestor’s contact information
- Estimated cost (Engineer's Estimate)
- Contact information or any suggested vendors

Section 2.7 Revisions / Change Orders

A Change Notice is used to document changes affecting an existing contract established by a purchase order or a Blanket Order Contract.

All departmental requests for cancellation or changes in design, specifications, quantity, delivery schedule, pricing, payment of invoice, transportation, and similar contractual considerations, should be supported by a written request from an authorized fiscal approver within the department.
Minor changes and corrections that do not require departmental or Council approval or vendor notification and do not increase or decrease the value of the purchase order by more than $100 (including taxes, freight, etc.) shall not require a change notice.

Buyers may authorize change notices valued up to and including $6,000 providing the original contract did not require Council approval and the increase will not exceed the $25,000 aggregate limit for the affected vendor. Change notices valued above $6,000 shall be co-signed by the Purchasing Manager or their designee.

Changes to purchase orders originally requiring Council approval are limited to $25,000 or 10% over the original approved amount, whichever is greater (Ord. No NS-274.2, Sec 3; 2-1). These change notices shall be co-signed by the City Manager, City Attorney, and the Purchasing Manager or their designee. Any changes exceeding $25,000 or 10% over the approved amount shall require additional Council action, as shall each subsequent change.

Non-Council approved contracts can only be increased up to a total value of $25,000. (Ord. No NS-274.2, Sec 3; 2-1).

Section 2.8 Aggregate Limits

Council approval is required for the purchase of products or services from any vendor whose total fiscal year expenditures exceed $25,000. Expenditures are totaled according to the fiscal year the obligation (i.e. purchase order, agreement) was issued subject to the review of the City Attorney and Purchasing Manager.

If at the time of payment, the processing of the payment will cause the aggregate limit to exceed $25,000; Council action will be required before payment can be made.

Memberships, subscriptions, advertising and utilities are excluded from the aggregate limit.

Section 2.9 Performance Bonds

When deemed necessary by the Buyer, a bidder’s security may be required. The bidder’s security, or “Bid Bond”, in the form of cash, a cashier’s or certified check payable to the City of Santa Ana, or a bid bond issued by a corporate surety for an amount not less than ten percent (10%) of the aggregate of the bid is a guarantee that the bidder will enter into the proposed contract if the same is awarded to them. Bidders shall forfeit their bid security upon refusal or failure to execute the contract within the prescribed time.

The Buyer shall have the authority to require a performance bond in such amount as is reasonably necessary to protect the best interests of the City before entering into a contract. The “Performance Bond” shall be for 100 percent (100%) of the contract price to guarantee faithful performance of all work, within the time prescribed, in a manner satisfactory to the City, and that all materials and workmanship will be free from original or developed defects.
Section 2.10 Unauthorized Purchases (Commitments)

Procurements made outside the Purchasing Division without authorization and/or without observing established purchasing requirements are subject to being withheld from further processing. Unauthorized purchases are subject to review by the Purchasing Manager and may require approval by the Budget Office and/or City Manager. The Purchasing Manager shall make a final determination as to whether payment for the procurement shall be authorized. The Purchasing Division shall not take steps to pay any invoice for an unauthorized purchase until the review and/or approval process has been completed.

An Unauthorized Purchase Acknowledgement & Payment Request Form (See Appendix G) shall be completed by the requesting department and forwarded to the Purchasing Manager for review, and may be subject to Budget Office and City Manager approval.

In the absence of an agreement or purchase order, expenditures aggregate total shall be totaled according to the invoice date.

The requesting department shall prepare a Request for Council Action, should it be required.

Section 2.11 Errors in Bids/Quotes

Bidders are solely responsible for the accuracy of their quoted prices. The essential consideration in evaluating actions related to errors is that no change or correction be permitted which would prejudice the interests of the public or would be unfair to other bidders. Standard bid instructions allow the City to waive informalities in any bid. Such informalities may consist of the correction of minor errors, but only if the bid is substantially in compliance with the terms and conditions of the solicitation. Errors that are not material and do not invalidate the legitimacy of the bid should be waived.

When a Buyer knows or has reason to believe that a mistake has been made, the bidder should be requested to confirm the bid. Situations in which confirmation should be requested include obvious, apparent errors on the face of the bid or a bid unreasonably lower than other bids submitted. Such confirmations should be requested and received in writing.

Section 2.12 Bid Protests

All bid protests shall be in writing and must be filed within five (5) business days of either the IFB issued date or before 5:00 p.m. of the 5th business day following the posting of Bid Results/Notice of Intent to Award Contract on the City’s website.

Bid protests shall be forwarded immediately to the Purchasing Manager for disposition. A response will be provided within 10 business days.
SECTION 3.00 OTHER POLICIES & PROCEDURES

Section 3.1 Impacted Items
Purchases not designated as essential in conducting daily functions or deemed for personal use are generally not allowable. Purchase requisitions for such items shall be approved by the Budget Office and/or the City Manager's Office prior to being assigned to a buyer.

Section 3.2 Capital Assets
Property ID tags shall be issued for tangible capital assets.

