RESPONSE TO REQUEST FOR PROPOSAL

COPY

City of Garden Grove

Consultant Services for the Acquisition of an Enterprise Resource Planning Software System

RFP No. S-1198

SCHAFER CONSULTING

SUBMITTED BY:
NANCY SCHAFER
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COVER LETTER & STATEMENT OF QUALIFICATIONS

Cover Letter & Statement of Qualifications

Dear Ms. Segawa:

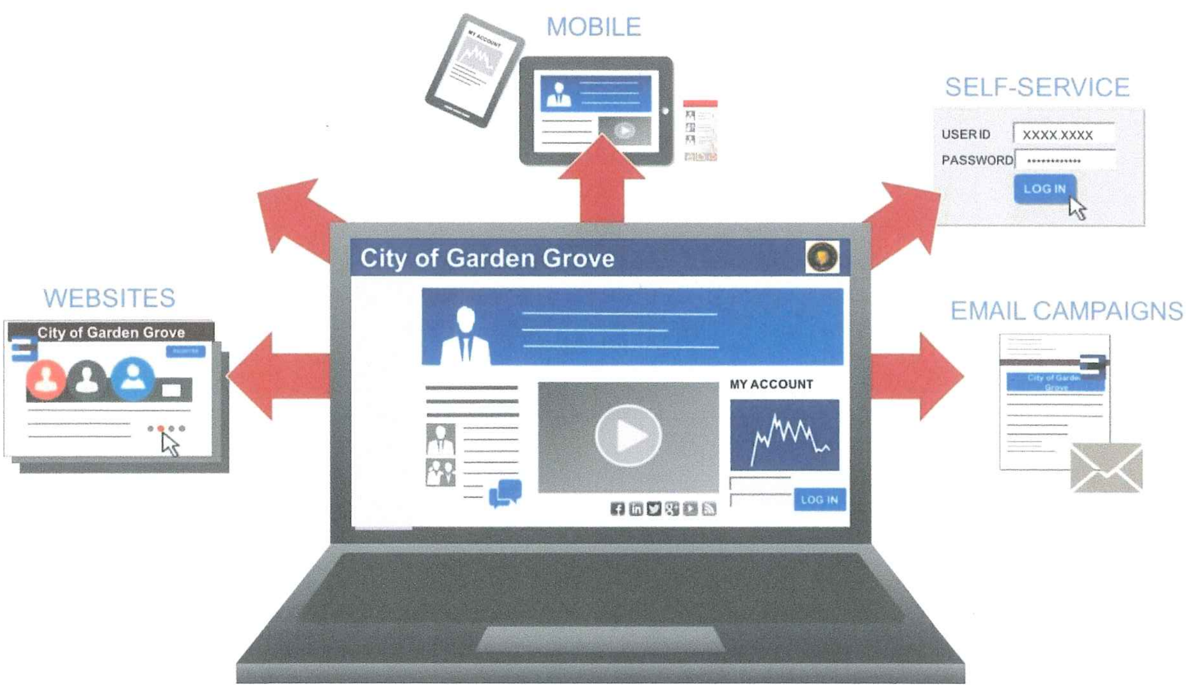
Schafer Consulting, an Orange County-based, Asian Woman-owned company, is pleased to offer a winning proposal in response to the City of Garden Grove (the City's) Request for Proposal (RFP) for consultant services in the acquisition of a new Enterprise Resource Planning (ERP) software solution. We understand the City desires to pursue a collaborative approach with an independent advisor and we are prepared to share our unique experiences and lessons learned when working in partnership with the City.

The initiative to modernize the City's current in-house developed Raining Data D3 database and the Ruby on Rails PostgreSQL database in order to meet the evolving needs of City operations can be a difficult undertaking. Engaging an experienced partner to support the City can also be equally challenging. We believe we are uniquely qualified to assist the City on this very important project. As one of the leading IT consulting firms, we have extensive experience in serving the public sector. Our proposed project team brings to this engagement extensive knowledge and experience gained in working with government clients in conducting ERP needs assessment, software selection and implementation of ERP solutions. We offer the following qualifications:

- ✓ *Demonstrated record of objectivity advisory experience for public sector modernization projects* – Within our ERP practice, we have chosen to focus on a core set of technology services that enable us to provide objective advice to clients as a credible advisor. To deliver these services, we have invested significantly to build an established proprietary methodology based on leading industry standards as well as a talented pool of professionals.
- ✓ *Industry thought leader on advising local government clients with ERP system processes* – The City's ERP acquisition project will have a broad business and operational impact. The City will need an advisor with experience in the areas of core financial, payroll, purchasing, human resources, capital projects, warehouse (inventory), grant management and technology; using technology to increase efficiency; and demonstrating project management leadership. We can provide substantial experience for each project discipline and relevant technology.
- ✓ *Focus on Government* – Unlike some of the national consulting and IT firms with many different vertical markets and services, the primary focus of our business is providing management and technology consulting services to local government agencies, including counties, cities and water districts. Furthermore, we understand the political

environment in which cities must operate; therefore, we are sensitive to public scrutiny and are experienced at making presentations to elected officials.

- ✓ *Local Presence* – Our corporate offices are located right here in Orange County. In fact, our proposed consultants are based out of Costa Mesa, Aliso Viejo, Irvine and Dana Point. As such, the close proximity will reduce project costs, allow us to react promptly to the needs of the City and accommodate last minute schedule adjustments.
- ✓ *Continuing Education* – Schafer Consulting is committed to remain current with the latest technology in nearly all government applications and trends. Our staff regularly attends classes, Webinars, and conferences to ensure that we stay current with the latest functionality, obtain a better understanding of each solution's differentiators, the solution provider's long-term strategies for each product as well as their implementation approach.
- ✓ *Digital Engagement with Customers and Constituents* – As we witness the growth of social media, mobile, analytics and cloud computing, we believe it will change the way you deliver services to your constituents. This means that you will have to improve the way you engage with the public (i.e.: citizens, constituents, parents, customers, vendors, local businesses, law enforcement, job applicants, donors, alumni, volunteers, etc.) and also with your employees. The new empowered public desires digital communication in order to stay connected, to share and to be aware. We believe we are ahead of our competitors in exploring this new frontier and we are ready to assist you.



- ✓ *Certified Change Management* – Our Prosci-certified Change Management professionals will draw on years of experience in business transformation projects and utilize organizational change management best practices and tools to help guide our clients to success.
- ✓ *Agile Approach and Solutions* – Our size allows us to provide a very agile and tailored solution to our clients as we do not have layers of overhead and bureaucracy which are often the cause of rigid and "cookie cutter" methodologies.
- ✓ *Extensive Toolkits* - We have developed many tools and templates to facilitate the process of uncovering the needs and functional requirements of each ERP module. We can leverage these pre-existing toolkits, along with our proven methodology in order to assist the City with its ERP project.
- ✓ *Tested methodologies based upon industry leading practices* – Our ERP advisory methodology; derived from the value delivery framework, is supported by robust and nimble toolsets that are continuously being refined through our experience gathered from other similar organizations and on industry standards.
- ✓ *Past Employees of Public Sector Organizations* – A number of our key project professionals are former members / employees of local government organizations, including the City of Orange, Orange County Transportation Authority, the City of Long Beach and the Alameda Corridor Transportation Authority, and have first-hand experience of California government operations.
- ✓ *Experienced Project Team* – We offer seasoned consultants who:
  - Have proven experience at defining functional requirements, identifying integration and interfaces, and developing an application migration plan to transition from the legacy system and other stand-alone "shadow" systems.
  - Possess specific expertise regarding aligning software solutions with various local government operations.
  - Are certified in various project management disciplines
  - Are members of national and local organizations dedicated to improve government and technology operations, including Government Finance Officers Association (GFOA), California Municipal Finance Officers Association, League of Cities, ACWA (Association of California Water Agencies), AWWA (American Water Works Association), SHRM (Society of Human Resources), Prosci for Change Management, etc.
- ✓ *Contract Negotiations Experience* – Our consultants have successfully assisted clients negotiate very complex contracts with many software providers/system integrators that

our clients will likely be considering. Through our negotiations expertise, we have been able to protect the interest of our clients and save them significant expenses.

- ✓ *IT Planning Experience* – We have significant experience in developing information technology strategic plans for our public sector clients, which allows us to gain further insight into the uses of technology for our future clients.

We would very much appreciate the opportunity to present our team to the City in person and to clarify any aspects of our proposal and/or refine our scope and approach to meet the City's needs. We believe that based on the experience and quality of our proposed team, we are well qualified to provide objective and comprehensive ERP consulting services to the City. We would also strongly encourage the selection committee to contact our current and past clients. If you have any questions concerning this proposal or need to contact any of the project team members, feel free to contact me as I am authorized to enter binding contracts on the firm's behalf.

Thank you for the opportunity to provide our perspective to the City regarding this important initiative.

Sincerely,

Nancy Schafer
President
Schafer Consulting Inc.
24681 La Plaza, Suite 240, Dana Point, CA 92629
(949) 388-4577
nschafer@schaferconsult.com

COMPANY PROFILE

Company Profile

Company Contact Information

Company Information	
Legal Name:	Schafer Consulting, Inc.
Address:	24681 La Plaza, Suite 240 Dana Point, CA 92612
Phone Number:	(949) 388-4577
Federal ID Number:	40-0000177
No. of Yrs in Business	17 years
E-mail:	snewman@schaferconsult.com

List of California Cities and Related Experience

California Cities	
City of Fullerton	▪ General Ledger ▪ Accounts Payable ▪ Purchasing ▪ Grant Management ▪ Projects ▪ Capital Projects ▪ AR/Billing ▪ Utility Billing ▪ Budget ▪ Contract Management ▪ Inventory ▪ Fixed Assets ▪ Human Resources (Personnel, Benefits, Leave, Position Control, Applicant Tracking, Onboarding, Training, etc.) ▪ Payroll ▪ Timekeeping
City of Carlsbad	▪ Human Resources (Personnel, Benefits, Leave, Position Control, Applicant Tracking, Onboarding, Training, etc.) ▪ Payroll ▪ Timekeeping
City of Santa Rosa	▪ General Ledger ▪ Accounts Payable ▪ Purchasing ▪ Grant Management ▪ Projects ▪ Capital Projects

	▪ AR/Billing ▪ Utility Billing ▪ Budget ▪ Contract Management ▪ Inventory ▪ Fixed Assets ▪ Human Resources (Personnel, Benefits, Leave, Position Control, Applicant Tracking, Onboarding, Training, etc.) ▪ Payroll ▪ Timekeeping
City of Irvine	▪ General Ledger ▪ Accounts Payable ▪ Purchasing ▪ Projects ▪ AR/Billing ▪ Budget ▪ Contract Management ▪ Inventory ▪ Fixed Assets ▪ Human Resources (Personnel, Benefits, Leave, Position Control, Applicant Tracking, Onboarding, Training, etc.) ▪ Payroll
City of Los Angeles	▪ General Ledger ▪ Accounts Payable ▪ Purchasing ▪ Projects ▪ AR/Billing ▪ Budget ▪ Contract Management
City of Costa Mesa, -	▪ General Ledger ▪ Accounts Payable ▪ Inventory ▪ Purchasing ▪ Projects ▪ AR ▪ Budget ▪ Human Resources ▪ Payroll ▪ Reporting ▪ Timekeeping
City of Santa Barbara	▪ General Ledger ▪ Accounts Payable ▪ Accounts Receivable ▪ Inventory ▪ Purchasing ▪ Project ▪ Budget

	▪ Human Resources ▪ Payroll ▪ Timekeeping
City of Lakewood	▪ General Ledger ▪ Accounts Payable ▪ Accounts Receivable ▪ Inventory ▪ Purchasing ▪ Project ▪ Budget ▪ Human Resources ▪ Payroll ▪ Timekeeping ▪ Utility Billing ▪ Business License
City of Orange	▪ General Ledger ▪ Accounts Payable ▪ Accounts Receivable ▪ Inventory ▪ Purchasing ▪ Project ▪ Budget ▪ Human Resources ▪ Payroll ▪ Timekeeping ▪ Utility Billing ▪ Business License
City of Murrieta Budget, HR, Payroll, Reporting , Timekeeping	▪ General Ledger ▪ Accounts Payable ▪ Accounts Receivable ▪ Inventory ▪ Purchasing ▪ Project ▪ Budget ▪ Human Resources ▪ Payroll ▪ Timekeeping ▪ Work Order
City of Anaheim	▪ General Ledger ▪ Accounts Payable ▪ Accounts Receivable ▪ Inventory ▪ Purchasing ▪ Project ▪ Budget ▪ Human Resources ▪ Payroll

	▪ Timekeeping ▪ Reporting
City of Pasadena	▪ General Ledger ▪ Accounts Payable ▪ Accounts Receivable ▪ Inventory ▪ Purchasing ▪ Project ▪ Budget ▪ Human Resources ▪ Payroll ▪ Timekeeping ▪ Reporting

Our proposed consultants have experience in the following areas:

- Nancy Schafer – all areas
- Megan Delaney – all areas
- Iris McGee – all financial management, purchasing and contract management
- Andrew Schafer – all financial management, purchasing, utility billing, work order and business licenses
- Matt Calabretta – all human resources, payroll and timekeeping
- Bob Lewis – contract negotiations

Individual Experience

Name	Years of Experience	Proposed Role on Project	Based out of	Tasks Proposed Consultant will be working on
Nancy Schafer	+25	Engagement Manager	Dana Point, CA	Ms. Schafer will be the project sponsor on behalf of Schafer Consulting. She will be responsible for deploying resources for the project, ensure all deliverables are submitted to the satisfaction of the project, remove project obstacles, monitor project budget, resolve problems that have been escalated to the sponsor level, and oversee all contractual and administrative tasks associated with the project. Periodically, Ms. Schafer will meet with the City's Project Sponsors to ensure project success. Ms. Schafer will also assist with contract negotiations.
Megan Delaney	+25	Project Manager	Costa Mesa, CA	Ms. Delaney will be the Project Manager, overseeing the day to day activities and managing the project workplan. She will ensure all project tasks are completed on schedule, within budget and meet appropriate quality standards. She will be responsible for risks and issues management and provide regular project communications to the City. In addition to being the Project Manager, Ms. Delaney may also contribute to other project tasks due to her vast knowledge of public sector and all relate functional areas.

Name	Years of Experience	Proposed Role on Project	Based out of	Tasks Proposed Consultant will be working on
				Specifically, Ms. Delaney will perform tasks #1, #2, and #6. She will also assist in all other areas.
Iris McGee	+20	Lead Consultant – Financial Management	Aliso Viejo, CA	Ms. McGee will be performing tasks #3, #4, #5, #6, #8, #10, #11 and #12.
Andrew Schafer	+6	Consultant – Financial Management	Irvine, CA	Andrew will be performing tasks #3, #4, #5, #6, #8, #10, #11 and #12.
Matt Calabretta	+13	Lead Consultant – Human Resources/Payroll	Novi, MI	Matt will be performing tasks #3, #4, #5, #6, #8, #10, #11 and #12.
Bob Lewis	+25	Contract Negotiator and Lead Consultant – Court Systems	Selene, MI	Mr. Lewis will assist the City with contracts negotiations by reviewing contract templates, statement of work, project timeline, the City's procurement policy, etc.
Renee Young	+25	Change Management Consultant	Chino Hills, CA	Ms. Young will be performing Tasks #7 and part of Task #12 as it relates to Change Management

Application Experience

Our extensive experience spans over these applications:

The top three ERP systems that Schafer Consulting has the most experience with are:

- Tyler Munis/New World Systems (now one company)
- SunGard OneSolution
- Lawson (now part of Infor)

Company Background

Schafer Consulting is a minority, woman-owned firm founded in 1999 to provide Management, Information Technology and Business Transformation services exclusively to the public sector. Ms. Nancy Schafer leads this firm of highly experienced financial, human resources and IT consultants dedicated to the assessment, evaluation, selection, project management and implementation of Enterprise Resources Planning systems.

We are a privately held corporation that has been in business for over seventeen years providing services that are similar to those described by the City. Prior to that, our senior managers worked as former finance officers at several city and county agencies. Our corporate office is located in Dana Point where our consultants work on a variety of business consulting, IT and software selection and implementation projects. We also have satellite offices in Michigan, Pennsylvania, Florida and Los Angeles.

Schafer Consulting is pleased to provide the highest quality services to our clients. We utilize a proven methodology which has allowed us to complete all of our projects on-time and within budget. We employ a family of staff who not only possess the highest qualifications, but who have worked together on many prior projects, which allows them to operate like a "well-oiled" team on each project. Some of the factors that set us apart include:

- We never use a cookie-cutter approach. We are *adept at modifying our approach* based on the specific needs of each client. We step in to help at whatever level of effort is necessary to get the job done right.
- We are *personally invested in our clients*. We don't simply allocate a certain percent of our time to each project; we fully invest ourselves in each and every project. Our references are a reflection our true commitment to the success of every project we take on.
- We are available to you because *we become a part of your team*. We don't offer an office phone number that leads to voicemail. We provide our personal cell phone numbers and we make ourselves available to you 24/7.

Consulting Services

We support the following services:

Consulting Services	
▪ Project Management	▪ Change Management
▪ Quality Assurance	▪ Citizen Digital Engagement
▪ IT Risk Assessment	▪ eForms Development
▪ Business process re-engineering	▪ Data Interface
▪ Development of Digital/social media strategic plan	▪ Data Mapping & Conversion
▪ Software Needs Assessment Studies	▪ Development of Chart of Accounts
▪ Requirements definition	▪ Process & Parallel Testing
▪ Development of RFP's	▪ Core and End-User Training
▪ Review & Selection of Vendor Proposals	▪ Preparation of Training & User Manuals
▪ Contract Negotiation	▪ Post-Implementation Support
	▪ Quality Assurance

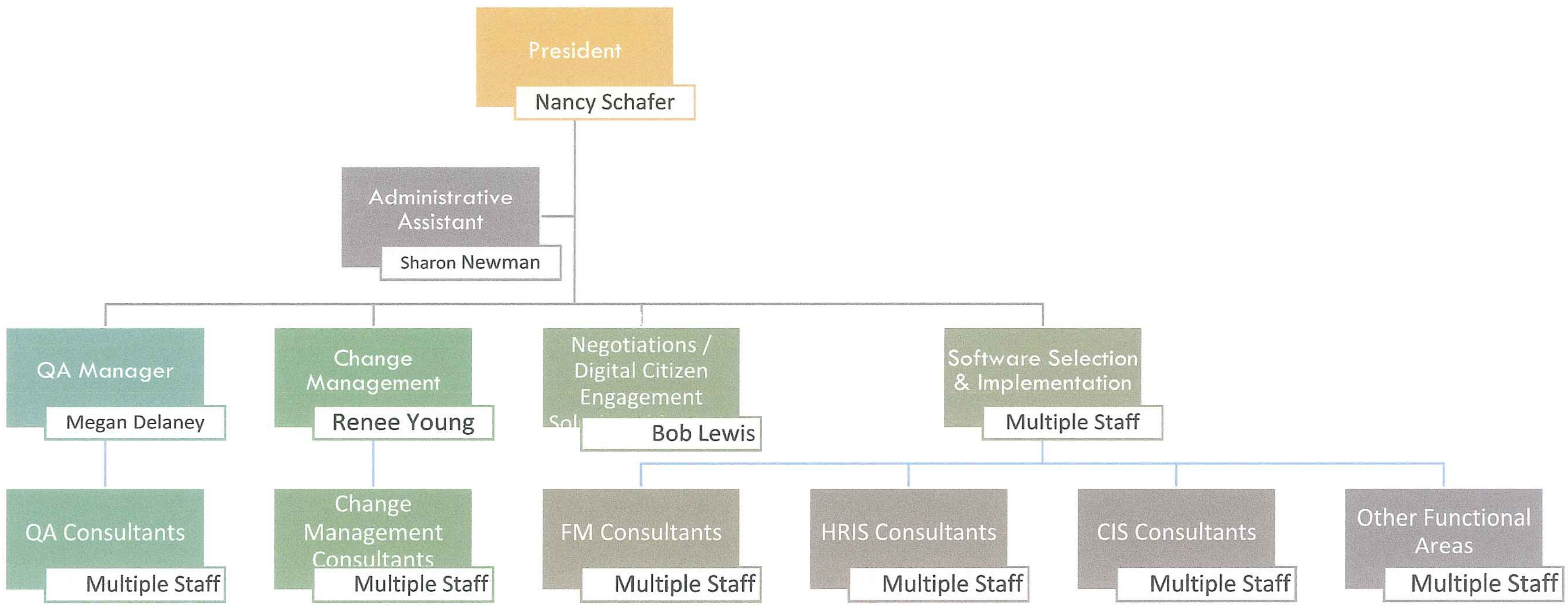
Departmental/Functional Experience

On a regular basis, we work with these functional areas and City/County departments.