Tags are affixed to equipment by the using department and are cross referenced with its purchase order number to allow for quick access to information on the acquisition and replacement costs for any given item. Capitalization thresholds are as follows:

- $100,000 and above for infrastructure
- $10,000 and above for all other tangible assets
- $5,000 and above for computers and computer related items

Section 3.3 Insurance Requirements
Per Section 2-750 of the Santa Ana Municipal Code, each person, firm or association contracting with the City to perform any services for or on behalf of the City shall provide proof of insurance protecting the interests of the City, in a form acceptable to the City Attorney, in limits specified therein before a purchase order is issued. To further protect the City from liability exposure, as well as to keep the City informed of any change or cancellation of policies, the City Attorney has developed additional requirements, including an “Additional Insured Endorsement” (See Appendix H). These documents shall be received before a purchase order is issued.

Section 3.4 Prevailing Wage
Section 1771 of the California Labor Code stipulates that except for public works projects of $1,000 or less, contractors are to pay prevailing wage for Public Works Construction projects. The City Charter defines Public Works Construction as a project for the erection or improvement of public buildings, streets, drains, sewers, parks, or playgrounds. Maintenance and repair of public buildings shall not be considered as public works construction and therefore are not subject to prevailing wage requirements.

Section 3.5 Procurement Procedures upon activation of the Emergency Operations Center (EOC)
In the event the Emergency Operations Center is activated, in order to preserve life and protect property, Purchasing shall adhere to the rules and regulations per SAMC Sec. 2-807 (b), Ord. NS-2770 (See Appendix I).
Section 3.6  Computer Equipment Purchases
All information technology equipment such as computers, hardware, software and other related purchases shall first be reviewed and approved by the Budget Office and Information Services.

Section 3.7  Restricted Purchases
The following types of goods may not be purchased with the credit/purchasing card: Items available through a purchasing contract, cash advances, services from vendors, recreation and/or cultural activities, personal expenses even if the intent is to reimburse the City at a later date, and split purchases to circumvent dollar limits. Cards may be audited or revoked at any time.
Glossary

**Agreement**
Within the City of Santa Ana, the term “agreement” refers to a long form document, usually written by the using department with the assistance of the City Attorney Office, which is signed by the City Manager, City Attorney, Director of the using department, Clerk of the Council, and the vendor.

**Centralized Purchasing**
A system of purchasing in which the authority, responsibility and control of purchasing activities is concentrated in one administrative unit.

**Competitive Bidding**
The offer of prices by individuals or firms competing for a contract, privilege or right to supply specified services or merchandise.

**Confirming Purchase Order**
A written confirmation of an order originally placed verbally that is needed by the user to meet a field emergency. The user must contact Purchasing for approval prior to issuing the purchase order, and shall provide the name of supplier, description of purchase, and requisition number to authorize the purchase.

**Delivery Terms**
Conditions in a contract relating to freight charges, place of delivery, time of delivery, and method of transportation.

**Emergency Purchase**
A purchase made without following normal purchasing procedures in order to obtain critical goods or services.

**F.O.B**
A commonly used acronym for “free on board.” The term is also referred to as “FOB point”. This specifies the point at which ownership of the goods transfers from seller to buyer. FOB Origin indicates the ownership transfers to the buyer at the shipping point. FOB Destination indicates the ownership remains with the seller during shipping and transfers to the buyer at the receiving point. This ownership designation becomes significant should there be any damage incurred during shipment.

**Formal Bid**
A bid, which must be submitted in a sealed envelope and in conformance with a prescribed format, is to be opened at a specific time.

**Informal Bid**
Written or verbal quotations for goods and services that are less than $25,000 in value and do not require formal bid procedures. Informal bids may include unsealed written quotes, verbal quotes, and quotes received via fax or e-mail.

**Non-Responsive Bid**
A bid that does not conform to the requirements of the Invitation for Bid.
Glossary

**Pre-Bid Conference**
A meeting scheduled prior to bidding for the purpose of providing clarification as needed and/or touring the work site.

**Prepayment**
When payment must accompany a purchase order and no invoice will be provided by the vendor.

**Protest**
A complaint about an action or decision brought by a prospective bidder or other interested party with the intention of achieving a remedial result.

**Purchase Order**
A Buyer’s written offer to a seller stating all terms and conditions of a proposed transaction.

**Responsible Bid**
A bid submitted by a supplier who has the capacity in all aspects to perform the contract requirements, and the integrity and reliability which will assure good faith performance.

**Responsive Bid**
A bid that conforms in all material respects to the terms and conditions, specifications, timeliness and any other requirements of the proposal.

**Sealed Bid**
A bid which has been submitted in a sealed envelope to prevent its contents from being revealed or known prior to the public opening.

**Sole Source**
A supplier that provides a unique or proprietary product or service for which they are the only known supplier.
CITY OF SANTA ANA
Clerk of the Council Office
20 Civic Center Plaza, Room 809
P.O. Box 1988, M-30
Santa Ana, CA 92702
PHONE: (714) 647-6520
FAX: (714) 647-6956

Request for Public Records
Your request will be processed in compliance with the Public Records Act California Government Code § 6253.
Public records are accessible at all times during regular office hours and can be inspected at no charge. The more specific you are with the information you are requesting, the more responsive we may be to your request.
Copies may be provided in most instances upon request, unless documents are archived or need to be gathered. Requestor will be notified in writing if additional time will be necessary pursuant to the Public Records Act. All document duplication fees are due and payable in full and are based on the City’s current fee resolution.