Functional Areas/Departments	
▪ City Council/County Board	▪ Public Works
▪ Administration	▪ Parks & Recreation
▪ Building & Safety	▪ Fleet
▪ City Clerk	▪ Engineering
▪ City Attorney's Office	▪ Planning & Inspection
▪ Finance	▪ Code Enforcement
▪ Fire	▪ Economic Development
▪ Sheriff's Office	▪ Communications/Public Outreach
▪ Police	▪ Technology
▪ Utilities (Water, Electric, Gas)	▪ Bureau of Sanitation
▪ Courts (Superior, Magistrate, State, Juvenile, Probate)	▪ Field Operations ▪ Facilities Maintenance
▪ District Attorney	▪ Central Warehouse
▪ Public Defender	▪ Housing & Community Development
▪ Solicitor General	▪ Budget Office
▪ Library	▪ Tax Assessor's Office
▪ Customer Service/Call Center	▪ Emergency Management
▪ Human Resources	▪ Purchasing
▪ Payroll	▪ Airport
▪ Convention & Tourism	▪ Ports/Harbor Department
▪ Transportation	▪ Street Lighting

Company Organizational Chart

Below, we diagram our firm's organizational chart.



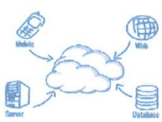
Why Schafer Consulting

What sets us apart from our competitors is summarized below:

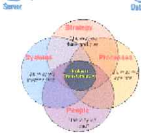
- Local Government & Water Utilities Experience
- We have over 16 years of experience in providing IT and business transformation services to the public sector
- Digital Citizen Engagement Experience

- Highly Qualified & Experienced Professionals

- Knowledge of all Tier 1 and Tier 2 solutions in the Market Place



- Expertise in Cloud Technology



- Demonstrated success in business transformation
- We are independent from all providers of ERP/CIS/CRM/HRM/CJIS systems

- We lead clients through the complete transition to a new solution from project initiation to post-live support

- We have developed a vast repository of tools, templates and methods that can be customized for each client

- The biggest testament to our commitment is client satisfaction and retention

Company Experience

At Schafer Consulting, we clearly understand the challenges facing most cities as our vertical market is 100% focused on the public sector. Our experience in providing ERP system needs assessment, analysis, evaluation, selection and implementation services to local governments has provided us with an expert understanding of the unique environment in which government agencies operate, and the skills to address the complexities of system implementation in such an environment. We are familiar with all of the Tier 1 and Tier 2 software vendors in the market, particularly those who offer on premise as well as cloud-based solutions.

Below, we list our procurement projects (and winning software vendors) that Schafer Consulting has engaged in during the last few years.

Client	Services Delivered	Vendor Selected
Louisiana Supreme Court	Technology Assessment - Business Case – ROI Analysis - ERP Evaluation and Selection – ERP Implementation Project Oversight	Unit4
Eastern Municipal Water District	HCM Needs Analysis – HCM Evaluation and Selection – Implementation Project Oversight – Quality Assurance –Change Management	Oracle Cloud HCM / AST
Jurupa Community Services District	ERP/CIS Needs Analysis – ROI Analysis - ERP Evaluation and Selection – Project Management – Quality Assurance – Change Management - Data Conversion – Testing – Implementation Support	New World Systems
Central Basin Municipal Water District	ERP/CIS Needs Analysis – ERP Evaluation and Selection – Project Management – Quality Assurance – Data Conversion – Testing – Implementation Support – Change Management	New World Systems
EVMWD Elsinore Valley Municipal Water District	ERP/CIS Needs Analysis – ERP/CIS Evaluation and Selection – Project Management – Quality Assurance – Data Conversion – Testing – Implementation Support	Infor Lawson and Advanced Utilities
City of Santa Rosa	ERP Needs Analysis – ERP Evaluation and Selection – Project Management – Quality Assurance – Data Conversion – Testing – Implementation Support	SunGard OneSolution

Client	Services Delivered	Vendor Selected
	ERP implementation support - business processes documentation – development of test scripts – development of training materials	New World Systems
	ERP/CIS Needs Analysis – ERP/CIS Evaluation and Selection – ROI Analysis	SunGard OneSolution
	ERP Needs Analysis – ERP Evaluation and Selection – Project Management – Quality Assurance – Data Conversion – Testing – Implementation Support	Infor Lawson
	ERP Needs Analysis – ERP Evaluation and Selection – Project Management – Quality Assurance – Change Management – Testing – Implementation Support	Tyler Munis
	Technology Assessment - ERP Needs Analysis – ERP Evaluation and Selection – Change Management	Oracle PeopleSoft
	ERP/CRM Needs Analysis – Business Case - ERP/CRM Evaluation and Selection –Implementation Support	New World Systems
	HCM Needs Analysis – ROI Analysis - HCM Evaluation and Selection –	Infor Lawson
	ERP / EAM Needs Analysis – ROI Analysis – Business Case	Oracle PeopleSoft / CherryRoad
	ERP / Property Taxes Needs Analysis – ROI Analysis - ERP / Property Taxes Evaluation and Selection	Infor Lawson

Client	Services Delivered	Vendor Selected
MTS	ERP Needs Analysis – ROI Analysis - ERP Evaluation and Selection	SAP
County of Los Alamos New Mexico	ERP/CIS Needs Analysis – ROI Analysis – ERP/CIS Evaluation and Selection – Change Management	Tyler Munis
The County of Santa Cruz 1850	FM Needs Analysis – FM Evaluation and Selection – Project Management – Quality Assurance – Data Conversion – Testing – Implementation Support	SunGard OneSolution
Brown County Established 1818	ERP Needs Analysis – ERP Evaluation and Selection	New World Systems
Seal of the Cherokee Nation Sept. 6, 1839	ERP Needs Analysis – ERP Evaluation and Selection – Project Management – Tobacco Taxes Database – ERP Implementation Support – Tag Project for Vehicles	Infor Lawson
CONTRA COSTA transportation authority	ERP Needs Analysis – ERP Evaluation and Selection – Project Management – Change Management	New World Systems
Lee's Summit Missouri	ERP/CIS Needs Analysis – Business Case – ROI Analysis - ERP/CIS Evaluation and Selection	Infor Lawson
Macomb County Michigan 1818	Project Management for ERP Project – Implementation Support	SunGard OneSolution
Macon-Bibb County Forward Together 2014	IT Strategic Plan - ERP Needs Analysis – ERP Evaluation and Selection – ROI Analysis	New World Systems

Client	Services Delivered	Vendor Selected
MIDPENINSULA REGIONAL	ERP Needs Analysis – ERP Evaluation and Selection – Project Management – Quality Assurance – Data Conversion – Testing – Implementation Support	New World Systems
OLIVENHAIN Municipal Water District	ERP/CIS Needs Analysis – ERP/CIS Evaluation and Selection	Cogsdale
RCTC Riverside County Transportation Commission	Project Management for ERP Project – Quality Assurance Implementation Support	Tyler Eden
SAN JOAQUIN RTD	ERP Implementation Support	SunGard OneSolution
TRANSPORTATION CORRIDOR AGENCIES	ERP Implementation Support	SunGard OneSolution
THE GREAT SEAL OF THE CHOCTAW NATION	Project Management for ERP Project – Quality Assurance Implementation Support	Infor Lawson
TJPA TRANSBAY JOINT POWERS AUTHORITY	ERP Needs Analysis – ERP Evaluation and Selection	New World Systems
SWEETWATER AUTHORITY	Project Management for ERP/CIS Project – Quality Assurance - Implementation Support	New World Systems
WEST BASIN MUNICIPAL WATER DISTRICT	Project Management for ERP/CIS Project – Quality Assurance - Implementation Support	Infor Lawson

Client	Services Delivered	Vendor Selected
Lower Valley Water District	ERP/CIS Needs Analysis – ERP/CIS Evaluation and Selection – ROI Analysis - Project Management – Quality Assurance – Data Conversion – Testing – Implementation Support – Change Management	Tyler Munis

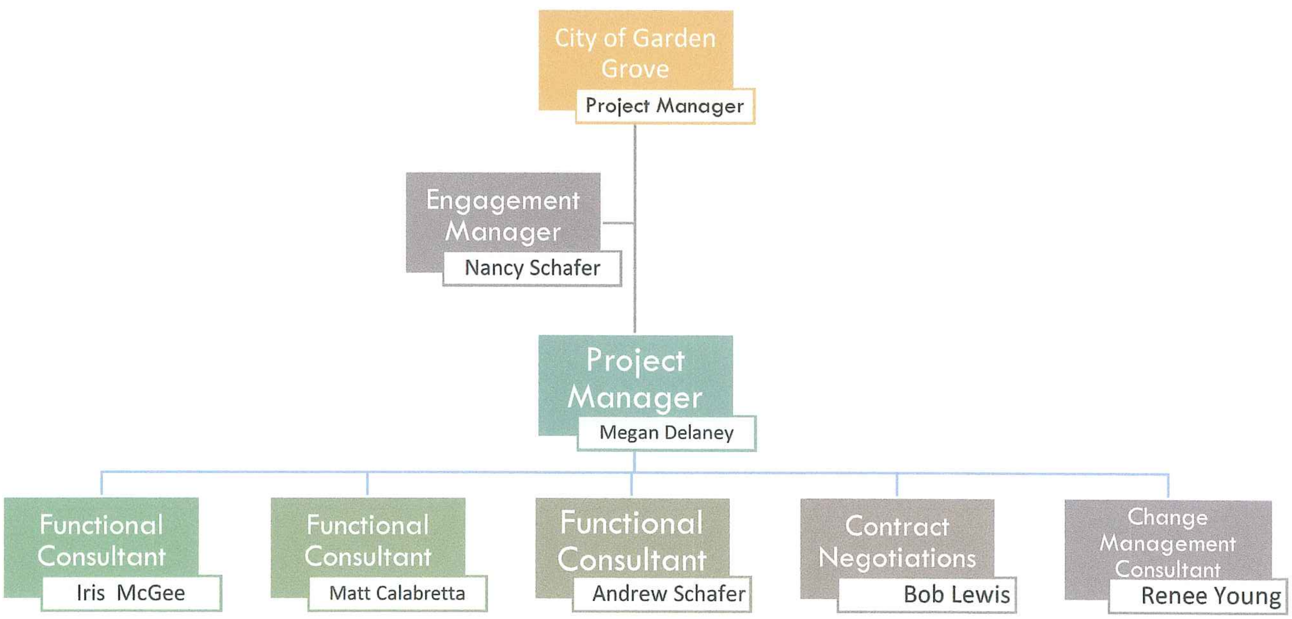
QUALIFICATIONS OF PERSONNEL AND RESUMES

Qualifications of Personnel and Resumes

Overview & Project Organization Chart

To successfully meet the objectives of this engagement, Schafer Consulting is offering a team of highly competent technical and functional consultants to address the needs and challenges facing the City.

Our selection of professional staff to serve on an engagement team is based upon careful consideration of our staff's skills and experience in relation to the client's needs. It is our goal to assemble the "best and the brightest" team for each engagement. It is in the firm's best interest, as well as the interest of our clients, for the team members to remain for the duration of the engagement. To the best of our ability, Schafer Consulting will make that same commitment to the City. We feel that such continuity assures the client of experienced help and ensures efficiency of service. In the event that any of the team members becomes unavailable due to unforeseen circumstances, then with the approval of the City an equally competent and experienced team member will be assigned as a replacement. Please refer to the below organizational chart of our proposed staffing levels.



Resumes of Proposed Consultants

Please find the resumes for our proposed consultants starting on the next page.

SCHAFER CONSULTING

NANCY SCHAFER

Engagement Manager

SUMMARY

Professional Experience

Nancy Schafer has more than 30 years of financial, technology and business advisory experience, including 5 years in public accounting, 8 years as a former Finance Manager for two California transportation agencies, and 16 years in consulting to government and public sector organizations. Her experience includes auditing cities and K-12 school districts, managing multi-billion operating/capital government operations, performing indirect cost allocations for federal grants, providing IT assessment and system selection reviews, managing complex system implementation projects, performing business transformation analysis, negotiating contracts, providing quality assurance services, and developing IT governance and change management plans. Nancy's clients have included a wide range of municipalities, transportation agencies, utilities and K-12 school districts. Nancy has recently been involved in creating Digital Citizens Strategic Plans to usher government agencies into the age of cloud solutions, social media and digital engagement with the public.

Functional Areas

ERP
CIS/Utility Billing
Licensing & Permitting
Code Enforcement
CRM
HCM/HRIS
EAM

Expertise

Project Management
Systems Selection
Quality Assurance
Change Management
Business Process Redesign
ROI Analysis
Contract Negotiation
Digital Citizen Strategic Planning
System Implementation
Water Conservation

Key Clients/Projects

Clayton County
Macon-Bibb County
Santa Cruz County
Los Alamos County
Salt Lake County
Brown County
Macomb County
St Croix County
Union County
Arapahoe County
Oklahoma County
City of Fullerton
City of Santa Rosa
City of Little Rock
City of Carlsbad
City of Kingston
City of Los Angeles
City of Evanston
City of Irvine
City of Gresham
City of Nashua
City of Santa Fe
City of Lee's Summit
Supreme Court of Louisiana

Key Clients/Projects

New Orleans Redevelopment Agency
LA Community Development Commission
LA County Metro Transp Authority
Contra Costa Transportation Authority
Riverside County Trans Commission
San Diego Metropolitan Transit System
San Joaquin Regional Transit District
Dallas Area Rapid Transit
Transbay Joint Powers Authority
Lower Valley Water District
Eastern Municipal Water District
Olivenhain Municipal Water District
Central Basin Municipal Water District
West Basin Municipal Water District
Jurupa Community Services District
Elsinore Municipal Water District
Sweetwater Authority
Cherokee Nation
Washtenaw Intermediate School District
Oakland Unified School District
Austin Independent School District
Milwaukee Public Schools
Milton Hershey School

SCHAFER CONSULTING

WORK EXPERIENCE

Schafer Consulting

Owner/Senior Business Consultant

Responsibility for the day to day activities of running the company. Assist clients with various IT governance, business transformation and strategic planning projects, including system selection, business process re-engineering, digital consulting, change management, quality assurance, project management, economic development and government advisor.

Alameda Corridor Transportation Authority

Controller

Managed all aspects of the finance, administration, technology and human resources. Implemented the Authority's ERP System, developed a comprehensive set of policies and procedures, and responsible for the issuance of $2.1 billion of revenue bonds.

Orange County Transportation Authority

Finance Manager

Managed a department of 9 staff in the areas of financial reporting, general accounting, coordination of internal and external audits, treasury accounting, accounts payable, revenue management and fixed assets. Responsible for the implementation of the Authority's ERP, Asset Management and Fleet Management Systems.

Coopers & Lybrand

Audit Supervisor

Supervised financial and operating audits for various government, higher education, and non-profit organizations.

Peat, Marwick, Mitchell & Co.

Audit Senior

Performed financial and operating audits and organizational reviews for various government, special districts, higher education and service industries.

CONTACT

949-292-7718

www.schaferconsult.com

nschafer@schaferconsult.com

EDUCATION

California State University, Fullerton

Bachelor of Art, Accounting

SCHAFER CONSULTING

MEGAN DELANEY

Project Manager

SUMMARY

Professional Experience

Ms. Delaney's expertise is in analysis, evaluation, planning, implementation and quality assurance for information systems and related business practices in large organizations, primarily public sector. She is also experienced in budget and financial analysis, and cost recovery studies.

Functional Areas

ERP/FMS
CIS/Utility Billing
HR/Payroll
Business License

Expertise

Project Management
Systems Selection
RFP Development
Business Process Redesign
ROI Analysis
Feasibility Studies
Quality Assurance
System Implementation

Key Clients/Projects

City of Irvine
City of Costa Mesa
City of Santa Barbara
City of Lakewood
City of Orange
City of Murrieta

Key Clients/Projects

City of Anaheim
City of Los Angeles
City of Pasadena
Orange County Fire Authority
Eastern Municipal Water District
The Colburn School

WORK EXPERIENCE

Schafer Consulting

Project Manager

Provides project management for large scale software implementation projects, including finance, HR/Payroll, Utilities and Community Development software. Guides clients through software selection process to acquire best value fit. Advises clients on best practices, systems integration and organizational change management. Provides oversight and quality assurance on key projects.

County of Orange

Business Analyst

Ms. Delaney conducted a review of the County of Orange Public Works service fees to develop a more consistent, blended rate and fee structure to be used to more appropriately charge for services. Her scope of work included a review of background materials to understand the current fees, processes and issues; interviewing Department and Division Management to determine goals; interviewing key staff to understand business processes and functional responsibilities; analysis of current Public Works hourly rates to identify gaps or differences among and between Division rate methodologies; and make recommendations for improved fee methodologies, policies and procedures, and impacts on funding.

SCHAFER CONSULTING

City of Pasadena

Project Manager

Ms. Delaney was responsible for overall project management assistance, integration coordination and quality assurance with the implementation of the selected PeopleSoft Financial systems. Led analysis of the chart of accounts, key reports, interfaces and system customizations required for going live. She assisted in overall system integration testing by developing testing goals, strategies and documentation for each of the application teams. Ms. Delaney led organizational change mgmt. analysis activities for the Finance Division, including re-engineering of key work processes.

Orange County Fire Authority

Project Manager

Provided the Fire Authority with project management support during the implementation of new financial software, SCT Systems. In this capacity, Ms. Delaney established project plans, reviewed project status, met with the Fire Authority Management team, identified and resolved issues and participated in key design sessions, including the design of the chart of accounts.

California State University, Long Beach

Business Analyst

Assessed the organization's strengths and weaknesses to prepare them for implementing a new financial system, human resources and student system software modules from PeopleSoft. Ms. Delaney addressed areas such as work styles, processes, organizational structure, roles and responsibilities, policies, information systems, communications, performance measures, and related topics.

San Diego County Water Authority

Project Manager

Ms. Delaney was the project manager over the selection of new human resources and financial software. She conducted a detailed review of the Authority's RFP and evaluation process, and made recommendations that resulted in a new RFP and procurement process for financial, materials management, human resources, and maintenance management software. She led the evaluation of potential software applications and during the implementation of the selected software, she acted as the quality assurance manager.

CONTACT

714-269-5856

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mdelaney@schaferconsult.com

EDUCATION

San Jose State University, BS Finance & Info Sys

UCI, Certificate in Environmental Auditing

Assoc of Govt Accountants, Certified Govt. Financial Manager

MEMBERSHIPS/PROFESSIONAL AFFILIATIONS

Government Finance Officers Association (GFOA)
California Society of Municipal Finance Officers Association (CSMFO)
Association of Government Accountants (AGA)

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BOB LEWIS

Contract Negotiations Manager

SUMMARY

Professional Experience

Bob Lewis has more than 25 years of ERP and system application experience working directly with the major tier 1 and tier 2 ERP solution providers. Mr. Lewis started his career in 1988 and has held executive management positions since 1995. He has built a reputation as an executive adept in contracts negotiations, change management and quality assurance who can develop innovative solutions to problems and bring people together through communication, trust, and collective responsibility. Since 2003, Mr. Lewis has focused his efforts specifically in Local Government, providing ERP/Criminal Justice Information Systems/HCM/CIS selection and project management services to hundreds of public sector organizations. Furthermore, Bob brings the unique perspective of negotiating on behalf of the vendor, enabling him to be an effective negotiating agent on behalf of the client he serves. Bob has recently been involved in creating Digital Citizen Strategic Plans to usher government agencies into the age of cloud solutions, social media and digital engagement with the public.