Person requesting information:
Name
First Middle Last
Address
Street City Zip Code
Phone: Fax: E-Mail

I would like to (check one)
☐ INSPECT ☐ OBTAIN A COPY OF ($0.20/page unless otherwise specified by law)
the following document(s):

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Emergency Purchase Request and Declaration

Date: ____________________

Requisition No.: __________

I, ________________________, do hereby attest that the immediate
procurement of the services, supplies, materials and/or equipment indicated is of urgent necessity per
Sec. 2-807 of the Santa Ana Municipal Code and request that standard bidding requirements be
waived. I understand that it is my responsibility to inform any contractors providing services to, for,
or on behalf of the City that, per Sec. 2-815 of the Santa Ana Municipal Code, they are required to
provide to the City, prior to commencement of any work, evidence of liability insurance in the
amounts described therein.

Vendor: _______________________

Item/Service Description: ________________________________________________________________
__________________________________________________________________________________
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________________________________________
Signature

________________________________________
Signature-Department/Division Manager
## Finance and Management Services

### Purchasing Authorization Form M-16

**Appendix C**

#### Special Instructions:

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TAX

FREIGHT/OTHER

Total

Optional Interdepartmental Approval (See Attached)

Department Fiscal Initials: _________  Date: _________
## Appendix D

![Finance and Management Services Direct Payment Voucher](image)

### Special Instructions:

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**Total**

Optional Interdepartmental Approval (See Attached)

DEPARTMENT FISCAL INITIALS  ___________  DATE  ___________

DEPARTMENT APPROVAL  ___________________________  DATE  ___________

FINANCE DIRECTOR APPROVAL  ___________________________  DATE  ___________
Appendix E

CITY OF SANTA ANA
FINANCE & MANAGEMENT SERVICES AGENCY
PURCHASING DIVISION
20 Civic Center Plaza, M-16
P.O. BOX 1968, SANTA ANA, CALIFORNIA 92702

Request for Proposal or Qualifications (RFP/RFQ) Posting Procedures

Departments issuing an RFP/Q shall submit to the Finance and Management Services Agency Purchasing Division a completed RFP/Q Posting Form prior to the posting of such documents on the City’s Purchasing website. The RFP/Q Posting Form serves as a checklist to ensure all RFP’s/Q’s contain all required and pertinent information to conduct a formal bid process.

The completed RFP/Q Posting Form along with all corresponding attachments shall be forwarded electronically to the Purchasing Division. Upon review and approval of the form and attachments, the RFP/Q will be posted within two business days.

Procedures

Posting of the RFP/Q:

- Department staff is to obtain a RFP/Q number from the Purchasing Division.
- Department staff is to reference the RFP/Q number on the RFP/Q Posting Form and on the RFP/Q title page.
- Department staff is to submit (via e-mail to the Purchasing Division) the RFP/Q Posting Form, RFP/Q document and all addendums.
- Purchasing Division staff will review the RFP/Q Posting Form and RFP/Q.
- If approved, the Purchasing Division staff will coordinate with the City’s Webmaster on the posting of the RFP/Q to the Purchasing Division website.
- The RFP/Q will be posted within two business days following the Purchasing Division approval.

After the RFP/Q closes:

- Department staff will prepare the RFP/Q abstract (i.e. results) and forward to the Purchasing Division for posting. The abstract/results must include the RFP/Q number.
- Purchasing Division staff will coordinate with the City’s Webmaster on the posting of the results.
- RFP/Q results will be posted and made available on the City’s website for 30 days.
- Upon posting of the abstract/results, the original RFP/Q will be removed from the Purchasing website.

Jan. 2014
REQUEST FOR EXCEPTION TO COMPETITIVE BIDDING PROCESS

Requests for exceptions to the competitive bidding process require detailed justification. This form must accompany your requisition whenever an exception to the competitive bidding process is requested. Such a request should not be made unless supported by factual statements that will pass an independent audit. Failure to respond fully to any of the questions could result in delay or rejection of your request due to inadequate justification.

The Buyer or F&MS Agency Administrative Services Manager will determine whether the justification is appropriate.

1. Describe the product or service you wish to procure. Use enough detail to clearly describe what you are procuring to someone not familiar with the process.

2. What are the unique performance factors of the requested product or service that cannot be met by another vendor?

I HEREBY CERTIFY THAT to the best of my knowledge, after having reviewed all pertinent information available to me at this time, the following vendor is the sole source of supply for the required product or service indicated

REQUESTOR ____________________________  DATE: __/__/__

DEPT./DIV. HEAD: ______________________  DATE: __/__/__

REQUISITION #: __________________________

CITY OF SANTA ANA
FINANCE & MANAGEMENT SERVICES AGENCY
PURCHASING DIVISION
20 CIVIC CENTER PLAZA M-16
P.O. BOX 1988 • SANTA ANA, CALIFORNIA 92702
Unauthorized Purchase Acknowledgement & Payment Request

INSTRUCTIONS: Complete all information requested below. Obtain Department Director signature. Retain copy and forward original form, invoice, and completed DPV to Purchasing, mail stop M-16. Payments will not be processed unless accompanied by this fully completed form.

Department: ___________________________ Date: ____________ DPV Number: ______________

Vendor Name: ___________________________ Total: $ ____________

Account Number: ___________________________

Description of Item/Service Provided:

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________

Reason established purchasing procedures were not adhered to:

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________

Signature: Employee placing order

Employee Printed Name Extension

Signature- Executive Director

Purchasing Division Use Only

Request # _______ for _______ quarter of fiscal year ____________ to ____________ included in administrative report to the City Manager.