Functional Areas

ERP, EAM
CIS/Utility Billing
Licensing & Permitting
Code Enforcement
Criminal Justice Information Systems
Unified Court Case Mgmt – CMS
HCM/HRIS

Expertise

Project Management
Systems Selection
Quality Assurance
Change Management
RFP Development
Business Process Redesign
Contract Negotiation
Digital Citizen Strategic Planning

Key Clients/Projects

Clayton County
Macon-Bibb County
Santa Cruz County
Los Alamos County
Brown County
Macomb County
Union County
Oklahoma County
Dutchess County
Niagra County
Caddo Parish
City of Evanston
City of Santa Fe
City of Ann Arbor

Key Clients/Projects

City of Battle Creek
City of Palatine
City of Brownsville
City of Birmingham
City of Suffolk
City of Moreno Valley
City of Valdosta
New Orleans Redevelopment Agency
Contra Costa Transportation Authority
Transbay Joint Powers Authority
Lower Valley Water District
Central Basin Municipal Water District
Jurupa Community Services District
Washtenaw Intermediate School District

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WORK EXPERIENCE

Schafer Consulting

Vice President / Senior Business Consultant

Assist clients with various IT governance, business transformation and strategic planning projects, including system selection, business process re-engineering, digital consulting, quality assurance, project management, economic development and government advisor.

New World Systems

Vice President, Sales & Marketing

Responsible for all aspects of P & L of the public administration division; building, assessing, adjusting sales and application specialists teams; ERP evaluation strategy and quality oversight; business development, production direction and prioritization of go-to market strategies; contracts negotiations, and ongoing customer oversight.

CONTACT

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www.schaferconsult.com

blewis@schaferconsult.com

EDUCATION

BS Business Administration

Western Michigan

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ANDREW SCHAFER

Senior Business Consultant

SUMMARY

Professional Experience

Andrew has more than 7 years of providing IT and business process transformation services, 4 of which were entirely dedicated to the public sector. He has expertise in system selection, business process improvement, data conversion, project management and the development and improvement of various selection/project management templates. Andrew has experience with several Tier 1 and Tier 2 solutions, including Tyler Technologies, SAP, New World Systems, Accela and Oracle Cloud Services. Furthermore, Andrew possesses expert proficiency with Excel, including the development of complex formulas and logic using VBA. Andrew has assisted multiple public sector clients with needs assessment, requirements gathering, development of demo scripts, implementation support, testing and training. Recently, Andrew has been working on creating Citizen Engagement campaigns to improve the public sector's digital presence.

Functional Areas

ERP, EAM
CIS/Utility Billing
Licensing & Permitting
Code Enforcement
Marketing, Service & Social Cloud

Expertise

Project Management
Systems Selection
RFP Development
Business Process Redesign

ROI Analysis
Digital Citizen Strategic Planning
Business Case Development
System Implementation

Key Clients/Projects

Clayton County
Macon-Bibb County
Milton Hershey Schools
Santa Cruz County
Oklahoma County
City of Carlsbad

Key Clients/Projects

City of Santa Fe
City of Lee's Summit
San Diego Metropolitan Transit System
Lower Valley Water District
Jurupa Community Special District
Washtenaw Intermediate School District

WORK EXPERIENCE

Schafer Consulting

Functional Business Consultant

Responsible for providing system evaluation and selection, data conversion, testing, project management, business transformation, business process re-engineering, digital consulting, and system implementation services.

RWE Trading Americas (RWE Supply and Trading

Business Analyst

Responsible for liquidity planning and forecasting, financial analysis, researching/analyzing utility rates, FERC reporting, tracking of all incoming and outgoing invoices/settlements,

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executing daily cash movements and creating interface between SAP and JPM to automate payment/reporting process.

Société Générale Energy Corporation

Analyst

Responsible for performing all cashflow movement & exchange data, financial analysis, reconciling accounts balances between trading/accounting systems, reconciling daily discrepancies in brokerage / exchange rates, tracking daily and long-term funding, assisting the risk management team with reconciling the P&L.

CONTACT

949-310-4822

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aschafer@schaferconsult.com

EDUCATION

The George Washington University, Washington DC

Business Administration, International Affairs with a concentration in Economics/Finance

Swiss Finance Academy, Financial Training Program

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MATT CALABRETTA

Senior Business Consultant – HR/Payroll

SUMMARY

Professional Experience

Matt Calabretta has over 15 years of experience in payroll and human resources technology and training, including implementation of payroll, timekeeping, and learning management software for both public and private sector clients. His experience includes creating and conducting end-user training on new software for a Fortune 500 payroll, human resource, and benefits outsourcing company. Matt also worked for a major ERP software vendor where he conducted business needs analysis, legacy data mapping, software testing, and implementation of payroll, human resource, and financial modules. Recently, Matt has managed the first public sector implementation of a new cloud offering from a major tier 1 vendor.

Functional Areas

Payroll, FLSA
Personnel Administration
Workforce Administration
Learning Management
Leave Management
FMLA & Workers' Comp
COBRA Management
Applicant Tracking
Career Path / Tracking
Grievance Tracking
Accounts Payable
Web Portals

Expertise

Needs Assessment
Requirements Definition
Evaluation/Selection
Process Improvement
System Implementation
Workflow Design
System Testing
End User Training
Post Implementation Support
Quality Assurance

Key Clients/Projects

Clayton County
Santa Cruz County
Los Alamos County
Oklahoma County
City of Santa Fe
Milton Hershey School

Key Clients/Projects

Eastern Municipal Water District
Jurupa Community Services District
Los Angeles Sanitation
Washtenaw Intermediate School District
Lower Valley Water District
Sweetwater Water District

WORK EXPERIENCE

Schafer Consulting

Functional Business Consultant

Provides system evaluation, selection, and implementation services. Responsibilities include conducting needs assessments, requirements definitions, proposal evaluation, software demonstration scripts, vendor demonstration scoring, reference checks, and developing business cases. Also provides project management, quality assurance, end-user training, and change management services.

Government ERP Provider

Application Specialist/Technical Account Manager

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Responsible for software installation and configuration through testing, end-user training, and go-live. Provided post-go-live technical support on and off-site, as well as individual training and large group presentations. Provided process improvement feedback to development team. Goal-oriented, with continued success in increasing customer satisfaction.

Paychex, Inc.

Branch Manager

Responsible for the custom design, presentation, and assessment of training; focused on customer service, payroll tax law, and software use. Played critical role in the planning and rollout of new LMS and payroll software to Payroll Specialists, Client Service Supervisors, and Branch Managers in multiple mid-west locations. Established positive working relationships at branch, region, and corporate levels. Enthusiastically provided employees with direction on application challenges, updates, and enhancements. Created quarterly assessments to test and track knowledge of employees. Provided multi-level computer technical support. Performed project management on new initiatives including the implementation of third-party applications.

Senior Payroll Specialist

Dedicated to meeting and exceeding the expectations of internal and external customers. Responsibilities included problem solving, time management, quality control, and motivation for excellence in client service and satisfaction. Provided personalized customer service by becoming a vital partner with 250 clients. Readiness for client compliments or complaints, with appropriate listening skills, sense of understanding, and action planning. Ability to set priorities for best performance, while being a source of knowledge and support in a team environment.

CONTACT

248-379-9866

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mcalabretta@schaferconsult.com

EDUCATION

BA, Central Connecticut State University, CT

SCHAFER CONSULTING

IRIS McGEE

Senior Business Consultant – Financial Modules

SUMMARY

Professional Experience

Iris McGee has more than 20 years of financial, technology and business advisory experience, including 5 years in public accounting and 15 years in consulting to government and public sector organizations. Her experience includes providing IT assessment and system selection reviews, managing complex system implementation projects, performing business transformation analysis, and providing quality assurance services. Iris' clients have included a wide range of municipalities, transportation agencies, utilities and K-12 school districts. Ms. McGee is a well-organized, highly motivated and results-oriented individual with the proven ability to effectively guide and support others. She has excellent written communication skills and Microsoft office skills and her background is 100% based in the public sector.

Functional Areas

General Ledger,
Budgeting Accounts
Payable Accounts
Receivable/Cash Fixed
Assets, Inventory
Projects, Grants
Purchasing/Contracts

Expertise

Needs Assessment
Requirements Definition RFP
Development
Business Case Development
Demo Script Development
Evaluation/Selection

System Configuration Data
Conversion System Testing
End User Training Customized
Documentation Post
Implementation Support

Key Clients/Projects

Clayton County
Santa Cruz County
Salt Lake County
Brown County
Macomb County
St Croix County
City of Fullerton
City of Santa Rosa
City of Little Rock
City of Carlsbad
City of Kingston
City of Irvine
City of Gresham
City of Nashua
City of Santa Fe
City of Lee's Summit
Supreme Court of Louisiana
Cherokee Nation
Choctaw Nation

Key Clients/Projects

New Orleans Redevelopment Agency
LA Community Development Commission
LA County Metro Transp Authority
Contra Costa Transportation Authority
Riverside County Trans Commission
San Diego Metropolitan Transit System
San Joaquin Regional Transit District
Dallas Area Rapid Transit
Transbay Joint Powers Authority
Lower Valley Water District
Eastern Municipal Water District
Olivenhain Municipal Water District
Central Basin Municipal Water District
Jurupa Community Services District
Elsinore Municipal Water District
Sweetwater Authority
Oakland Unified School District
Austin Independent School District
Milwaukee Public Schools
Milton Hershey School

WORK EXPERIENCE

Schafer Consulting

SCHAFER CONSULTING

Senior Consultant

Work as a project manager and/or implementation consultant on 40+ ERP/CIS/FIS projects. Experienced with needs assessment, requirements definition, development of RFP's, development of business cases, development of software demonstration scripts, software evaluation/selection, system configuration, data conversion, training, testing and post implementation support. Familiar with Tier 1 and Tier 2 vendors.

Alameda Corridor Transportation Authority

Senior Finance and Implementation Analyst

Prepared and presented financial statements, cash and investment reports and various other required reports for federal, state, county and local government agencies; coordinating accounting records with both the Port of Los Angeles and Port of Long Beach; developed policies and procedures for grant acquisition, budget, encumbrance and travel; edited Board Reports, Budget Reports, Quarterly Status Reports to the Federal Highway Administration and Public Affairs reports; Developed the agency's webpage

CONTACT

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imcgee@schaferconsult.com

EDUCATION

California State University, Fullerton

Bachelor of Art, Accounting

Certificate study in Graphics Design

REFERENCES

References

Below, we list our references, which represent clients who have contracted with Schafer Consulting for services similar to those requested by the City. Additional information on any of our past projects is available upon request.

Santa Cruz County	
Project Description:	Financial Management System Selection & Implementation
Address:	701 Ocean St., Room 100, Santa Cruz, CA 95060
Project Duration:	October 2013 - Present
Key Contact:	Edith Driscoll
Title:	Auditor Controller of the County
Phone:	831-454-2683
Email:	Edith.driscoll@santacruzcounty.us

Macon-Bibb County	
Project Description:	ERP (including HRIS) Evaluation, Selection & Implementation
Address:	700 Poplar St., Macon, GA 31202
Project Duration:	May 2012 – June 2013
Key Contact:	Dale Walker
Title:	Chief Administrator Officer
Phone:	478-751-7170
Email:	Dwalker@maconbibb.us

Eastern Municipal Water District	
Project Description:	Evaluation, Selection, Implementation of an HR System
Address:	2270 Trumble Road, Perris, CA 92572
Project Duration:	April 2014 – Present
Key Contact:	Laura Zamora
Title:	HR Manager
Phone:	951-928-3777 Ext. 4224
Email:	zamorala@emwd.org

Clayton County	
Project Description:	Evaluation and Selection of an ERP system Data Conversion and Change Management
Address:	7994 North McDonough St., Jonesboro, GA 30236

Project Duration:	February 2016 - Present
Key Contact:	Skipper Stevens
Title:	ERP Project Manager
Phone:	(770) 670-8224
Email:	Skipper.Stevens@claytoncountyga.gov

Central Basin Municipal Water District	
Project Description:	ERP Resource Planning Consulting
Address:	6252 Telegraph Road, Commerce CA 90040
Project Duration:	September 2011 – July 2013
Key Contact:	Albert Plimpton
Title:	IT Manager
Phone:	323-210-5500
Email:	albertp@centralbasin.org

Supreme Court of Louisiana	
Project Description:	Needs Assessment, Business Case, Implementation Services
Address:	400 Royal Street, Suite 190 New Orleans, LA 70130
Project Duration:	July 2008 to June 2011
Key Contact:	Terence Sims
Title:	Deputy Judicial Administrator
Phone:	504-310-2583
Email:	tsims@lajao.org

Milton Hershey School	
Project Description:	Evaluation and Selection of an ERP system. IT Strategic Plan. Change Management
Address:	E. Governor Road. Hershey, PA 17033
Project Duration:	August 2013 – April 2015
Key Contact:	Steve Valentine
Title:	Senior Director, Financial Services
Phone:	717-520-2360
Email:	valentines@mhs-pa-org

OVERVIEW AND APPROACH

Overview and Approach

Our experience in acquiring and implementing ERP systems has taught us that the project cannot succeed without top management commitment, a clear focus about the goals of the project, and good management of change. By sharing our experience with the City, we can bring learned factors of success to the project and create awareness of what newer systems can offer. Below, we describe our approach and methodology for accomplishing the activities necessary to meet the requirements of the scope of work. All deliverables and work products will be subject to the review and approval by designated City personnel before they are finalized and before the project team proceeds to the next task of the project. Our methodology has been built on the "Best Practices" gained from participating in the selection and implementation processes for other similar projects. We believe that establishing a strong project structure from the onset is the best way of ensuring achievement of the project goals.

Our ERP Philosophy

Our approach to each consulting engagement is structured to provide the services and level of professional support required to meet the individual needs of the client. Transforming an organization as complex as the City of Garden Grove requires a holistic view of the people, processes and technologies that are required for the City to perform its business functions. Simply replacing the ERP technology at the center of the operations will not yield the same benefits as transforming the organization and driving performance increases and operational efficiencies from the top down. Developing a strategy earlier on, using Schafer Consulting's approach and methodology, will help the City translate its vision into practical and achievable results.

Our holistic strategy starts out with a good staffing approach, which is based on providing the right resources in the right place at the right time. We have carefully selected a project team based on their experience in providing similar clients with ERP evaluation and selection support. Our team consists of professionals who have worked collaboratively together on many other projects together and who know exactly how to support each other, especially during the critical phases of the project. They are cross-trained to mitigate project gaps and risks, and the ensure success for the City.

Besides having the right resources in place, it is also important to apply a holistic and pragmatic approach to project oversight. Our toolkit and approach is organized to include project governance and foster discipline; manage scope, schedule and costs; manage expectations (upward and downward); create transparency; provide quality assurance; and manage issues and risks. We will use this approach to deliver incremental value that is aligned with the City's goal of assessing the current and "to be" processes, building a business case, procuring the best Commercial Off-The-Shelf (COTS) within the funding capacity of the City, and ultimately migrating to a new ERP solution that meets the City's strategic goals as the City defines the business case justification and establishes the roadmap for a successful system implementation.

Our needs assessment strategy involves using our toolkit to uncover the "as is" and the "to be" processes, as well as developing requirements that reflect the technical and business needs of the City. While some of our competitors prefer to use online tools to gather requirements information, we on the other hand, strongly believe in the importance of having face-to-face dialogue. Our focus group workshops allow our consultants to follow our toolkit to gather information, encourage participation from all City team members, listen carefully to the responses, and ask follow up questions. The key is to learn as much from City personnel as possible, as they are the "experts" in how things are done in the current environment.

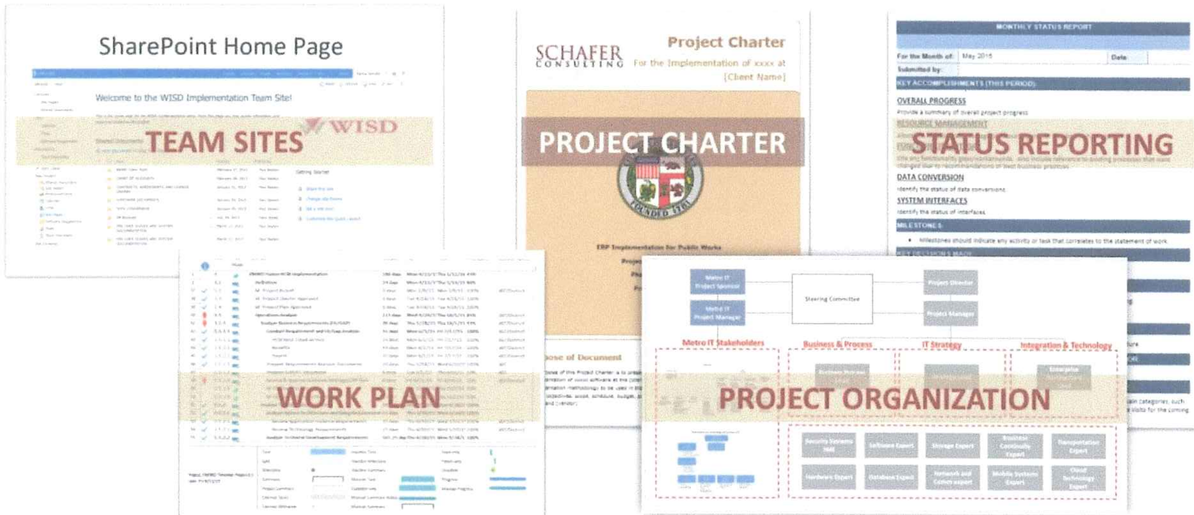
A robust RFP strategy will enable the City to fully realize the business value of process, organizational and technology transformation that an [ERP/HRIS/CIS] implementation delivers. Developing a strategy will help alleviate the potential risk of taking a purely technical approach that lacks proper consideration of process and organizational impact. Some of the high level benefits that the City can expect to gain as a result of having a sound RFP strategy include:

- ✓ Validation of resources (time and money) to implement based on detailed requirements
- ✓ Strong stakeholder involvement
- ✓ Deeper identification of opportunities for improvement and opportunities to introduce industry leading practices
- ✓ Better clarity on the scope of the transformation and the key initiatives for the "to be" state
- ✓ Focus on people and processes in addition to technology
- ✓ Independent evaluation of all available solutions against business needs
- ✓ Alignment between the City's business units and IT priorities

In summary, we believe our philosophy and strategy will garner great value to the City. All of our deliverables and work products will be subject to review and approval by the City's Project Manager before they are finalized and before the project team proceeds to the next task of the project. Our approach has been built on the "Best Practices" gained from participating in successful needs assessments for other similar projects and we hope to have the opportunity to do the same for the City.

Below, we describe our approach and methodology for accomplishing the activities necessary to meet the requirements of the professional services. Our project plan is based on the requested services outlined the City's RFP. All deliverables and work products will be subject to the review and approval by the City's Project Manager before they are finalized and before the project team proceeds to the next task of the project. Our methodology has been built on the "Best Practices" gained from participating in ERP software evaluation and selection projects for other similar projects. We believe that establishing a strong project structure from the onset is the best way of ensuring achievement of the project goals. The following is a brief description of the building blocks for defining a successful project structure.

Task 1 – Planning and Maintenance



Risk Management

Risks are factors that reduce the chances of the project being successful. At the onset of the project, we will work closely with the City to identify risk factors before they occur, assesses how likely it is they will occur, takes steps to minimize their occurrence or impact, and plans the steps to be taken if they do occur. Our Project Manager will ensure that risks are identified and appropriate risk management plans are put in place to react to them.