Comments:

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________

Rev. 2014
ADDITIONAL INSURED ENDORSEMENT

Insurance Company ________________________________

This endorsement modifies such insurance as is afforded by the provisions of Policy # ________________ relating to the following:

1. The City of Santa Ana, 20 Civic Center Plaza, Santa Ana, California 92701; its officers, employees, agents and representatives are named as additional insureds ("additional insureds") with regard to liability and defense of suits arising from the operations and uses performed by or on behalf of the named insured.

2. With respect to claims arising out of the operations and uses performed by or on behalf of the named insured, such insurance as is afforded by this policy is primary and is not additional to or contributing with any other insurance carried by or for the benefit of the additional insureds.

3. This insurance applies separately to each insured against whom claim is made or suit is brought except with respect to the company’s limits of liability. The inclusion of any person or organization as an insured shall not affect any right which such person or organization would have as a claimant if not so included.

4. With respect the additional insureds, this insurance shall not be cancelled, or materially reduced in coverage or limits except after thirty (30) days written notice has been given to the City of Santa Ana, 20 Civic Center Plaza, Santa Ana, California 92701.

(Completion of the following, including countersignature, is required to make this endorsement effective.)

Effective ________________________, this endorsement form as part of
Policy # _______________________
Issued to ________________________
   Name Insured
   Countersigned by ________________________
Appendix I

ORDINANCE NO. NS-2770

AN ORDINANCE OF THE CITY COUNCIL OF THE CITY OF SANTA ANA, AMENDING SECTION 2-807 OF THE SANTA ANA MUNICIPAL CODE RELATING TO NON BID PURCHASES

THE CITY COUNCIL OF THE CITY OF SANTA ANA DOES ORDAIN AS FOLLOWS:

Section 1. The City Council of the City of Santa Ana hereby finds, determines and declares as follows:


B. Section 2-807 of said SAMC regulates non-bid purchases. Section 2-807(b) provides that emergency purchases may be made without the need for competitive bidding upon the declaration of a state of emergency in the City by an affirmative vote of two-thirds of the City Council members.

C. In the event of a disaster or emergency declared by the Federal government, the Federal Emergency Management Agency (FEMA) may reimburse disaster-related expenditures made in compliance with the local agency's policies and procedures.

D. It is necessary to clarify that disaster-related expenditures are authorized by the SAMC, with subsequent reporting to the City Council.

E. All provisions of the Santa Ana Municipal Code which are repeated herein are repeated solely in order to comply with the provisions of section 418 of the Charter of the City of Santa Ana. Any such restatement of existing provisions of the Code is not intended, nor shall it be interpreted, as constituting a new action or decision of the City Council, but rather such provisions are repeated for tracking purposes only in conformance with the Charter.

Section 2. The adoption of this ordinance is exempt from CEQA and a Notice of Exemption will be filed if this ordinance is adopted.

Section 3. Section 2-807 of the Santa Ana Municipal Code is hereby amended such that it reads as follows (new language in bold, deleted language in strikethrough for tracking purposes only):

Note: Follow these links to view ordinances in their entirety NS-2770 / NS-2742.
<table>
<thead>
<tr>
<th>Title of Grant</th>
<th>Funding Source</th>
<th>Amount Requested</th>
<th>Amount Awarded</th>
<th>Purpose of Grant</th>
<th>Dept.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Housing Choice Voucher Program</td>
<td>US Department of Housing and Urban Development (HUD)</td>
<td>27,946,079</td>
<td>27,946,079</td>
<td>To assist very low-income families, the elderly, and the disabled to afford decent, safe, and sanitary housing in the private market.</td>
<td>CDA</td>
</tr>
<tr>
<td>Community Development Block Grant (CDBG)</td>
<td>US Department of Housing and Urban Development (HUD) Entitlement – Part of the Consolidated Plan</td>
<td>5,560,186</td>
<td>5,560,186</td>
<td>To develop viable urban communities by providing decent housing, a suitable living environment, and expanding economic opportunities, principally for persons of low and moderate income.</td>
<td>CDA</td>
</tr>
<tr>
<td>Workforce Innovation Opportunity Act (WIOA)</td>
<td>California Employment Development Department for US Department of Labor (DOL) Entitlement – when successful in meeting annual performance goals</td>
<td>2,986,765</td>
<td>2,986,765</td>
<td>To assist low income, disabled, military veterans, youth and/or long term unemployed in obtaining employment or vocational training.</td>
<td>CDA</td>
</tr>
<tr>
<td>HOME Investment Partnerships Program (HOME)</td>
<td>US Department of Housing and Urban Development (HUD) Entitlement – Part of the Consolidated Plan</td>
<td>1,191,686</td>
<td>1,191,686</td>
<td>To expand the supply of affordable housing, particularly rental housing, for low and very low income Americans; to strengthen the abilities of State and local governments to design and implement strategies for achieving adequate supplies of decent, affordable housing; and to extend and strengthen partnerships among all levels of government and the private sector, including for-profit and nonprofit organizations, in the production and operation of affordable housing.</td>
<td>CDA</td>
</tr>
<tr>
<td>Welfare to Work Grant</td>
<td>Orange County Social Services Agency</td>
<td>800,000</td>
<td>800,000</td>
<td>To work with adults receiving public assistance to enter into vocational training or work experience to learn marketable skills that will translate to employment and self-sufficiency.</td>
<td>CDA</td>
</tr>
<tr>
<td>Housing Choice Voucher Program</td>
<td>US Department of Housing and Urban Development (HUD) 2015 HAP Set-Aside, Category 5: Maintain Leasing Grant</td>
<td>595,700</td>
<td>595,700</td>
<td>To assist very low-income families, the elderly, and the disabled to afford decent, safe, and sanitary housing in the private market.</td>
<td>CDA</td>
</tr>
<tr>
<td>Emergency Solutions Grant (ESG)</td>
<td>US Department of Housing and Urban Development (HUD) Entitlement – Part of the Consolidated Plan</td>
<td>461,626</td>
<td>461,626</td>
<td>To prevent homelessness and to enable homeless individuals and families to move toward independent living.</td>
<td>CDA</td>
</tr>
<tr>
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<tr>
<td>Bloomberg Public Art Challenge</td>
<td>Bloomberg Foundation</td>
<td>459,800</td>
<td>Not awarded</td>
<td>To support innovative temporary public art projects that enhance the vibrancy of cities.</td>
<td>CDA</td>
</tr>
<tr>
<td>Family Self-Sufficiency Program</td>
<td>US Department of Housing and Urban Development (HUD)</td>
<td>69,000</td>
<td>69,000</td>
<td>To enable families assisted through the Housing Choice Voucher (HCV) program to increase their earned income and reduce their dependency on welfare assistance and rental subsidies.</td>
<td>CDA</td>
</tr>
<tr>
<td>Community Development Block Grant (Community Preservation)</td>
<td>US Department of Housing and Urban Development (HUD)</td>
<td>$870,000</td>
<td>$870,000</td>
<td>The Community Preservation Division's purpose is to improve neighborhoods through personalized neighborhood contact, education of codes and standards, responsive and dedicated personnel, fair enforcement of laws and innovative processes. Community Preservation is responsible for enforcement of property maintenance, zoning, building codes and other Municipal Codes within the City. Within the Community Preservation Division a sub-section of Community Preservation Officers address violations occurring on CDBG eligible residential properties citywide. The primary purpose of this enforcement is to address property maintenance and life safety violations which contribute to the visual blight and general decline of an area.</td>
<td>PBA</td>
</tr>
<tr>
<td>2014 COPS Hiring Program</td>
<td>US DOJ - Office of Community Oriented Policing Services</td>
<td>1,250,000</td>
<td>1,250,000</td>
<td>Funding for 10 police officers (covers 1/3 of cost over three years).</td>
<td>PD</td>
</tr>
<tr>
<td>BJA FY 15 Smart Policing Initiative</td>
<td>US DOJ- Bureau of Justice Assistance</td>
<td>700,000</td>
<td>Pending</td>
<td>Body Worn Camera Problem-Solving Demonstration Program</td>
<td>PD</td>
</tr>
<tr>
<td>Selective Traffic Enforcement Program</td>
<td>OTS</td>
<td>343,480</td>
<td>343,480</td>
<td>Selective enforcement efforts to enhance traffic safety</td>
<td>PD</td>
</tr>
<tr>
<td>Community Development Block Grant (PAAL)</td>
<td>HUD</td>
<td>301,941</td>
<td>202,257</td>
<td>Funding of PAAL Center operations</td>
<td>PD</td>
</tr>
<tr>