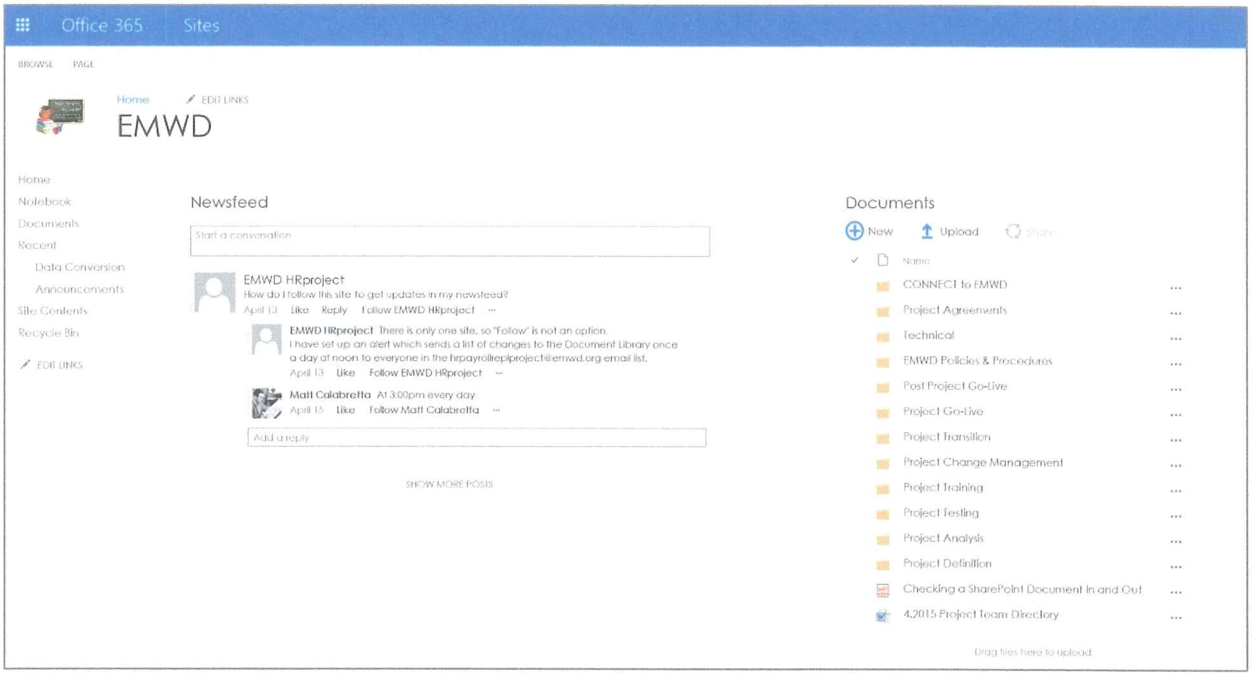
Establish Project Collaboration Center

Because communication and project transparency are essential ingredients for success, our standard practice is to create a secure Project Team Site, such as Microsoft SharePoint, to support essential communication between all project participants. Because some of our past vendors have expressed that SharePoint is not always intuitive to use, we could also use Dropbox or Base Camp as alternatives.

SharePoint Basecamp Dropbox

The Project Team Site will be accessible from the Internet. Secure access will be provided to authorized City staff and stakeholders. The Project Team Site provides a mechanism for sharing appropriate material, which could include: project document libraries, meeting records, requirements matrices, demonstration scripts, vendor proposals, status reports, implementation configuration documents, test scripts, training documents, etc. This Project Team Site will be hosted by Schafer Consulting.

Below is a snap shot of a team site for one of our clients, using Microsoft SharePoint:



Develop Project Charter

At the start of the project, a Project Charter will be developed that will provide a framework for the project that will include items such as a Mission Statement, Business Objectives and Guiding Principles, Scope Control, Project Strategy, Project Organization, Transparency, Accountability, Reporting and numerous other items tailored to fit the City. As a part of this process, we will confirm the goals and objectives of the City and determine the critical success factors by which achievement of the objectives will be judged.

Progress Monitoring and Reporting

Our Project Manager will prepare monthly progress reports to track actual effort against the project work plan and to provide ongoing estimates of the effort remaining for each deliverable in progress. Actual effort gathered from the project team in relation to their assigned tasks will be reported using our status report template. Our goal is to have zero variance between estimated and actual effort, however, there could be occasions when the need to identify variances arise. When such need occurs, we will ensure the project work plan is properly managed and take early action to mitigate further resource or scheduling impact on the project.

Our Project Manager will meet with the City's Project Manager based on a mutually agreed upon frequency. During critical phases of the project, we suggest these meetings take place weekly. At these meetings, our Project Manager will provide a status report that includes:

- Activities completed in the current reporting period and the hours expended
- Activities planned for the next reporting period
- Updated schedule including milestones and their status (originally scheduled date, current target date, and the number of changes to the date)
- Issues or problems requiring resolution
- The status of any changes that affect scope, cost, or schedule

Deliverables:

- ✓ Prepare a Project Charter (governance)
- ✓ Prepare status report template
- ✓ Create a Project Team Site
- ✓ Identification of Project Risks

Task 2 – Project Initiation Meeting and Data Collection

Some of the tasks highlighted in the City's RFP may overlap with Task 1. Specifically, we will:

Develop Detailed Work Plan

Once the Charter has been created, we will schedule a meeting with the City to establish open lines of communication and to develop a common understanding as to what is included in or excluded from the project. The project scope will be the foundation on which the project schedule, budget and resource plans are built. We will focus on establishing agreement on the outcome of the project and discuss the changes that will occur upon completion of the project.

In order to develop an effective project work plan, we will work with the City's Project Manager to:

- ✓ *Determine the project scope* – We will define all aspects that the project will cover. This includes:
  - Determining which functions and/or systems should be included and prioritize based on degree of gap and other agreed upon metrics.
  - Identifying functions and systems that will be outside the scope of the project that may still need to be addressed

- Project strategy

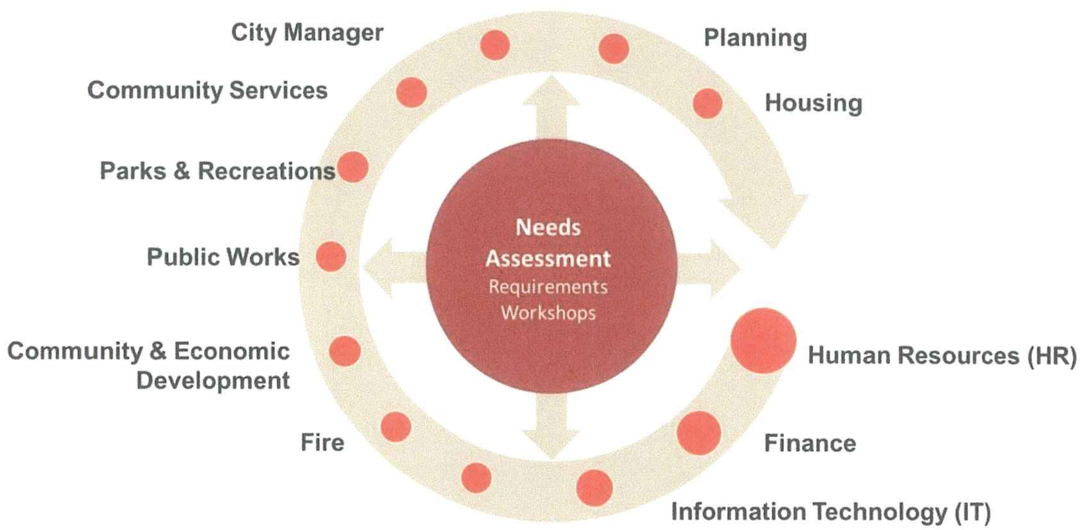
✓ *Finalize the Project Schedule* - We will develop a project schedule (in Ghant Chart format) in order to ensure timeliness, quality, and efficiency. A schedule will be developed that estimates the total length of the project, identifies tasks, milestones, deliverables (City and Schafer) and resources (City and Schafer) necessary to complete each task in the project work breakdown structure. We will identify both City and Schafer roles and responsibilities that will be required for each task of the project.

✓ *Conduct the Kick Off Meeting* - We will conduct a project kick off meeting with the City's Project Manager as well as team members from all affected departments in order to discuss our approach to the project and to confirm expectations.

Develop Project Organization Structure

Our approach to this project is designed to provide the level of services and professional support required by the City; therefore, we will work jointly with key City staff to structure an approach that will meet the overall needs of the City. At Schafer Consulting, we have designed a collaborative approach to ensure success. During this task, we will meet with the City to establish a cross-functional group of representatives from essential departments to be involved in the process. Because an ERP system will impact everyone at the City, we envision that we will need to involve many City departments to provide input in how they currently perform their duties, define the system needs for the future, assist with the selection of a new ERP system and create an environment of collaboration and communication. Below is a diagram of the City's department stakeholders.

City of Garden Grove Department Stakeholders



Estimated Project Cost

ERP projects are notorious for running over budget. There is no reason why this has to be the case if the Total Cost of Ownership (TCO) of the project is properly developed at the outset. The types of costs incurred in an ERP project are generally split between capital and operational costs, although recently, some software vendors are also providing hosted and cloud-based solutions. The cost associated with these solutions have shifted capital expenditures entirely to the operational side, which allows the client to spread the cost over a longer period of time and the ability to adjust the subscription fees if volume and user count change. The table below shows some of the major cost headings and factors that could impact the cost.

Cost Heading	Issues to consider
Acquisition	✓ Number of subsystems to review and purchase ✓ Size of the City's evaluation committee ✓ Number of City personnel participating in the software demos ✓ Number of "short-listed" vendors ✓ Length of onsite software demonstrations ✓ Length and complexity of contract negotiations
Hardware (for on premise solutions)	✓ Number of environments (development, training, testing, and production), as well as configuration for each environment (number of users, sizing, sharing servers, etc.). ✓ Sizing and server requirements. ✓ Hardware preference. ✓ Configuration preference, such as server redundancy, storage method (SAN, NAS, Local Drive, etc.), backup equipment, Disaster and Recovery requirements, capacity utilization tolerance for servers, etc. ✓ Ability of the Board to leverage its existing hardware.
Software (for on premise solutions)	✓ Number of subsystems/modules ✓ Number of concurrent/named users ✓ Operating budget ✓ Number of servers ✓ Number of sites/organizations ✓ Other pricing methodologies
Equipment	✓ Is it more cost effective to buy or lease? ✓ Do you need maintenance agreements for printers, scanners, mobile devices, cash registers, etc.?
Internal Project Staff	✓ The number of FTE's allocated to the project ✓ The level of involvement by the City's Project Steering Committee and Sponsors ✓ The ability to backfill certain positions. If backfill is needed, what is the recruitment and advertising fee ✓ The skill set and labor rate of assigned team members ✓ The amount of anticipated overtime

	✓ Travel cost associated with meetings, conferences and training courses
Implementation Services	✓ Number of subsystems/modules to implement ✓ Number of Internal FTE's allocated to the project (including the amount of project work the Town is willing to manage internally) ✓ Amount of historical data to convert ✓ Number of data interfaces ✓ Amount of customization ✓ Length of project ✓ Length of post implementation support ✓ Travel - where will the consultants be traveling from and how often
Training	✓ What training is required at each stage of the project and for how many people? ✓ Is it more cost effective to train on-site rather than pay travel costs? ✓ For IT staff weigh up the cost (including time) of training versus taking on skilled staff at higher salaries.
Subscription Fees (for hosted or cloud-based solutions)	✓ The amount of subscription fee ✓ One-time setup fees ✓ Ability to treat services as a subscription ✓ Escalation
Contingency	✓ What is a reasonable contingency estimate given the amount of risk and uncertainty in the project?

Deliverables:

- ✓ Prepare a PowerPoint presentation for the Kick off meeting with the City.
- ✓ Develop organization structure
- ✓ A comprehensive cost analysis that includes ten year TCO and Life-Cycle costs by category
- ✓ ERP Project Workplan that includes project strategy, project prioritization, project components, project resources, project timeline

Roles and Responsibilities Between City and Schafer:

Task / Activity	Client	Schafer Consulting
Project Initiation	✓ Work with Schafer to coordinate and participate in the kick off meeting ✓ Jointly establish a project charter to define the "rules of engagement" ✓ Establish the project team ✓ Approve status report template ✓ Approve timeline ✓ Approve SharePoint directory structure	✓ Conduct internal kick off meeting and deploy resources ✓ Develop kick off meeting PowerPoint presentation ✓ Jointly establish a project charter ✓ Develop status report template ✓ Develop timeline ✓ Setup SharePoint

Task 3 & 4 – Business Process Analysis and Needs Assessment

The business process analysis and needs assessment will examine the City's existing Raining Data D3 database, the Ruby on Rails PostgreSQL database and any other functions currently being performed outside of the two legacy system(s) which should generally be included in an enterprise environment. Our project team will walk through each of the processes (both manual and automated) to gain an understanding of how the process works, what its inputs are, the strengths and weaknesses of the process, the various systems utilized to complete the process, and—most importantly—what you want the process to look like.

Our review will encompass the activities, processes, users, reports and controls in areas such as General Ledger, Accounts Payable, Accounts Receivable, Budget, Purchasing, Inventory, Payroll, Property/Capital Assets, Utility Billing, Business Licenses, Permits, Human Resources (Position Control, Performance Appraisal, Applicant Tracking, Benefits, Leave, Personnel, Timekeeping, Training/Certificates, Self Service, etc.), and other potential modules.

By focusing on the needs assessment and process definition, we help you to identify process improvements and cost-saving methods that can be implemented independent of the ERP selection. This will allow the City to achieve tangible results earlier in the process and prior to actual implementation.

We will perform the following tasks as a part of the Business Process Analysis:

- ✓ *Gather and review all available relevant documentation,* including any studies that have already been conducted by the City, internal policies and procedures manual, current chart of accounts, sample forms, sample reports, utility rates, etc.

- ✓ *Conduct needs assessment workshops by functional area* - These workshops generally consist of cross organizational/departmental team members, including but not limited to the Departmental Directors, Division Managers, and their respective subject matter experts. Through these workshops, we will be able to uncover the current processes, responsibilities, inputs, outputs and controls for each organizational unit/functional area within the current system. We will also review and document the prioritization of needs expressed by the attendees.
- ✓ *Define the current systems' unmet needs*, constraints and identify improvements to existing procedures and business processes.
- ✓ *Document the "as is" process maps* - We will be able to identify the current systems' unmet needs as well as improvements to existing services and operational units.
- ✓ *Conduct a review of the current interfaces* (i.e.: how all the disparate systems currently "talk" to each other). During our review we will identify custom-built integrations and manual processes. Particular attention will be focused on discovering silos of data, which often require duplicate efforts in data entry and reporting. We will also take an inventory of all existing systems, including manual spreadsheets, databases and other tracking mechanisms.
- ✓ *Interface diagram* – If one does not exist, then we will create one that captures all of the touch points.
- ✓ *Identify resource gaps* – We will be able to work with the City is determine if sufficient resources exist at the City to perform the implementation of a new ERP system. If not, then we will help the City determine backfill and staff augmentation options
- ✓ *Assess organizational readiness* – We will utilize our organizational readiness template (part of our overall Change Management toolkit) to assess whether the City is ready to embark on this important initiative. Our assessment will take consideration of the technical side of the project (tasks, risks, deliverables, timeline, milestones, etc.) as well as the "people" side, such as available skillsets, potential pockets of resistance, etc.

Developing a New Chart of Accounts

Generally, the development of a new chart of accounts is done by the selected software vendor during implementation; however, through our needs assessment workshops, we will be able to determine whether the current chart is sufficient to track and report business transactions. If not, we will be able to help the City whiteboard a preliminary chart that captures all the reporting levels, organizational structure, account numbers, project numbers, grant numbers, etc.

This chart will be developed to ensure that it meets all external and internal reporting requirements and accommodate the financial activities of:

- ✓ The General Fund
- ✓ Special Revenue Funds

- ✓ Capital Projects Funds
- ✓ Permanent Funds
- ✓ Enterprise Funds
- ✓ Agency Funds

Furthermore, the chart should also address tracking projects and capital projects to account for multi-year grants and programs regardless of the fiscal year.

Develop a Detailed Plan of Action

Once the Needs Assessment tasks have been completed, we will develop a Plan of Action that will provide guidance to the City on how to implement solutions to the issues identified in the Gap Analysis. We will focus on both the current and future states of the City. Our report will:

- ✓ Discuss how well the City's current applications meet its business needs based on our conclusion from the work performed in this task.
- ✓ Prioritize solution requirements.
- ✓ Develop a project schedule with suggested time frames for the project. This schedule will help us estimate the total length of the project, identify tasks, milestones, deliverables and resources necessary to complete each task in the project work breakdown structure
- ✓ Present potential opportunities for the software implementation phase of the project.

Deliverables:

At the completion of this task, we will submit:

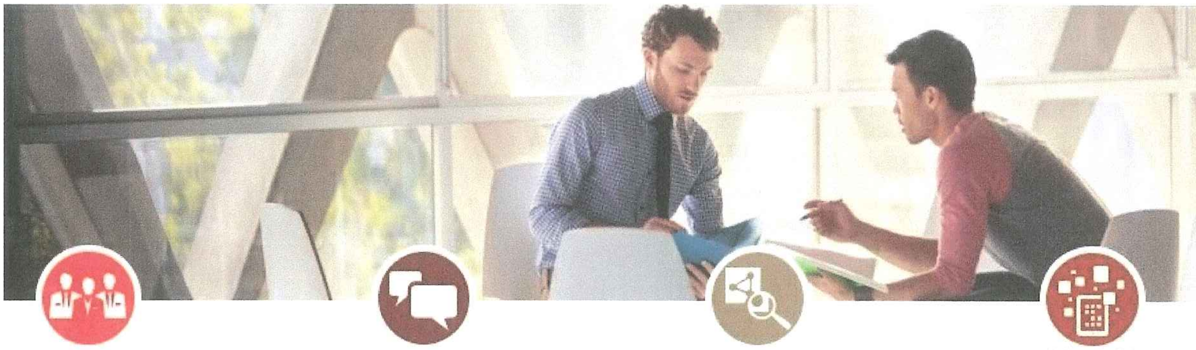
- ✓ An "As-Is" documentation by functional area that describes the current environment, manual processes and constraints, opportunities for improvement, recommendations and how new technology will be used to fill in the current gaps.
- ✓ An interface diagram, using Visio, that shows the touch points between the current system and other ancillary systems.
- ✓ A preliminary draft of a new chart of accounts

City Involvement:

To assist Schafer, the City's Project Manager will provide documentation and reports regarding current process, chart of accounts and systems flows, secure meeting facilities, send invite to workshop attendees, and facilitate the review of all deliverables. Team members and other stakeholders will actively participate in workshops, provide feedback, respond to follow up questions and review deliverables based on mutually agreed upon timeline.

Task 5 – Process Design and Requirements

Future State Vision
What You Should Expect from a Modern ERP



Talent Centric

Social
Integrate social capabilities to enable collaboration with citizens, vendors, customers and employees

Analytics
Provide complete data accessibility for every stakeholder

Mobile
Make it easy for everyone to use on every device

Over the past seventeen years, we have developed Requirements Definition Matrices for each functional module in order to assist clients in analyzing the gaps between their current system(s) and their desired system needs. These matrices are developed by functional area in order to allow the subject matter experts from each department/area the opportunity to rate system requirements for their module. For each function or feature described in the matrix, the City can rate how well the current system is meeting the need and also rate how important or desirable it is in the future.

The matrices will also be an important tool in analyzing how well the current systems are supporting the City's business and technical requirements currently as compared to the functionality that the City's end users desire from an optimal system.

At a minimum, the following activities need to be performed to gather requirements:

- ✓ Schafer Consulting will incorporate the information that we have uncovered from the needs assessments workshops into our requirements templates
- ✓ Conduct requirements definition/gap analysis workshop made up of cross-departmental and functional subject matter experts to define requirements and to refine information needs among the City's many services and operational units.
- ✓ Define other client-specific requirements as needed.

Please note that these matrices will be used to quantitatively determine which software vendor will best meet the needs of the City from a functionality perspective. An explanation of that process is provided below:

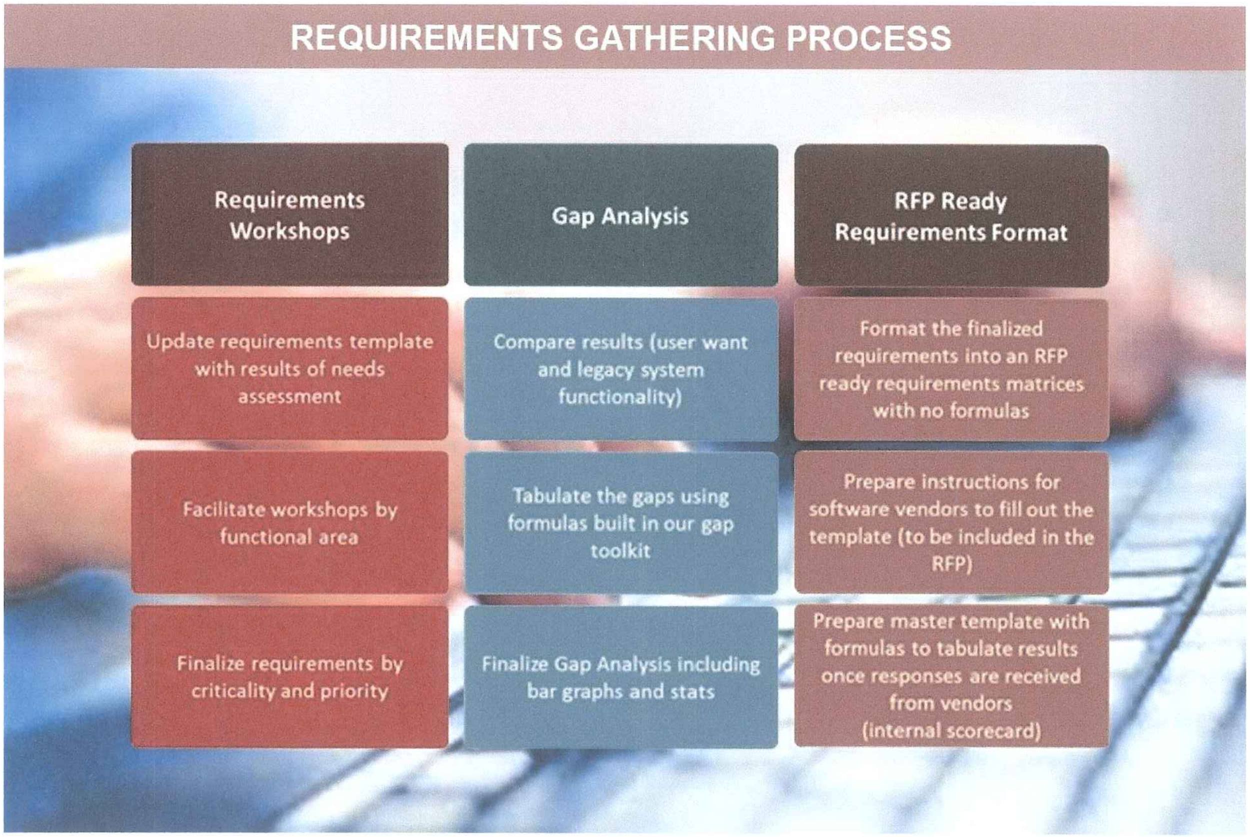
Software vendors will be asked to rate themselves on how well they can meet each of the requirements. The vendors will not be able to view the City's priority rating on each requirement, as that may impact their response, but will be asked to rate themselves on the following basis:

Rating Legend		
CODE	RATE	DESCRIPTION
SUP	5	Supported as delivered "out-of-the-box"
MOD	4	Supported via modifications (screen configurations, reports, GUI tailoring, etc)
3RD	3	Supported via a third party solution
CST	2	Supported via customization (changes to source code)
FUT	1	Will be supported in a future release
NS	0	Not supported

Vendor responses will be fed into a calculation sheet, which will compare the City's priority to the software's level of ability to meet that need in order to come up with a weighted score for each requirement.

It is important to note that our approach encourages the involvement of all departments whose employees and processes will be impacted by the system replacement. Soliciting their input will improve the level of support for the project as well as ensure that a comprehensive set of requirements have been gathered. It would be costly to the organization if the new system did not end up meeting the needs of everyone.

A summary of the activities in relation to the requirements gathering process is illustrated below.



Deliverables:

At the completion of this task, we will submit:

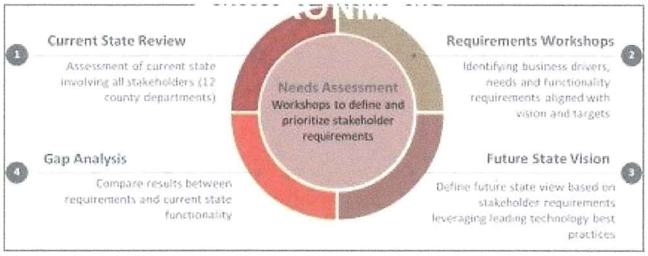
- ✓ A gap analysis by functional area.
- ✓ A technical requirements documents that can also be converted to an RFP ready requirements matrix used as part of the vendor evaluation process

Roles and Responsibilities Between City and Schafer:

Task / Activity	Client	Schafer Consulting
Needs Assessment Analysis	✓ Schedule workshops and reserve conference rooms ✓ Invite City attendees ✓ Participate in workshops ✓ Review deliverables (i.e.: the "as is" documentation, the interface diagram, the requirements matrices, gap analysis, etc.)	✓ Develop attendee list with City ✓ Develop questionnaires and other templates ✓ Facilitate workshops ✓ Prepare "as is" documentation ✓ Develop interface diagram ✓ Prepare prioritized requirements matrices ✓ Update deliverables based on City feedback

Task 6 – RFP Draft

DESCRIBE CURRENT



INSTRUCTIONS TO VENDORS

Rating Legend		
CODE	RATE	DESCRIPTION
SUP	5	Supported as delivered "out-of-the-box"
MOD	4	Supported via modifications (screen configurations, reports, GUI tailoring, etc)
3RD	3	Supported via a third party solution
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FUT	1	Will be supported in a future release
NS	0	Not supported

SELECTION CRITERIA

DESIRED SERVICES &

Schafer Consulting has extensive experience in assisting our clients in the development of Requests for Proposals. We believe a clear, concise RFP is the beginning of a successful project. A clear RFP will bring in the information the City is seeking, and will produce better-qualified responses. It will enable bidders to thoroughly comprehend the needs of the City and the environment in which the system will operate. A well-written RFP will also elicit the most accurate information from vendors that will allow the City to evaluate the vendor's software against the documented requirements.

Before we begin the process of developing the RFP, we will develop a procurement strategy to ensure that the procurement process is performed in the best interest of the County and that the project team and the Ctiy completely agree on the approach and the expected outcome. In addition, the strategy will help to ensure that the RFP is in compliance with all applicable legal codes and requirements. Once the strategy has been accepted, we will begin the process of writing the RFP.

In preparing for the development of the RFP, we will perform the following:

- ✓ Obtain and review all pertinent City's procurement regulations and guidelines.
- ✓ Provide guidance to City personnel to establish evaluation and scoring criteria using our pre-established criteria and templates as a guideline.
- ✓ Establish a deadline for receipt of proposals.

We believe that evaluation criteria should be established and included in the RFP so the software vendors clearly understand the critical factors that are important to the City and allow them the opportunity to fully address those points in their responses. We will incorporate the final evaluation criteria within our Proposal Evaluation Scorecard, which will be used to track vendors' scores through all stages of the evaluation process.

RFP Development

We will work with the City's Purchasing and Legal Departments to establish the structure for the RFP. At a minimum, the RFP should include the following:

- ✓ *Explanation of the City's Current System* – To define the City's current software, hardware, and IT standards.
- ✓ *Scope of Work* – To define specifications regarding the software solution, the City's role/responsibility in the project, project management services, the system integration plan, implementation services, data conversion, data interfaces, testing, training, documentation, system deployment, and on-going support and maintenance.
- ✓ *Response Format* – To include submission and delivery requirements, inquiry submissions, addenda instructions, and specific content and format guidelines.
- ✓ *Proposal Evaluation* – To explain the City's evaluation method, selection criteria, the proposal evaluation process, the scoring methodology, evaluation factors, product demonstrations and site visits, and contract negotiations.
- ✓ *Terms & Conditions* – To define the procurement schedule and selected terms and conditions.
- ✓ *Response Sheets* – We will also include several documents that the vendor will need to complete, including the functionality requirements matrices, pricing worksheets, client references, etc. We will also include other more client-specific documents, such as acceptance of terms and conditions, pre-proposal registration, third party software form, designated contacts, etc.
- ✓ *Cost* – Pricing worksheets will be included in the RFP. These will define the required format of cost proposals to ensure that vendor responses can be compared side-by-side. We will require vendors to include the cost of software, annual maintenance, subscription fees (if hosted or cloud solutions are being considered), licensing, 3rd party products, implementation, training and other service costs, any required hardware, required payment schedule, etc.
- ✓ *Additional Requirements* – We typically ask the vendors to include samples of their reports and training materials with their proposal.

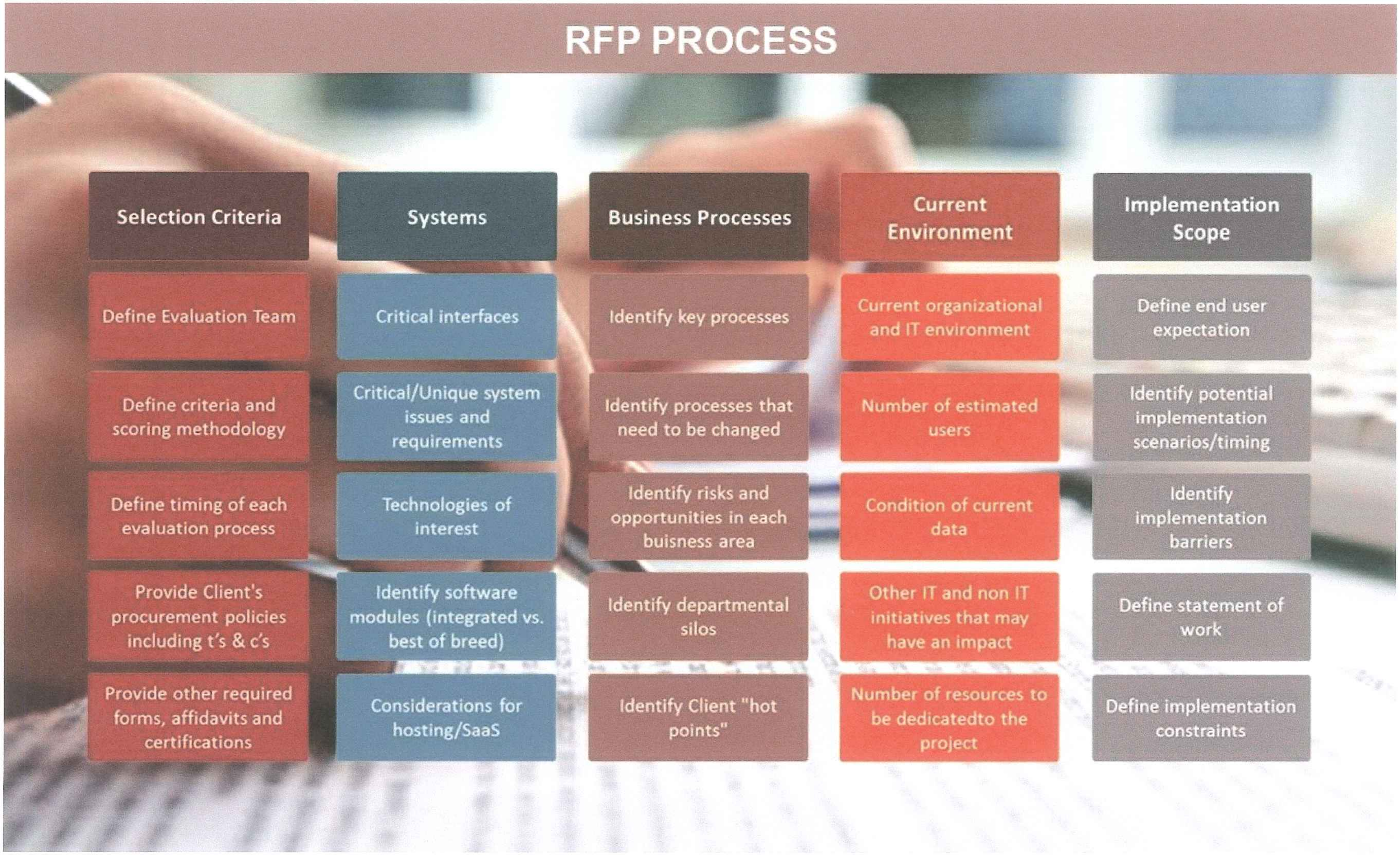
We will utilize the information gathered from the needs assessment workshops to develop the RFP. This includes the following:

- ✓ Definition of the current software and hardware that the City uses.

- ✓ An outline of the City's IT standards.
- ✓ A description of the City's preferred platform (on premise vs. hosted vs. cloud)
- ✓ Data conversion needs.
- ✓ Data interface needs.

Based on the information provided in the software RFP, the City should receive software bids for a user-friendly system that provides data in a fast and efficient manner and has the ability to meet all business requirements now and well into the future.

The chart on the following page depicts our approach to collecting information to prepare for the RFP:


RFP PROCESS
Selection Criteria
Define Evaluation Team
Define criteria and scoring methodology
Define timing of each evaluation process
Provide Client's procurement policies including t's & c's
Provide other required forms, affidavits and certifications
Systems
Critical interfaces
Critical/Unique system issues and requirements
Technologies of interest
Identify software modules (integrated vs. best of breed)
Considerations for hosting/SaaS
Business Processes
Identify key processes
Identify processes that need to be changed
Identify risks and opportunities in each buisness area
Identify departmental silos
Identify Client "hot points"
Current Environment
Current organizational and IT environment
Number of estimated users
Condition of current data
Other IT and non IT initiatives that may have an impact
Number of resources to be dedicatedto the project
Implementation Scope
Define end user expectation
Identify potential implementation scenarios/timing
Identify implementation barriers
Define statement of work
Define implementation constraints

Pre-Proposal Conference

We will develop an agenda and a PowerPoint presentation for the pre-proposal conference that will provide prospective bidders with a high level review of the RFP. We will lead the conference and assist the City in responding to and documenting vendor questions.

Response to Vendor Questions

The RFP generally defines an open period for software vendors to obtain clarification on the RFP. We will assist the City in responding to all vendor questions in relation to the RFP.

At the end of this task, we will have assisted the City in developing a clear, concise RFP along with established vendor selection criteria and templates.

Deliverables:

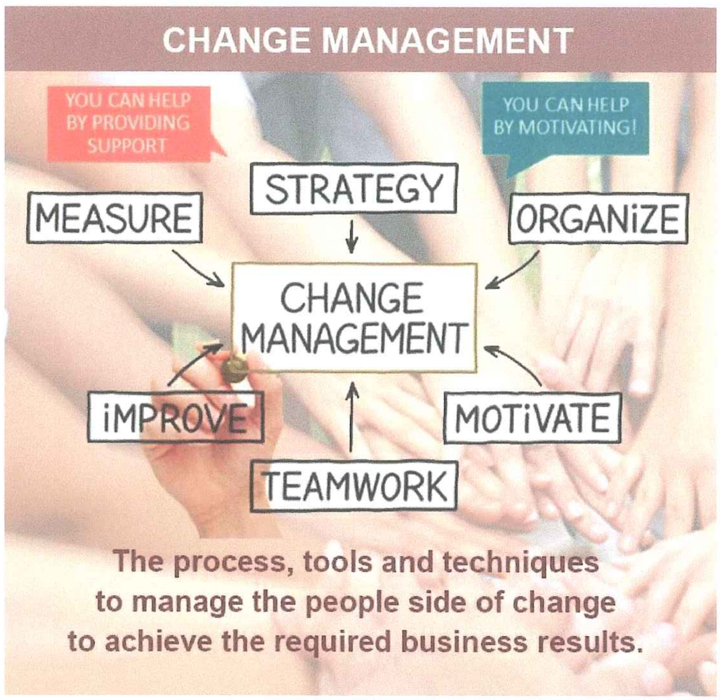
- ✓ Develop evaluation template based on City's evaluation criteria
- ✓ Prepare an ERP RFP that includes technical and functional requirements as well as other City required forms.
- ✓ Prepare an agenda and a PowerPoint presentation to be used during the pre-proposal conference
- ✓ Prepare written responses to vendor questions from pre-proposal conference and from emails.

Roles and Responsibilities Between City and Schafer:

Task / Activity	Client	Schafer Consulting
Develop RFP	✓ Provide City's procurement policies ✓ Jointly develop evaluation team ✓ Review RFP draft ✓ Define selection criteria ✓ Jointly develop procurement schedule ✓ Advertise RFP ✓ Release RFP ✓ Jointly respond to vendor questions ✓ Jointly facilitate pre-bid conference	✓ Review City procurement policies ✓ Make recommendation on selection criteria ✓ Gather a list of viable vendors ✓ Jointly develop procurement schedule ✓ Create RFP ✓ Jointly respond to vendor questions ✓ Jointly facilitate pre-bid conference ✓ Develop agenda for pre-bid conference

Task 7 – Governance Support (Change Management)

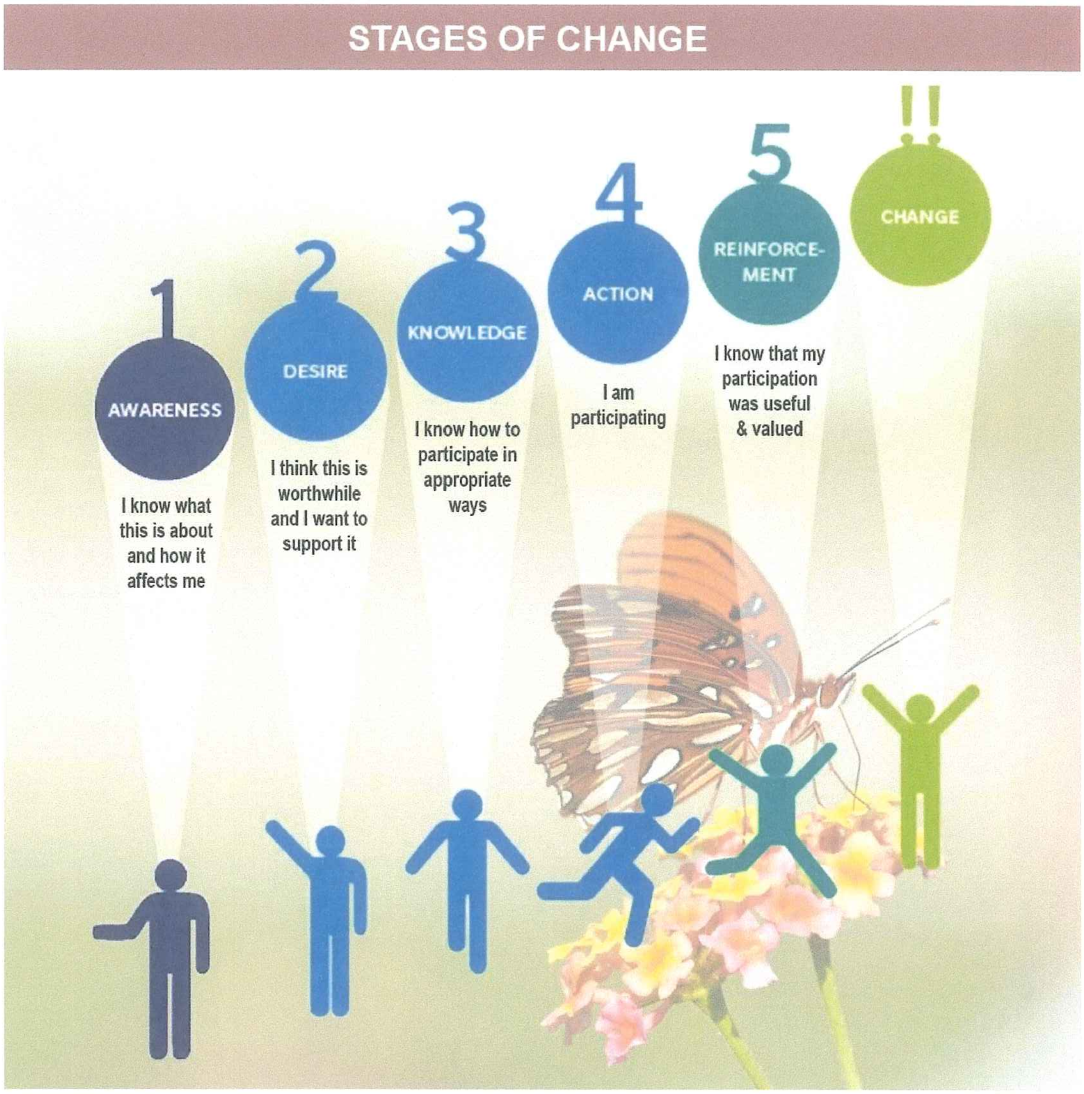
The City's ERP project will involve implementing business systems that will impact all of the employees of the City at some level. This will require proactive planning and management of adoption and acceptance of the changes to help ensure success. Schafer Consulting will assist the City in assessing the various changes its business will experience from the implementation of the various systems identified as part of the ERP initiative, and then develop plans to help the affected personnel successfully navigate the changes required to adopt the use of the City's new software and processes. For Task 7, we will develop a Change Management Plan that will be incorporated into the overall project work plan once the software solution vendor is selected.