<td>Body-Worn Camera Pilot Implementation Program</td>
<td>US DOJ</td>
<td>297,460</td>
<td>Pending</td>
<td>Implementation of Body Worn Cameras</td>
<td>PD</td>
</tr>
<tr>
<td>ABC Grant</td>
<td>State Department of Alcoholic Beverage Control</td>
<td>99,500</td>
<td>99,500</td>
<td>Funding to reduce alcohol related crime in the City</td>
<td>PD</td>
</tr>
<tr>
<td>2014 Justice Assistance Grant (JAG)</td>
<td>US DOJ through County</td>
<td>92,001</td>
<td>92,001</td>
<td>Gang enforcement OT, educational opportunities, community policing, safety equipment</td>
<td>PD</td>
</tr>
<tr>
<td>Community Development Block Grant (HEART)</td>
<td>HUD</td>
<td>75,000</td>
<td>0</td>
<td>Funding of HEART program operations</td>
<td>PD</td>
</tr>
<tr>
<td>Emergency Solutions Grants Program (HEART)</td>
<td>HUD</td>
<td>75,000</td>
<td>54,000</td>
<td>Funding of HEART program operations</td>
<td>PD</td>
</tr>
<tr>
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<tr>
<td>Emergency Management Performance Grant</td>
<td>CA Gov. Office of Emergency Services</td>
<td>52,434</td>
<td>51,017</td>
<td>Funds for up to 50% of Emergency Services Coordinator’s salary and benefits</td>
<td>PD</td>
</tr>
<tr>
<td>Homeland Security Grant Program</td>
<td>State Office of Emergency Services through the County</td>
<td>5,400</td>
<td>5,400</td>
<td>Provides emergency preparedness printed materials up to $5,400</td>
<td>PD</td>
</tr>
<tr>
<td>Library Grant - CDBG FY 2015-2016</td>
<td>Federal Community Development Block Grant</td>
<td>$349,040</td>
<td>$195,500</td>
<td>This program provides free bilingual tutoring services in all school subjects to Santa Ana students in grades K-12 at the Main Library, Newhope Library, Jerome Center and Garfield Center.</td>
<td>PRCSA</td>
</tr>
<tr>
<td>Administration Grant - State of California Housing-Related Parks Program</td>
<td>State of California Department of Housing &amp; Community Development</td>
<td>$1,030,800.00</td>
<td>$1,030,800</td>
<td>Construction of a new park located at Memory Lane &amp; the Santa Ana River. This site is approximately a half acre of undeveloped, vacant land located next to the Santa Ana River. Improvements will include a rest area with drinking fountains, bike racks, equestrian hitching station, playground equipment and shelter, exercise area, drought tolerant landscaping and river rock bio-swale, security lighting, hard surface and decomposed granite walkway and other site amenities.</td>
<td>PRCSA</td>
</tr>
<tr>
<td>Administration Grant - State of California Prop 84 - The Safe Drinking Water, Water Quality and Supply, Flood Control, River and Coastal Protection Bond Act of 2006</td>
<td>State of California - Proposition 84</td>
<td>$595,600.00</td>
<td>$539,388.00</td>
<td>Center Street Urban Greening Project. The project will remove approximately 500 linear feet of paved street and convert the grounds to greenspace. The project will involve re-grading, contouring, installing a drip irrigation system, constructing a bio-swale, incorporating a permeable walkway, planting native drought tolerant plants, include ADA improvements and interpretive signage.</td>
<td>PRCSA</td>
</tr>
<tr>
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<tr>
<td>Library Grant - Memories of Migration</td>
<td>The Institute of Museum and Library Services (IMLS)</td>
<td>$495,440</td>
<td>$495,440 (Award Number: LG-07-14-0067-14)</td>
<td><strong>The Memories of Migration</strong> project is a three-year, library-based community memory program that builds community connections and cultural heritage collections around the shared stories of human migration in America. With Model Programs run in four locations throughout the US (Santa Ana, New Mexico, Queens NY, West Hartford, Conn), the unique digital program with offline curriculum and training focuses on libraries serving new immigrant communities. The program will offer public libraries meaningful programs and enrichment activities that provide new immigrant communities a participatory voice in library collections and events; increase digital literacy and provide learning in Science, Technology, Engineering and Math (STEM) to new immigrant teens and young adults through digital training in new media and digitization technologies; and establish libraries as anchors of intergenerational and intercultural dialogue on both a local and national level. This Grant will be lead by the Santa Ana Public Library and Webby –award winning non-profit Shift Design aka Historypin.</td>
<td></td>
</tr>
<tr>
<td>Library Grant - Seeds to Trees Digital Media and Technology Academy</td>
<td>Youth Workforce Innovation and Opportunity Act (WIOA) (Santa Ana WIB/ Youth Council)</td>
<td>$160,000</td>
<td>$160,000</td>
<td>Program will provide 22 youth (ages 14-24) paid internships that will train and provide certifications in digital media technology, develop valuable workforce skills/ experience, develop life skills and provide post-secondary education courses.</td>
<td></td>
</tr>
<tr>
<td>Santa Ana Zoo Grant - Union Bank Foundation Grant</td>
<td>Union Bank</td>
<td>$10,000</td>
<td>Pending</td>
<td><strong>Pygmy Marmoset Interpretive Shade Cover:</strong> Design, fabricate, install a shade cover for the exhibit viewing area of the Pygmy Marmoset Exhibit. The structure would include interpretive graphics and interactive elements to teach guests about the Marmosets and Camouflage.</td>
<td></td>
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</tbody>
</table>

Dept.

PRCSA
<table>
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<tr>
<td>Library Grant - STeP (Skills for Teen Parents) Project</td>
<td>California State Library LSTA Grant</td>
<td>$5,000</td>
<td>$5,000</td>
<td>This project seeks to bridge the gap and provide much needed support for pregnant and parenting teens, by piloting a library services model targeted to this population in selected California public libraries. These libraries will work with community partners to recruit participants and implement a series of informational and instructional workshops, aimed at providing pregnant and parenting teens with the necessary knowledge, skills and tools to succeed as adults and parents. Selected libraries will receive the necessary information, training, tools and funding to successfully plan and implement this project locally. The goal is to connect these teens with the services and resources they need to: 1) identify personal strengths and goals for the future; 2) continue their education, find employment, and manage their finances; 3) take care of their health and well-being and that of their children; and 4) develop skills to parent and build healthy family relationships.</td>
<td>PRCSA</td>
</tr>
<tr>
<td>Santa Ana Zoo Grant - The Possible Dream Festival of Children Foundation</td>
<td>The Possible Dream Festival of Children Foundation</td>
<td>$5,000</td>
<td>$0 (Confirm with FOSAZ)</td>
<td>Imagine... A Zoo Safari! Secure funding for Zoo Education Program Scholarships to area Title 1 schools.</td>
<td>PRCSA</td>
</tr>
<tr>
<td>Santa Ana Zoo Grant - Association of Zoos and Aquariums &amp; Disney Conservation Fund</td>
<td>Association of Zoos and Aquariums &amp; Disney Conservation Fund</td>
<td>$5,000</td>
<td>Awards to be announced July 31, 2015</td>
<td>To establish a new program for young guests and their families including a “Let’s Play!” Guide, interpretive and interactive elements at 3 zoo exhibits, family workshops centered around nature play and community partnerships. Ultimate goal to teach and encourage families to spend more time in the outdoors playing beginning with what they learn at the zoo.</td>
<td>PRCSA</td>
</tr>
<tr>
<td>Traffic Engineering - SOMOS on North Main Street</td>
<td>Active Transportation Safety Encouragement Campaign</td>
<td>No Direct Funds</td>
<td>Pending</td>
<td>A separate SOMOS event on North Main in May 2016 would not replace existing SOMOS events currently being planned. Grant provides direct assistance for putting on the event including an event planning team.</td>
<td>PW</td>
</tr>
<tr>
<td>Administrative Services - 14/15 City/County Payment Program</td>
<td>CalRecycle</td>
<td>Allocated on a per capita basis</td>
<td>Approximately $85,000</td>
<td>Support beverage container recycling and anti-litter programs, and public education.</td>
<td>PW</td>
</tr>
<tr>
<td>Administrative Service - 15/16 Oil Payment Program</td>
<td>CalRecycle</td>
<td>Allocated on a per capita basis</td>
<td>Approximately $90,000</td>
<td>Support used motor oil recycling, certified collection centers, and public education</td>
<td>PW</td>
</tr>
<tr>
<td>Design Engineering - Bristol Street Phase IV from Warner to Saint Andrew</td>
<td>Measure M2: Comprehensive Transportation Funding Program (CTFP)</td>
<td>$5,629,844.00</td>
<td>$5,629,844.00</td>
<td>Bristol Street Improvements and Widening for Construction phase to be used in FY 16/17</td>
<td>PW</td>
</tr>
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<tr>
<td>Traffic Engineering - First Street Pedestrian Improvement Project</td>
<td>Active Transportation Program</td>
<td>$5,475,000</td>
<td>Pending</td>
<td>Identified in Downtown Complete Streets Plan. Widen sidewalks and install pedestrian crossing treatments along First Street.</td>
<td>PW</td>
</tr>
<tr>
<td>Traffic Engineering - Santa Ana and Fifth Protected Bike Lane Project</td>
<td>Active Transportation Program</td>
<td>$5,424,000</td>
<td>Pending</td>
<td>Identified in Downtown Complete Streets Study to install separated/protected bicycle facility on Fifth and Santa Ana</td>
<td>PW</td>
</tr>
<tr>
<td>Traffic Engineering - Civic Center Drive Bike Boulevard Project</td>
<td>Active Transportation Program</td>
<td>$3,729,000</td>
<td>Pending</td>
<td>Identified in Downtown Complete Streets Study. Install bike boulevard along Civic Center between Broadway and Santiago.</td>
<td>PW</td>
</tr>
<tr>
<td>Traffic Engineering - Ross Street Protected Bike Lane Project</td>
<td>Active Transportation Program</td>
<td>$3,204,000</td>
<td>Pending</td>
<td>Identified in Downtown Complete Streets Study to install separated/protected bicycle facility on Ross Street</td>
<td>PW</td>
</tr>
<tr>
<td>Design Engineering - Bristol Street Phase IIIA from Civic Center to Washington</td>
<td>Measure M2: Comprehensive Transportation Funding Program (CTFP), Measure M2</td>
<td>$2,485,597.00</td>
<td>$2,485,597.00</td>
<td>Bristol Street Improvements and Widening for Construction phase to be used in FY 16/17</td>
<td>PW</td>
</tr>
<tr>
<td>Traffic Engineering - Edinger Protected Bike Lanes Project</td>
<td>Active Transportation Program</td>
<td>$2,366,000</td>
<td>Pending</td>
<td>Install protected bike lanes along Edinger between Santa Ana River and Bristol, conduct student education/outreach</td>
<td>PW</td>
</tr>
<tr>
<td>Design Engineering - Residential Street Repair</td>
<td>Community Development Block Grant (CDBG)</td>
<td>2,121,296</td>
<td>2,121,296</td>
<td>Washington Square neighborhoods concrete rehabilitation and improvements</td>
<td>PW</td>
</tr>
<tr>
<td>Design Engineering - Fairview Street Bridge over Santa Ana River</td>
<td>Local Highway Bridge Replacement and Rehabilitation Program (HBRRP)</td>
<td>1,500,000</td>