Change management is probably the one area that is most misunderstood by organizations prior to their project initiative. They know it is something important and something they must consider, but they have little idea how and when to implement it. Before we begin describing our approach, we'd like to first present our definition of change management and explain how it can help the City mitigate risks, manage resistance and achieve adoption of the new processes.

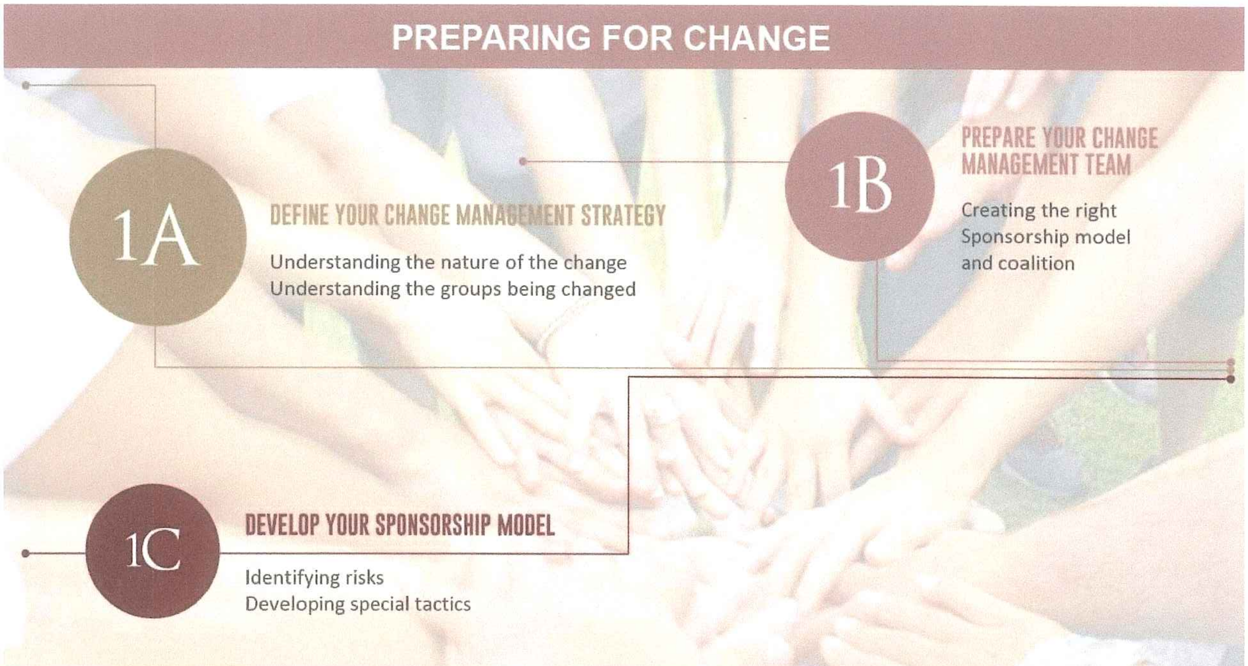
Why Change Management

Our Change Management Plan begins with the creation of a Change Management (CM) team, made up of various change coaches and subject matter experts. The size and complexity of this team is completely scalable to fit the size and culture of each organization. This team will participate in all aspects of the process.



Our Change Management plan is divided up into three main stages: 1) Preparing for Change, 2) Managing Change, and 3) Reinforcing Change.

Preparing for Change



Most software vendors will incorporate a number of approaches to facilitate change management during the implementation project. However, the nature and level of changes an organization will experience will always be unique and should be assessed and planned for. Of particular importance is identifying and planning for any situation that could pose potential risk to the success of the project and to the operations of the City. We assist our clients in understanding the potential impact of a change on business needs and assigning a corresponding priority to the importance of planning for the change.

During the preparation phase, the CM team will develop a comprehensive CM Strategy, which will incorporate these success factors: 1) active and visible executive sponsorship, 2) structured CM approach, 3) dedicated CM resources and funding, 4) frequent communication about the change and the need for change, 5) employee engagement and participation, 6) engagement and integration with project management and 7) engagement with and support from middle management.

The CM team, under the leadership of our certified Change Manager, will work closely with the Steering Committee and the City's Project Manager to prepare a CM Plan and to develop the Sponsorship Model. Some of the activities that we will perform during this stage include:

Conduct readiness assessment	Anticipate resistance areas	Prepare the team
Perform risk analysis	Develop overall strategy and incorporate it into the SOW	Assess sponsorship
Identify type of change	Architect the project structure	Design special tactics

The types of changes that the City may experience and how they should be planned for will vary significantly. What may seem to be an unimportant or trivial situation to some stakeholders may present significant challenges to others who are involved with the change and could lead to larger impacts on the organization than expected. Below is a chart that depicts the different types of change that an ERP project will bring about:

Organization	Business Functions & Processes	Technology
✓ Structural ✓ Consolidations ✓ New Management ✓ Reduction/Increase in force ✓ Assignments, roles and responsibilities	✓ Policies ✓ Approvals ✓ Process scope and scale ✓ Procedures ✓ Forms	✓ Applications, tools ✓ Hosted, manual vs. automation ✓ Decentralized vs. centralized information ✓ Screen, report information ✓ Security, access

In addition to identifying the types of changes, this is the stage where we will need to consider the reaction or response stakeholders might have to the changes. If City employees perceive the changes to adversely affect them or their job situation, they will resist the changes and perhaps actively solicit others to resist the changes as well.

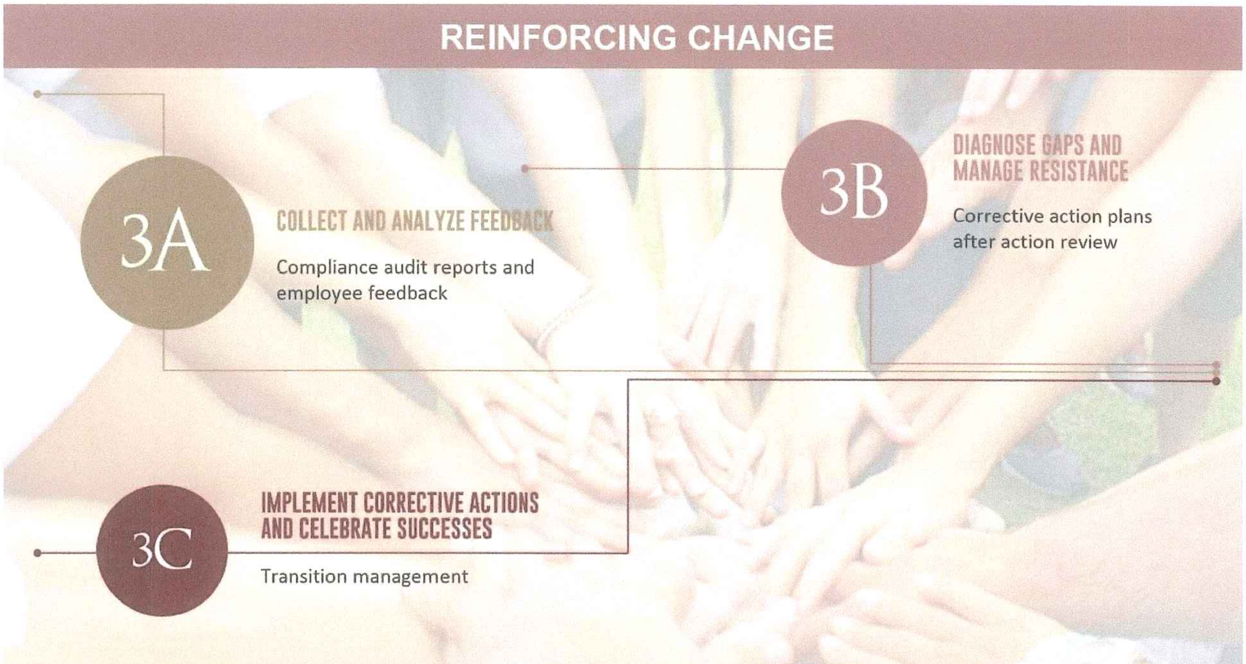
Managing Change

During this phase, we will take action to implement a plan that will move the City's organization and individuals through change. We will 1) Finalize plans for communication, sponsorship, coaching and resistance management; 2) Integrate CM activities into the Implementation Project Plan; and 3) Execute plans.

We will utilize the five tenets of change management, which will provide a foundation for discussing change and the necessity of CM to City employees, enabling the CM team to explain what change management is within the context of the benefits, results and outcomes of the various software implementation projects. The five tenets of CM are:

- ✓ We change for a reason
- ✓ Organizational change requires individual change
- ✓ Organizational outcomes are the collective result of individual change
- ✓ Change management is an enabling framework for managing the people side of change
- ✓ We apply change management to realize the benefits and desired outcomes of change

Reinforcing Change



During this phase, we will ensure that the change is adopted and sustained by performing the following activities:

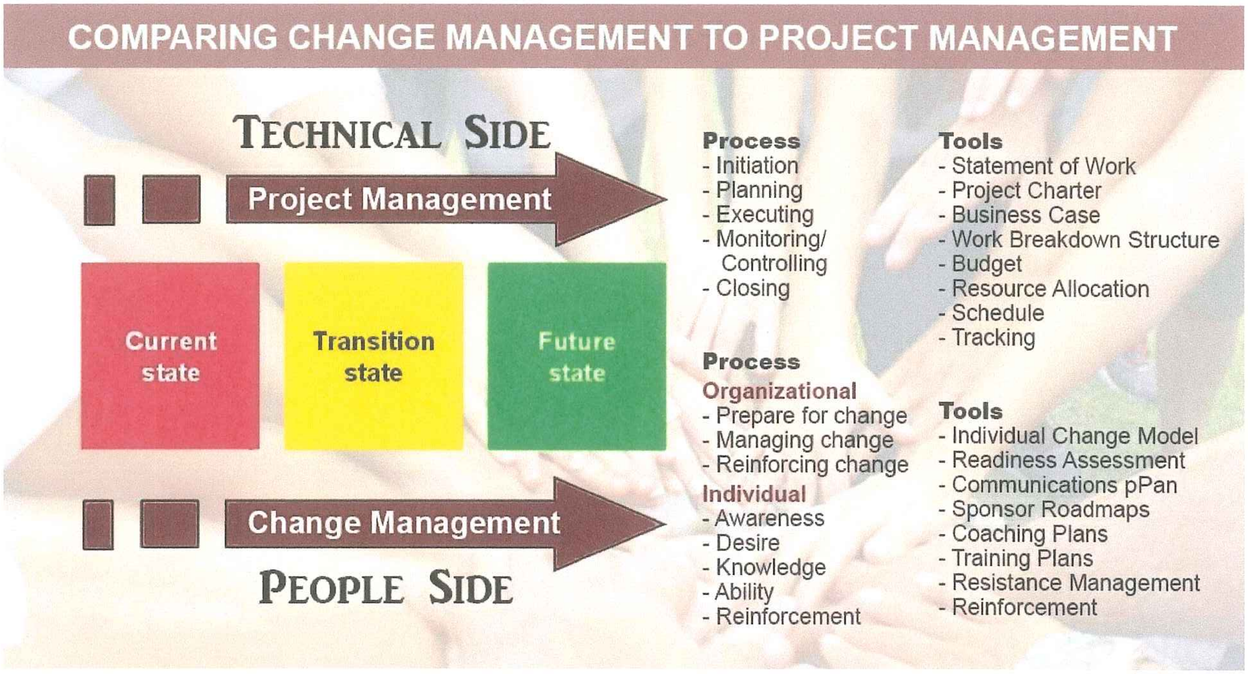
Proactively collect feedback and listen to employees	Identify gaps, resistance and pockets of resistance	Implement corrective actions
Audit compliance with the "new way" of doing things	Celebrate successes	Move to business as usual

Once these activities have been completed, we will conduct after-action reviews and transfer ownership of the change activities to the managers/supervisors. At this stage of the project, the CM team should be able to answer these questions:

- ✓ What worked?
- ✓ What did not?
- ✓ What are the lessons learned?

The process of transferring ownership involves informing the City's Project Sponsors, determining what outstanding issues or needs must be addressed prior to dissolving the CM team, and working out an acceptable time table for the transition to occur.

Integrating Project Management with Change Management



There are many tools and approaches that Schafer Consulting uses to facilitate successful business change within an organization:

Communications

- ✓ Communications from the City's executive management
- ✓ Communications, updates from project management, team leaders
- ✓ Status reports, newsletters
- ✓ Status meetings, forums

Organizational, relationship

- ✓ Cross-functional representation in the project, decision process
- ✓ An environment of empowerment, openness and inclusion
- ✓ Organizational ownership of the project
- ✓ Demonstrated management report
- ✓ A means to provide feedback to management, the decision process
- ✓ Informal team gatherings for team building, morale

Training, team involvement

- ✓ In depth training of the core project team, power users
- ✓ Involvement of end user personnel in the testing, validation of the system
- ✓ Timely, focused process-based end-user training including both system and offline procedures
- ✓ On-demand training (documentation, scripts, WBT, etc.)

Coaching, mentoring, counseling

- ✓ Targeted management, communications to address individuals, groups resisting change
- ✓ Interim systems, assignments for individuals needing additional guidance, support

Controls, checks/balances

- ✓ Procedural steps/roles to ensure compliance with new process
- ✓ System controls, security to ensure compliance with new process

Documentation

- ✓ Policies, procedures
- ✓ Design documentation with rationale for business decisions
- ✓ Training documentation, scripts
- ✓ Online help text, documentation

Support

- ✓ Internal support systems, procedures - phone, online
- ✓ Call/issue tracking system with online visibility
- ✓ Escalation process for problem resolution

Proactive planning and management of change can significantly improve a project's success and shorten the timeframe for the City to realize benefits from the new systems.

Deliverables:

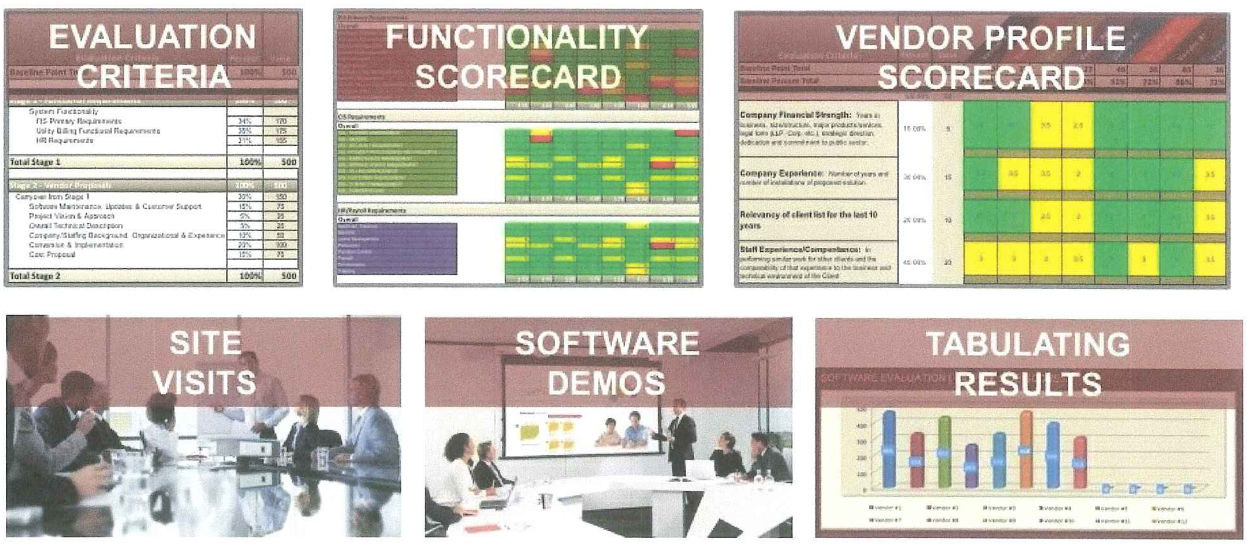
We will develop a Change Management Plan for the City. However, it is important to note that our scope is limited to development of the plan only. It does not include implementation and execution of the plan. We will have further discussions with the City to determine how much assistance the City will need before we can finalize the implementation scope.

Task 8 – System Selection

Evaluation of Proposals

Proposals that meet the basic requirements established in the RFP (i.e. deadline for submission and format requirements) will undergo an evaluation process. The ultimate goal in proposal evaluation is to select the vendor(s) that offers the best value to meet the needs of the City. Best value does not necessarily mean lowest price, but it does mean best price for the services and products offered. We will assist the City's Project Team and Project Manager in performing the following proposal evaluation tasks:

- ✓ Establish an evaluation committee made up of City and Schafer Consulting representatives. Committee members may also include system experts in the areas of application functionality, application programming, database administration and system analysis.
- ✓ Evaluate proposals received from vendors based upon the criteria established in the software selection section below.
- ✓ Identify a shortlist of vendors that provide the best solutions.
- ✓ Tabulate costs from each of the short-listed proposals.
- ✓ Facilitate a meeting with the evaluation committee to confirm final evaluation and scoring in order to come up with a short list of vendors for software demonstration.



Evaluation Criteria

In selecting the best software solution, we will consider the following:

- ✓ Quality, clarity and responsiveness of proposal in conformance with instructions, conditions and format contained herein.
- ✓ Quality of software/implementation services.
- ✓ Functional/Technical requirements.
- ✓ Installation, implementation and training plan.
- ✓ Demonstrated performance of proposed system elsewhere in the public sector; system maintenance, updating and ongoing technical support.
- ✓ Vendor financial stability.

- ✓ Potential product demonstrations and site visits.
- ✓ Cost reasonability and benefit of software solution
- ✓ Provider references regarding adherence to contract terms and conditions
- ✓ Lawsuits or settlements that might have been made
- ✓ Investment levels of the company in improving their product(s) – In other words, the amount the company spends on Research & Development every year. We can compare industry standards against the selected vendor's actual expenditures.
- ✓ Customer service and support reputation of the company
- ✓ Frequency and pattern of software releases

Develop Demonstration Scripts

The onsite software demonstration is the single most important opportunity your organization will have to see the software in action and determine if it is really a good fit with your business operations. In order to truly make this determination, it is critical that the demonstrations follow a set of scripts that reflect the business transactions being performed at the City. In this controlled environment, you will be able to dictate what you desire to see versus what the vendors want you to see.

To help the City get the most out of the demonstration process, Schafer Consulting will work with the City's subject matter experts in each functional area to develop scripts. Using our sample scripts as a starting point, we will tailor the scripts to your organization by incorporating those requirements already identified by the City as having a high level of importance, gathering additional information about the City's most commonly processed transactions and by encouraging workshop attendees to suggest real life examples.

Manage Software Demonstrations

For the short listed vendors, we will arrange on-site software demonstrations to include "hands-on" software availability for City personnel. Schafer Consulting will perform the following activities in facilitating the vendor demonstrations:

- ✓ Notify short listed vendors and coordinate proposal demonstration schedule.
- ✓ Communicate with short listed vendors regarding script questions, logistics, vendor required materials (whiteboard, projector, wireless accessibility, etc.)
- ✓ Develop an evaluation checklist and score sheet for use during vendor demonstrations/interviews.
- ✓ Prepare a demonstration evaluation scorecard and instructions to evaluators.
- ✓ Tabulate demo scores and present findings to the City.
- ✓ Provide an opportunity for the software vendor to describe their training approach to ensure that it meets the requirements of the City.

- ✓ We will also optionally participate in the software demonstrations to evaluate the differences, advantages and disadvantages of each vendor based on our observations during the demonstrations as well as our existing knowledge of each software product.

We will utilize a demonstration-scoring template to evaluate the results of the software demonstrations. This spreadsheet allows for the weighting of scores based on the role (subject matter expert, casual end user, etc.) of each scorer. After all scores have been entered into the scoring template, the spreadsheet will provide a comparison of weighted scores by module for each vendor to allow for a side-by-side comparison. In addition, it will summarize all scores and provide a total demonstration score and ranking for each vendor.

Site Visits

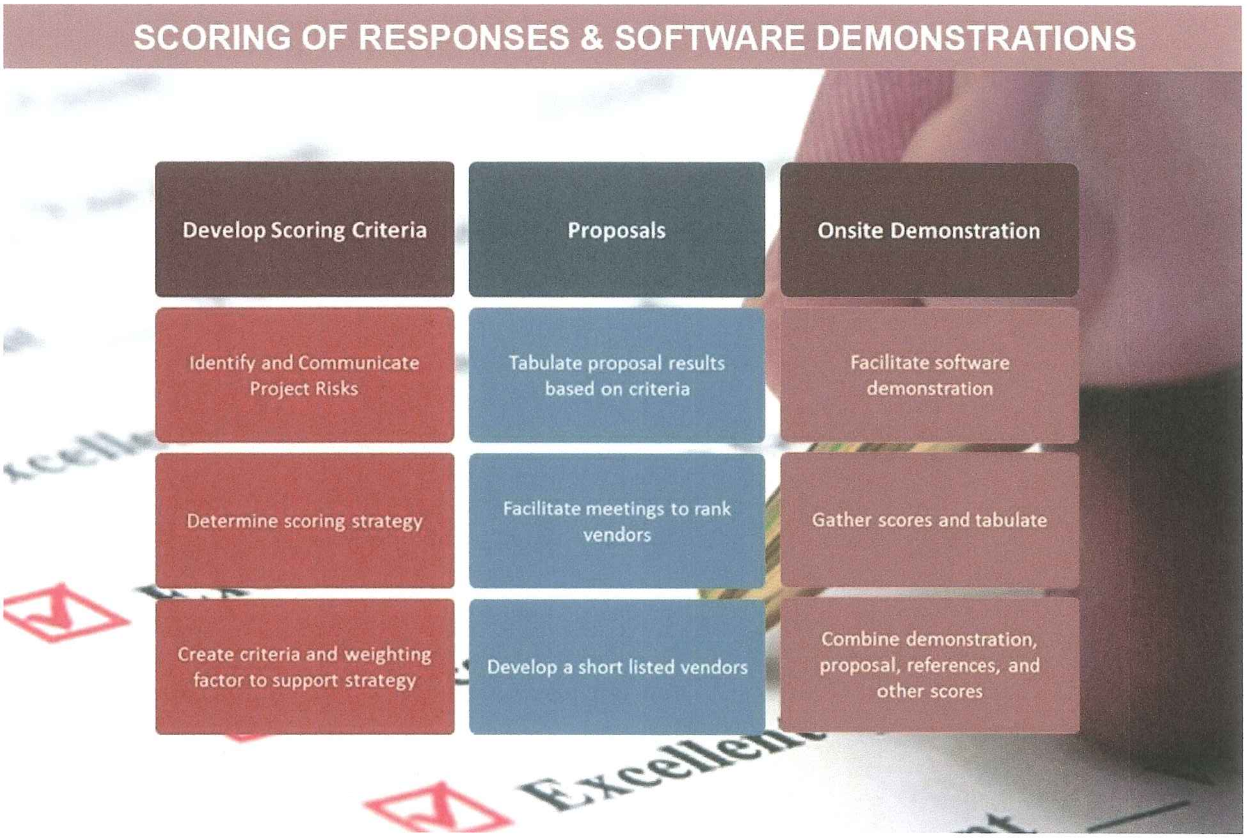
The City may wish to further validate its selection decision by conducting site visits to similar organizations that use the same ERP solution in a live environment. The site visits will enable the City to talk directly to the users without any intervention from the software vendor. We can optionally assist the City in contacting other organizations that have implemented the shortlisted solutions to arrange for on-site visits. As a part of this task, we will setup an agenda and provide a list of topics to cover.

Reference Checking

As part of the evaluation process, reference checking is typically performed either for the shortlisted vendors or for the finalist. We have developed a reference-checking template, which consists of over 40 different questions in these categories:

- ✓ *Reference information* – Background information regarding the organization (i.e.: population, number of users, name of project manager, etc.)
- ✓ *System and environment information* – Name of legacy system, modules purchased/implemented, operating system, version number, other applications that interface to the HRIS, etc.)
- ✓ *Vendor selection information* – Exploration of the vendor selection process.
- ✓ *Implementation information* – Duration of project, resource requirements, timeliness, on budget, experience and level of professionalism of the assigned consultants, problems encountered, how were problems resolved, etc.
- ✓ *Post production* – How 'bugs" and new releases/upgrades were handled, level of support, etc.
- ✓ *Overall* – The major benefits and limitations of the system and the overall acceptance of the software by the user community.

Please refer to the diagram below for our scoring methodology:



Deliverables:

- ✓ Develop a set of software demonstration scripts
- ✓ Develop reference checking questionnaire
- ✓ Develop software demonstration scoring sheets to be used by City attendees
- ✓ Develop agenda for potential site visits
- ✓ Completed comprehensive scorecard with proposal, requirements and software demonstration scores

Roles and Responsibilities between City and Schafer:

Task / Activity	Client	Schafer Consulting
Evaluation & Selection	✓ Review proposals ✓ Provide scoring for the proposals ✓ Participate in shortlist meeting ✓ Participate in demo scripts development workshops ✓ Attend onsite software demos ✓ Provide scoring for the demos ✓ Participate in site visits	✓ Review proposals ✓ Tabulate proposal results, including cost ✓ Facilitate shortlist meeting ✓ Conduct workshops to develop demo scripts ✓ Facilitate onsite software demos ✓ Tabulate onsite demo scores

	✓ Review reference checking results ✓ Participate in final selection meeting	✓ Develop agenda for site visits ✓ Provide reference checking questionnaires and conduct reference checking ✓ Facilitate final selection meeting

Task 9 – Contracts Negotiation

Our ERP professionals have a background in the public sector, in working with ERP software vendors and in working with other consulting firms, which has given us a unique outlook gained from partaking in contract negotiations from all angles - from the perspective of the City, the vendor and the independent consultant. We are knowledgeable about how the contract impacts the implementation process. In conducting contract negotiations between the City and the successful vendor, we will draw on these experiences to ensure the City's best interests are being met. As a part of that process, we believe it is critical to develop a positive relationship between the City and the vendor, as this relationship will be long-lasting and will set the foundation for a collaborative implementation process. We understand the roles of all parties involved in negotiations and will utilize our experience as facilitators to establish clear communication, trust, and good will between all parties involved. This does not mean we will forego the City's best interest during the process, as the ultimate goal is for us to achieve the best terms and conditions for the City.

Our contract negotiations will comprise of the following:

- ✓ Prior to the start of negotiations, we will develop a strategy with the City and identify key roles for decision-making.
- ✓ We will then draw on the information gathered during our review of the vendor's proposal, identify any concerns, and provide the vendor with an opportunity to respond with requested modifications, if any.
- ✓ We will work with the City's project team, the City's legal counsel and the successful vendor to develop a draft contract, following the City's procurement policies and the vendor's proposal as a starting point.
- ✓ We will review contract documents in consultation with the City to establish that requirements are clearly defined and to establish that the City agrees on the schedule, implementation process, fee arrangement, vendor resources, roles and responsibilities, deliverables, costs, acceptance criteria, and terms and conditions.
- ✓ We will be onsite to assist the project team and the City's legal counsel during the actual negotiations.

We will ensure a positive working relationship between all parties involved and establish a constructive sense of partnership as we transition into the implementation phase.

Deliverables:

We will assist with the negotiated agreements for License, Maintenance and Professional Services. If a hosted solution is selected, then we will review the Hosted Agreement in lieu of the license and maintenance agreements. We will also review in detail the Scope of Work to ensure it is comprehensive and covers information such as project governance, roles and responsibilities, timeline, functional areas being implemented, project timeline, phases (if applicable), project budget, tasks, deliverables and milestones.

Task 10 – Implementation Transition

Schafer Consulting's systematic approach to helping clients transitioning from the acquisition phase to the implementation phase will be based on the work accomplished during Tasks 1 thru 9. Our Project Manager will coordinate and work closely with the selected vendor and the City's project team to develop a plan that will establish guidelines to ensure the implementation process is smooth and ensures minimal disruption to the City's operations.

We will help the City develop a Project Plan that is based on the negotiated terms with the selected vendor as well as best practices. It is important to note that most ERP vendors offer a similar document; however, it is a good idea to establish a benchmark plan to ensure that the vendor ultimately incorporates the important elements that we have identified with the City. Some of the project plans that we have seen from ERP vendors focus solely on the technical activities required to get the software working which, in our opinion, is an underachieving goal that doesn't require anything more than basic software design and configuration. These plans often times do not include other critical activities, such as business transformation, organizational change management or the execution of non-technical project activities.

Our project plan uses realistic expectations in terms of available budget, resources and constraints. If the assumptions and expectations are unrealistic from the get-go, the City could experience a domino breakdown effect later in the project as activities are curtailed and corners are cut along the way. The project tends to snowball out of control as the team tries to do too much with too little, leading to a less than successful project.

Another thing to keep in mind is that the project plan is a living, breathing document. As new assumptions and information emerge, the plan needs to be modified to reflect the changes.

Below we cite elements that are included in our project plan:

- ✓ *Goals and objectives* - Details of goals and objectives and the critical success factors by which achievement of the objectives will be judged.

- ✓ *Project governance* – Simply put, the project governance defines the rules of engagement for such areas as communications, decision-making, frequency of status reports, change control management, team members, etc. It generally defines the project sponsors, project committee, project management and project stakeholders. The stakeholders are typically individuals whose interests may be positively or negatively affected as a result of project execution or project completion. They may also exert influence over the project and its results. It is an expanded version of the initial Project Charter developed under Task 1.
- ✓ *Project phases and timeline* – Details of the project activities, deliverables and milestones.
- ✓ *Scope* - Details of the project scope in relation to the organization, functional areas and time as well as a statement about any related areas that are considered to be out of scope.
- ✓ *Assumptions* – These might include assumptions that the Project Manager is making about what support the project will receive from other parts of the organization or what the consultants will deliver.
- ✓ *Risks and constraints* - Risk management is a continued systematic process of identifying, analyzing, and responding to project risks. If the City adopts a formal Change Management Plan, then the risk mitigation becomes part of that plan.
- ✓ *Incorporation of Change Management Plan (includes communication, resistance management, risk mitigation, and training)* – The CM Plan will manage the "people" side of the project whose activities will be incorporated into the "technical" side. Included in CM is the project's communications management, which includes communications planning, performance reporting and administrative closure.
- ✓ *Budget* - A budget or financial plan must be developed as part of the Project Plan. ERP projects are notorious for running over budget. There is no reason why this has to be the case if the project budget is managed tightly by the Project Manager and concerns/issues are addressed to the team on a timely basis.
- ✓ *Data conversion plan* – Details about the process of extracting data out of the legacy systems, transforming that data to be compatible with the new ERP system and loading the data into the tables of the new system.
- ✓ *Test plan* – Details about testing, including performance, unit, integration, parallel and end user acceptance testing.
- ✓ *Roles and responsibilities* - The roles and responsibilities of the project team members need to be clearly defined. Roles typically include Project Sponsors, Project Manager, steering committee, consulting firm Project Manager, project team members, systems developer, systems administrator, training coordinator, change management manager, etc.

Deliverables:

We will collaboratively develop a Project Plan to help the City transition from the acquisition to the implementation phase.

Task 11 – Implementation Advisory Services

Schafer Consulting provides a variety of implementation advisory services. Below we describe each of these services:

Independent Project Management

Schafer Consulting's systematic approach to implementation builds on the work accomplished during the selection phase of the project. Our Project Manager will address various project management tasks and will coordinate and work closely with the selected vendor and the City's project team to develop a schedule for the proper planning and execution of a successful implementation. We will establish guidelines to ensure the implementation process is smooth and ensures minimal disruption of the City's personnel. We believe that the City has demonstrated a tremendous amount of foresight in using a consulting firm for software acquisition and then retaining the same firm to provide implementation and project management oversight services. This independent role will bridge the gap between the software vendor and the City, allowing Schafer Consulting to offer an independent assessment of the implementation activities suggested and performed by the vendor and act as an extension of the City's project team.

Stakeholder Identification and Expectation Management

Stakeholders are those with an interest in the project's deliverables and in how services are delivered. Stakeholders will be identified early in the project so their expectations can be documented and managed. Stakeholders may be those intimately involved in the project as members of a project team, those affected by the project, those who need to provide input to the project team, and those who need to be informed of the project and its progress.

Progress Monitoring and Reporting

Our reporting approach is explained under Task #1.

Issues Management

Our Project Manager will institute a formal and rigorous regime for the identification, documentation, and management of issues on the project. That will start with establishing issue management procedures at the outset of the project so that everyone involved in the project is aware of how to log an issue. All issues will be assigned to a project team member who is responsible for following through to ensure that the issue is resolved promptly before it has an impact on the progress of the project. The issue management procedures will ensure that the status of every issue identified is known to the affected participants, that the issue is addressed promptly, and that resolutions are documented.

Issue Escalation

Issues that are not resolved by the project team according to our issue management process will be escalated to the project's executive as follows:

Change Control

We know that change is inevitable on any project. As one of the initial activities for the ERP project, we will establish change control procedures jointly with the City. Change control is an integrated process used to manage and contain change within the project. It identifies changes in deliverables, specifications, and/or project plans. Through this process, the impact of proposed change(s) on functionality, performance, cost, schedule and quality is analyzed, evaluated, and reported for decisions.

The change control process will include establishing change classifications, priorities, and effective date(s); reviewing and authorizing or rejecting change requests; planning for the cost of assessing the change requests; assessing change requests for impacts and risks; classifying change as "in scope" (within the planned deliverables) or "out of scope" (affecting a change to the plan, or scheduling of an item in a future project phase); obtaining financial approval for approved change requests; and scheduling the implementation of approved changes.

Our suggested change control management process is as follows:

- ✓ *Identify Change*: Our Project Manager monitors project performance and reviews customer requests to identify potential changes. The responsibility to raise potential changes is the responsibility of all team members including City staff. Most, but not all, changes will arise out of identified issues and risks. Tight control on these two processes will facilitate the identification of potential for change.
- ✓ *Analyze Change:* Our Project Manager reviews each potential change to determine its impact on the project in terms of scope, schedule and budget, quality, and resources.
- ✓ *Apply Change Process:* The potential impact of the proposed change will influence the change control management process. Process options, along with the escalation criteria, will be defined in the Implementation Plan as well as the negotiated contract. Small changes may be approved by the City's Project Manager and recorded in the change log. More significant changes will require preparation of a change request, entry into the change request log, and approval.
- ✓ *Prepare Change Request:* The City's Project Manager prepares the change request form in consultation with our Project Manager.
- ✓ *Submit Change Request for Approval:* The City's and our respective Project Managers submit the change request for approval/sign-off.
- ✓ *Enact Change:* Once approved, our Project Manager will be authorized to enact the change and re-baseline the project schedule.

To ensure the project schedule is not delayed, an attempt will be made to resolve all change requests within five working days or the number of days as dictated in the negotiated contract between the City and the software vendor. Change requests exceeding the agreed upon duration will be escalated for resolution. Changes will be documented using the Change Request Form and all changes will be logged using the project's Change Request Log. The electronic formats of these documents will be kept in the change control management directory.

Schafer Consulting's Project Manager will manage large changes distinctly from small changes. We will submit formal change requests for changes that impact the schedule by the agreed upon timeline. For changes below this threshold, we will document them in our Change Control log, which will be reviewed periodically by our Project Manager and the City's Project Manager.

We recommend that the City establish a change budget threshold to accommodate expected, small-scale project changes. A change budget will help the City make swift decisions on minor changes, thereby reducing their impact on the schedule.

Design & Configuration Strategy

Schafer Consulting will work closely with the functional experts from the City and the software vendor to validate that the best design and configuration decisions are being made for the City. Many of the decisions will be made during the core design sessions when the functional options of the new system are fully explored. Based on the availability of the different features and the requirements already established, the best options will be incorporated. If possible, the City should, to the extent possible, utilize standard features of the software versus customization since it is more difficult for software companies to support any modifications to their standard programs. We will ensure that the pre-defined system requirements are communicated to the software vendor to avoid any misunderstandings.

Data Interface Plan

The City's legacy systems will most likely need to interface data to and from to a number of other business applications. All existing manual and electronic interfaces will be identified so they can be included in the RFP. The development of the software vendor's statement of work (SOW) is generally agreed upon during contracts negotiations and refined during the development of the implementation plan as things may change. We will develop a data interface plan that documents the optimal interfaces for the new system (including the examination of opportunities to convert manual interfaces to electronic interfaces).

Schafer Consulting will work closely with the City and the software vendor to:

- ✓ Identify all applications that need to be interfaced to the new systems
- ✓ Once the applications are identified, coordinate the development of interface specifications and delivery of specifications to the software vendor
- ✓ Define data interface schedule
- ✓ Ensure timely completion of interface programs
- ✓ Facilitate interface testing
- ✓ Coordinate re-work if initial testing fails

During the implementation, we will oversee the following activities:

Activity	Description
Communicate & Coordinate w/ Interface Owner(s)	Each interface will require the involvement of a 3rd party, either internal or external, for requirements gathering, testing, and deployment.

Gather Requirements	All requirements for each interface will be defined and documented. Including, but not limited to, source system, target system, data elements, mapping & translation requirements
Interface File / Transmission Sample	Once the inbound interface requirements are defined, a sample interface file/transmission will be provided to the vendor that will be tested in the new ERP system. Multiple iterations will be needed over the implementation period.
Outbound Interface Testing	Once the outbound requirements are defined and the interface has been developed, the software vendor will provide a test transmission that will be tested in the receiving system. Multiple iterations will be needed over the Implementation period.
Data Validation	The City will provide the appropriate resources to validate the data transmitted in the interface process.

Data Conversion Plan

Data conversion is a critical step in the implementation of an ERP system. Data is translated from one format to another so that it can be used in the new system. We assist clients with the conversion of both master data and transactional data. Master data includes data that is relatively stable and changes only occasionally, such as the General Ledger chart of accounts, Vendor Master and the Customer Master. Transactional data includes information that is recorded in the course of completing business processes, such as journal entries, vendor payments and purchase orders.

The Chart of Accounts (COA) is often one of the most difficult conversions that an ERP implementation will present. The COA will touch all users of the system and will determine the extent to which the end users will be able to pull information out of the system at the required levels of detail. Because the COA is the heart of the ERP system into which all modules and interfaces flow, we focus our efforts on ensuring that it is created so that it is easy to use, flexible, that it provides a good foundation for further expansion and that is provides the basis for timely management reports and financial statements. A mapping file is usually critical in order to convert the account numbers from the legacy system to the new system. By developing a mapping spreadsheet, we accomplish two goals: we have a visual path from the old COA to the new COA and we have a mapping table readily available for conversion.

The methodology for COA conversion follows the same well-planned, tested approach that we use for all of our conversions in order to ensure the successful conversion of data, and includes the following steps:

Establish a Data Conversion Timeline – the first step we undertake is to develop a timeline within the ERP master project schedule to ensure that we allow sufficient time to clean, map, load and test the data converted. Extra time should be built into the schedule to allow rework should there be problems.

Data Structure Model Analysis – This decision should have already been decided during the development of the implementation plan; however, things change and it is always a good idea to confirm these decisions before any data conversion work begins.

- ✓ *Determine Data to be Converted:*
  - Type of data – Master data or Transactional data
  - Amount of data – The number of years (or months) of history that will be converted.
  - Level of data – The data can be converted at a detailed transactional level or can be summarized at a roll-up level. For example, General Ledger data from prior years can be brought over at summary account totals and the current year can be brought over at a detailed level.
- ✓ *Identify if data will be converted from multiple legacy systems.*
- ✓ *Identify manual data conversions versus automated conversions.*
  - Manual data loads typically have a limited number of entries and/or have a higher level of complexity which doesn't justify the time and effort required to code, test and tune an automated conversion.
  - Automated conversions are used to address large volumes of data.
- ✓ *Determine the level of data cleansing that is required* – The data cleansing process results in relevant and accurate data being converted from the legacy system(s) into the new ERP. Data cleansing analyzes legacy application data to verify that data is correct, complete, consistent and convertible. Most of the time, the client is responsible for this task as they are more familiar with their current data structure and the state that it is in; however, for those organizations who require our assistance, we will perform the following data cleansing tasks, which includes:
  - Eliminating unnecessary data records
  - Identifying and correcting inaccurate data
  - Merging duplicated data, e.g., multiple vendor masters files, which will need to be
  - consolidated for a single vendor
  - Reformatting and standardizing data so that it can be converted
  - Gathering information that does not exist in any legacy system but is required in the new ERP system.