<td>Pending</td>
<td>Additional Federal fund to widen Fairview Street bridge for Design phase</td>
<td>PW</td>
</tr>
<tr>
<td>Traffic Engineering - Citywide Bicycle Parking</td>
<td>Active Transportation Program</td>
<td>$1,400,000</td>
<td>Pending</td>
<td>Install bicycle racks citywide and construct a bicycle parking facility and workspace at the Depot</td>
<td>PW</td>
</tr>
<tr>
<td>Traffic Engineering - Lincoln Pedestrian Trail</td>
<td>Active Transportation Program</td>
<td>$1,329,000</td>
<td>Pending</td>
<td>Pathway from Lincoln Avenue on the west side of the railroad tracks to Fairhaven Avenue on the east side</td>
<td>PW</td>
</tr>
<tr>
<td>Traffic Engineering - Westminster Ave/17th Traffic Signal Synchronization Project</td>
<td>Comprehensive Transportation Funding Program, Measure M2</td>
<td>$1,121,408</td>
<td>$1,121,408</td>
<td>Traffic signal synchronization and traffic signal improvements</td>
<td>PW</td>
</tr>
<tr>
<td>Traffic Engineering - Main St Traffic Signal Synchronization Project</td>
<td>Comprehensive Transportation Funding Program, Measure M2</td>
<td>$1,007,976</td>
<td>Not Awarded</td>
<td>Traffic signal synchronization and traffic signal improvements</td>
<td>PW</td>
</tr>
<tr>
<td>Traffic Engineering - Citywide Safe Routes to School Plan</td>
<td>Active Transportation Program</td>
<td>$615,000</td>
<td>Pending</td>
<td>Update all suggested routes to school maps and develop web page for hosting the maps.</td>
<td>PW</td>
</tr>
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<tr>
<td>Traffic Engineering - Safe Routes to School Enhancements for Muir Elementary</td>
<td>Active Transportation Program</td>
<td>$551,000</td>
<td>Pending</td>
<td>Design and construction of new traffic signals, bulb-outs, curb, gutter, sidewalk and curb ramps for intersections along the safe routes to school for Muir Elementary.</td>
<td>PW</td>
</tr>
<tr>
<td>Design Engineering - Warner Avenue Pavement Maintenance (West City Limit to Grand Ave)</td>
<td>Arterial Pavement Management Program</td>
<td>500,000</td>
<td>$500,000</td>
<td>Street preventative maintenance as part of the City's Pavement Management Program</td>
<td>PW</td>
</tr>
<tr>
<td>Design Engineering - Fairview Street Pavement Maintenance (Segerstrom Ave to North City Limit)</td>
<td>Arterial Pavement Management Program</td>
<td>500,000</td>
<td>Not Awarded</td>
<td>Street preventative maintenance as part of the City's Pavement Management Program</td>
<td>PW</td>
</tr>
<tr>
<td>Design Engineering - First Street Pavement Maintenance (Harbor Blvd to Grand Ave)</td>
<td>Arterial Pavement Management Program</td>
<td>500,000</td>
<td>$500,000.00</td>
<td>Street preventative maintenance as part of the City's Pavement Management Program</td>
<td>PW</td>
</tr>
<tr>
<td>Traffic Engineering - Active Transportation Feasibility and Implementation Plan</td>
<td>Sustainable Transportation Planning Grant</td>
<td>$500,000</td>
<td>Not Awarded</td>
<td>Plan would analyze the cost and feasibility of top priority projects in the current draft Active Transportation Plan</td>
<td>PW</td>
</tr>
<tr>
<td>Traffic Engineering - Pedestrian and Bicyclist Educational Campaign</td>
<td>Active Transportation Program</td>
<td>$474,000</td>
<td>Pending</td>
<td>Develop/continue educational program to promote pedestrian and bike safety.</td>
<td>PW</td>
</tr>
<tr>
<td>Traffic Engineering - Enhanced Pedestrian Crossing Improvement on Santa Ana Boulevard</td>
<td>Affordable Housing Sustainable Communities Grant</td>
<td>$400,000</td>
<td>$400,000</td>
<td>Install Retangular Rapid Flashing Beacons, Curb Extensions, Crosswalks, and Street Lighting at Santa Ana/Garfield &amp; Santa Ana/Lacy (This was a joint application with C&amp;C Development for the Depot Affordable Housing Project</td>
<td>PW</td>
</tr>
<tr>
<td>Traffic Engineering - Safe Routes to School Enhancements for Sepulveda Elementary</td>
<td>Active Transportation Program</td>
<td>$310,000</td>
<td>Pending</td>
<td>Bulb outs at two crossings and add/upgrades wheel chair ramps along routes to school.</td>
<td>PW</td>
</tr>
<tr>
<td>Traffic Engineering - Pedestrian and Bicyclist Count Program</td>
<td>Active Transportation Program</td>
<td>$225,000</td>
<td>Pending</td>
<td>Develop a program for pedestrian and bicycle counts. Take citywide baseline counts.</td>
<td>PW</td>
</tr>
<tr>
<td>Design Engineering - Fairview Street widening from 9th to 16th</td>
<td>Measure M2: Comprehensive Transportation Funding Program (CTFP)</td>
<td>185,100</td>
<td>185,100</td>
<td>Match funding for bridge and roadway widening for Design phase</td>
<td>PW</td>
</tr>
<tr>
<td>Title of Grant</td>
<td>Funding Source</td>
<td>Amount Requested</td>
<td>Amount Awarded</td>
<td>Purpose of Grant</td>
<td>Dept.</td>
</tr>
<tr>
<td>----------------------------------------------</td>
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</tr>
<tr>
<td>Traffic Engineering - Bear St Traffic Signal Synchronization Project</td>
<td>Comprehensive Transportation Funding Program, Measure M2</td>
<td>$124,860</td>
<td>Not Awarded</td>
<td>Traffic signal synchronization and traffic signal improvements</td>
<td>PW</td>
</tr>
<tr>
<td>Traffic Engineering - Complete Streets/SRTS Plan along Pacific Avenue</td>
<td>Active Transportation Program</td>
<td>$110,000</td>
<td>Pending</td>
<td>Multi-day community design charrette process to develop plans for complete streets for Pacific Avenue.</td>
<td>PW</td>
</tr>
<tr>
<td>Traffic Engineering - Bicycle Safety Education and Outreach Program</td>
<td>Office of Traffic Safety</td>
<td>$100,000</td>
<td>$100,000</td>
<td>Adult bicycle safety education and night-time helmet and bike light distribution</td>
<td>PW</td>
</tr>
</tbody>
</table>