Data Mapping – We will participate in discussions related to the development of the chart of accounts, so when data mapping is ready to be performed, we would have knowledge of new structure and the logic behind it. We will perform the following:

- ✓ Identify and document the target field in the new system for each of the fields in the legacy system(s).
- ✓ Define the mapping rules to be applied during the conversion process.
- ✓ Identify gaps in the design of the target system (fields in the legacy system for which there are no target fields in the new system)
- ✓ Identify and populate required field in the new system that do not exist in the legacy system.

Conversion Process Design – To convert data into the structure required by the target system.

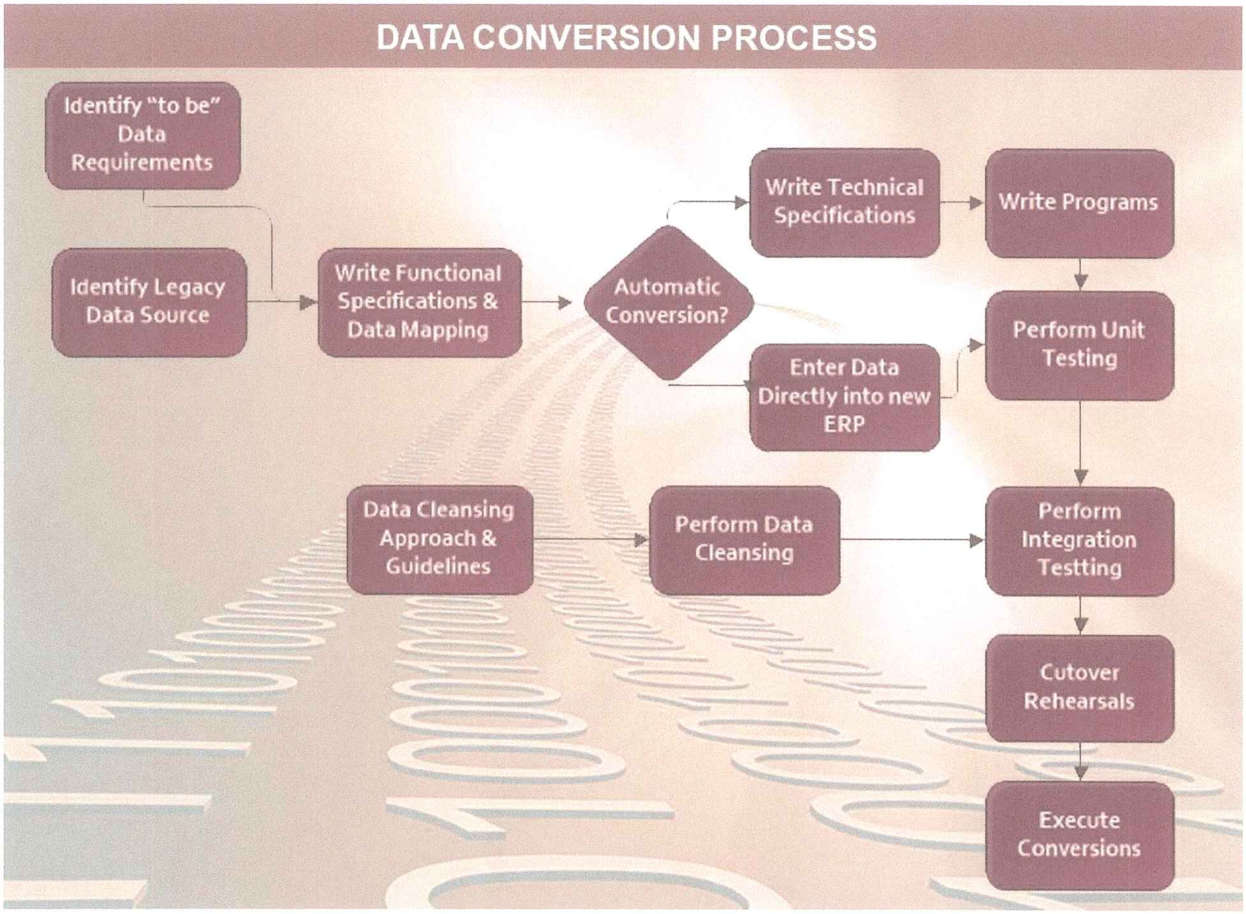
- ✓ Translate the mapping rules into technical specifications.
- ✓ Data from the legacy system(s) is imported into a staging area.
- ✓ Data conversion is executed on the data in the staging area. This process gives rise to the converted data that is in the required data structure model.

Execution of Data Conversion - Data is loaded using the vendor's standard load programs. (Custom conversion programs are also sometimes necessary)

Testing of Converted Data – The converted data will be tested in order to verify that the data loaded matches the data extracted, to allow the integration team to estimate the execution time required for future conversion runs and to provide an audit tracking mechanism. The data should be tested for the following:

- ✓ Is the entire set of mapping rules defined in mapping specifications document incorporated?
- ✓ Does the data converted follow the data structure model of the target system?
- ✓ Are all the fields mapped from the legacy system converted in the appropriate way in the target system?
- ✓ Are all the constraints of the target system fulfilled or is there is any risk of data load rejections?
- ✓ Did the correct number of records get created in the target system?
- ✓ Was the cleansing data incorporated correctly in the conversion process?
- ✓ Do the legacy and target system records reconcile?

Our methodology is outlined in the following data conversion flowchart:



Training Plan

Schafer Consulting will work with the City and the software vendor to develop a formal training schedule, develop user procedures and training manuals, and provide training. Generally, the initial training classes are oriented towards the power users of the organization. Once this focus group becomes proficient with the system, the training should be rolled out to the rest of the organization. A sample training plan should include:

- ✓ *Setup and Configuration Consulting* – this type of training typically involves the core decision makers of the City. The software vendor will instruct the setup switches required to enable the software to perform specific activities and processes identified during the design phase of the project.
- ✓ *Functional Training* – These classes are typically designed for the power users.
- ✓ *Technical Training* – This type of training is designed for the technical staff at the City so they will be able to administer and support the new technical environment. At a minimum, the technical staff should be able to perform system backups and restores; manage users and their system security level; manage printers, scanners, and other peripherals; install patches and upgrades; and other general systems administration duties.

- ✓ *End-user Training* – The primary focus of this type of training is to ensure that basic data entry, general inquiry, reporting, navigation, and other basic functions are mastered by end-users. The City may initially request the software vendor or Schafer Consulting conduct the training sessions, but gradually as the City personnel gain confidence in the system, they may assume the instructors' role. Some of the issues to consider include the development of training materials, how many users need to be trained, training logistics such as connectivity, number of available computers set aside for training, location and size of training classes, creation of a training environment in the system, and resources dedicated to training.

Test Plan

Testing will include the following:

- ✓ *Process/Unit Testing* – The purpose of process/unit testing is to ensure that the setup decisions made during the application design phase generate expected results. We will work with the [client] and the software vendor to establish test cases, procedures and data for each software module that reflect the business processes of each department, but also requirements identified during the vendor evaluation phase to ensure the [client] is not left with major functional gaps. The scripts will include frequently processed transactions as well as unusual and complex ones.
- ✓ *Parallel Testing* – Parallel testing is performed to compare the results of a "cycle" of transaction processing from the new system to the legacy system. Generally, this is only performed in conjunction with payroll and utility billing processing.
- ✓ *Stress Testing* – Stress testing is performed to ensure the new software and hardware meet the City's performance requirements

Schafer Consulting will work closely with the software vendor to make any necessary revisions to the software development files based on the results.

Acceptance Testing

The acceptance test is usually conducted just prior to going "live". Schafer Consulting will ensure that provisions for acceptance testing are incorporated into the software contract as well as the project timeline. The provisions should address actions to be taken by the City in the event of any delays in the commencement of the test.

Communication Plan

Our Communication Plan is generally part of our Change Management Plan; however, if a Change Management is not adopted by the City, then we will separately develop a Communication Plan.

Communication regarding this project will be an essential part of the success of the project. Communicating in a consistent and effective manner will contribute to the success of the project by increasing awareness and understanding of the project and building acceptance, support, involvement, and commitment. Our objectives for the communication plan will include:

- ✓ Communication with the City's Executive Steering Committee and Project Sponsors to provide an overview of the project and outline progress being completed.
- ✓ Communication with the Implementation Team Leaders/Members and the Project Management Team to provide information regarding the impact of the project within their area.
- ✓ Communications between established committees and teams to facilitate an understanding of work being completed in each area and impact on all aspects of the project.

Audiences should be aware of the reasons why the system is being implemented. We will clearly communicate the expectations of the project and the change that should be expected as a part of implementing the new system. The level and complexity of the Communication Plan will be tailored to reflect the City's culture and size.

Vendor Contract Management

Schafer Consulting will review the contractor's submittals related to budget, schedule, and overall status. Our Project Manager will review scope requests, re-plan work, adjust schedule and baselines, participate in change control meetings, document and facilitate approval of changes, communicate to all stakeholders, and take corrective actions when appropriate. In addition, we will ensure that the vendor performance during implementation is satisfactory and in accordance with agreed upon terms and conditions. If requested, our Project Manager will also review vendor invoices against work performed and the project budget.

Summary

In summary, we will act as an extension of the City's project team and bridge any gaps that may exist between the vendor and the City. We will validate vendor requests, recommendations, change orders, reasons for project delays, etc. Specific tasks include:

- ✓ Work with selected vendor to resolve issues and problems in a timely manner.
- ✓ Recommend system decisions to the City's Project Management Team.
- ✓ Work closely with the City functional implementation teams. We will be participating in all phases of the project, including the design and construction phases when most of the configurations decisions are made. We will be able to utilize our extensive knowledge of the public sector to determine if decisions make sense and represent best practices for the City.

- ✓ Communicate in a consistent and effective manner, which will contribute to the success of the project by increasing awareness and understanding of the project and by building acceptance, support, involvement, and commitment. An important aspect of this communication will involve the selected software vendor.
- ✓ Monitor progress to ensure the project remains on schedule and within budget. Report deviations to the City's Project Management Team.

Evaluate the project's status and make recommendations to ensure that the [client's] vision is realized and the project is completed on time and within budget. We will advise the Executive Steering Committee and the Project Management Team on strategic issues and provide guidance to the Project Management Team and the functional team leaders

Task 12 – Implementation Look Back

We believe providing Quality Assurance services should be done throughout the project, rather than post implementation, as often time, it is too late or too costly to implement remedial solutions. We have been providing Quality Assurance (QA) work for most of our seventeen-year history, and we know how to make the quality assurance role effective. Our staff, through a long history as QA Consultants in various system implementations, has developed an acute sensitivity for the QA role.

A fundamental concept of our QA methodology is that expectations must be continually clarified and refined as the project progresses from inception to post implementation. Our QA process focuses on *analyzing the impact* of newly emerging details, as they unfold during the course of the implementation. This approach to QA goes way beyond the idea that QA is simply measuring conformance to standards or promoting a culture of doing things right.

Retrospective vs. Prospective Dimension of our Methodology

QA is sometimes a matter of evaluating how well a product or process meets its requirements or how suitable it is for its intended purpose. This is the "retrospective" dimension of a QA methodology. An item "passes" quality assurance when it is deemed to meet a stable set of well-defined expectations. This is a starting point for QA, but not the essence of our methodology.

Beyond the "retrospective" dimension of QA is a "projective" dimension. This comes into play when expectations are not stable (usually because new challenges are discovered late in the process) or when expectations were overly optimistic within the bounds of the project's resources and scope. Our QA methodology seeks to discern these issues as early as possible in the life of the project, and to set up a tracking mechanism to forecast possible impacts and monitor responses. "Projective" QA is not only a matter of analyzing events and evaluating their future impact, it is also a matter of communicating this thinking to key project team members as an early warning mechanism, and involving them in the discussion. This is much more than simply "passing" or "failing" quality assurance—it is proactively anticipating potential failures so that a "death march" can be averted.

Tools Used in Quality Assurance Consulting

Our QA methodology includes a library of checklists, but it is not a mechanized set of online forms. This is because each project has its own set of salient dynamics, and only a skilled, highly experienced analyst can discern this. The analyst, not the tools, must be in the forefront. Nonetheless, we do not approach QA with a blank slate. We have assembled a set of potential risks and questions that we use to guide our analysis and our assessment of uncertainties. These relate to:

- ✓ The technical system (scope, requirements, technical components, configuration, interfaces and integration, migration, testing, change control, acceptance, and handoffs)
- ✓ User activities and business processes (scope, procedures, roles, responsibilities, resources, training, transition planning, and organizational readiness)
- ✓ System support (scope, procedures, roles, responsibilities, resources, training, transition planning, and organizational readiness)
- ✓ The implementation project itself (phasing, roles, responsibilities, resources, training, development and test environments, schedule, cost, project team communication, stakeholder communication, coordination between projects, milestones, go/no-go criteria, fallback positions, and transition management)

Process Analysis and Review

We understand the need to view business processes from different perspectives:

- ✓ *The technical perspective* - What are the processing functions and business rules that the software needs to support?
- ✓ *The controller's perspective* - Will procedures be set up to maintain control over decentralized transaction processing, bringing them into a common data framework and producing auditable statements and projections?
- ✓ *The operation manager's perspective* - Will the new system accurately and thoroughly capture real-world information, and analyze operations to support decision-making?
- ✓ *The hands-on user's perspective* - What exact procedures are to be used in various day-to-day circumstances? How can the workflow be reliably coordinated from person to person?

We have been continually involved in assisting the public sector in assessing business processes with respect to regulatory requirements and best practices. However, we have found that all governments, small and large, have unique challenges that make it unrealistic either to rigidly adopt a standardized business process, or to customize software to automate every procedure.

We will utilize our wealth of experience and analytic prowess to provide our client with an insightful review of the proposed business processes and accounting framework.

Testing

IT testing is a discipline unto itself, a major component of quality assurance. Schafer Consulting analyzes system testing based on risk assessment. When a commercial off-the-shelf (COTS) solution is implemented, testing should focus on the greatest risks: configuration, customizations, interfaces, data conversion, and access controls. The fully released out-of-the-box solution typically has been proven outside of the particular implementation, and does not need to be tested as thoroughly as custom software, although this risk needs to be revalidated. Testing is a meticulous, detail-oriented activity. Our methodology for testing involves several steps:

First, we take inventory of available information regarding the software product's release history, previous implementations elsewhere, the installation's platform integration, functional requirements, gap-fit analysis, specifications for configuration and customization, and other specifications.

Second, we assess the technical risks most significant to the particular project at hand. We will weigh risks based on:

- ✓ The information assembled
- ✓ Our assessment of the thoroughness and reliability of that information
- ✓ The vendor's implementation methodology
- ✓ Our vast experience in other system implementations
- ✓ Stakeholder concerns and priorities

Third, we compare the project's test plans against the technical risk assessment, and determine the fit (identify the gaps).

Fourth, we compare test scripts to both (a) the test plan (b) the re-engineered business process including business rules, to ensure that the specific tests will cover the scope of the system to be tested, with an emphasis on the highest risks.

Fifth, we observe the testing process. This is not intended as an audit of the testing process, but to assist in the assessment of test results.

Sixth, we compare test results to test scripts, validate the findings, and reassess risks accordingly. We also render an opinion as to what conclusions should be drawn from test results, and what should be done in response.

- ✓ Technical components
- ✓ Integration and interfaces
- ✓ Project procurement management
- ✓ Training
- ✓ Data conversion

- ✓ Organizational readiness
- ✓ Project communications

A hallmark of our approach is communication. We focus thinking on the project risks and issues not just in our written reports, but also in our day-to-day conversations with the project team. Our consulting team has a proven track record of communicating to all parties involved in implementing systems for the public sector, including the ability to deal with "difficult news" with clarity and fairness.

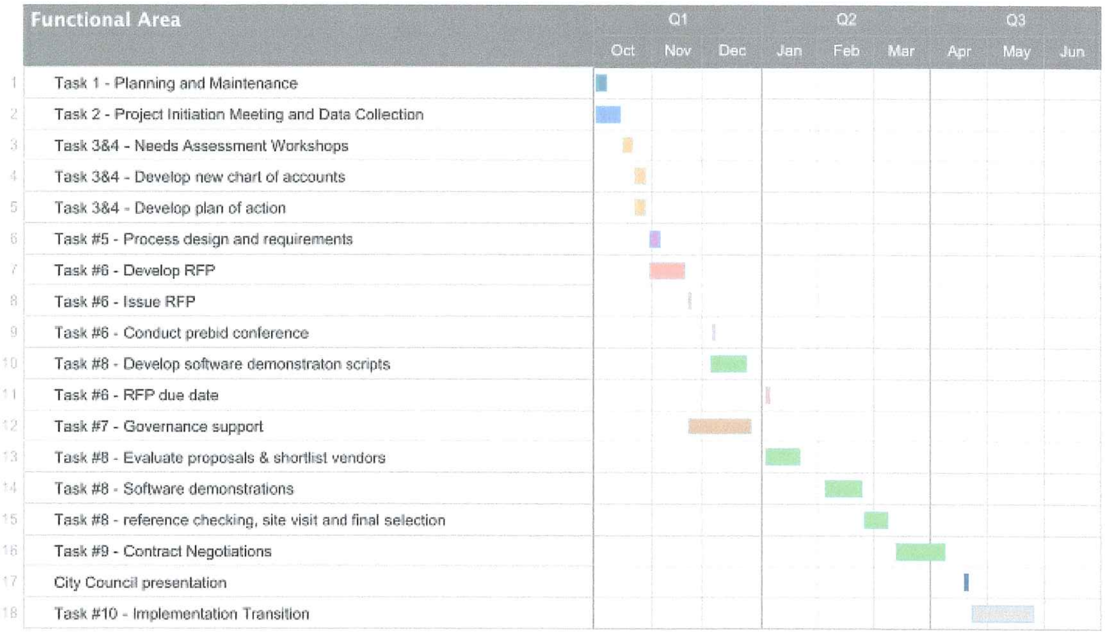
Change Management Implementation

Please refer to our write up on Change Management under Task 7, which includes the development of a formal Change Management Plan. This tasks includes the implementation of the plan throughout the project. The process is described in detail under Task 7.

GANTT CHART/PROJECT SCHEDULE

Gantt Chart / Project Schedule

Below, we provide a Gantt chart with our proposed project schedule, which is based on estimates from our prior project experiences.



PROPOSAL PRICING

Proposal Pricing

IX. PROPOSAL PRICING

ATTACHMENT B"
RFP NO. S-1198
(Consultant Services for ERP System)
PROPOSAL PRICING-Page 1 of 4

Proposal must include ALL costs and fees associated with providing the services. **Any fees, costs or charges that are not identified in this proposal will NOT be considered or paid by the CITY.**

Please DO NOT change/alter this page in any way! This page must be submitted with your proposal.

Proposals should break down the acquisition process into these steps, identify the process and deliverables for each step, and ultimately price these services "a-la-carte", with an understanding that the City may choose to perform a specific portion of the acquisition process with City Staff. All pricing should be on a fixed basis or hourly rate with a not-to-exceed cap. The City reserves the right to negotiate for additional services.

PRICING SHEET (SAMPLE)			
Task / Description Itemized by Staff Level	Estimated Hours by Task and Staff Position	Hourly Rate by Staff Position	Cost
Project Planning and Monitoring:			
Task 01: Project Planning and Management			
Staff Position Project Manager	12	$175	$2,100.00
Staff Position	4	$155	$ 620.00
Staff Position			
Task 02: Project Initiation Meeting and Data Collection			
Staff Position Project Manager	24	$175	$4,200.00
Staff Position	4	$155	$ 620.00
Staff Position			
Task 03: Business Process Analysis			

Staff Position Project Manager	12	$175	$2,100.00
Staff Position	56	$155	$8,680.00
Staff Position	32	$155	$4,960.00
ERP Needs Assessment:			
Task 04: Business Case Recommendations			
Staff Position Project Manager	12	$175	$2,100.00
Staff Position	24	$155	$3,720.00
Staff Position	40	$155	$6,200.00
Task 05: Process Design and Requirements			
Staff Position Project Manager	12	$175	$2,100.00
Staff Position	24	$155	$3,720.00
Staff Position	24	$155	$3,720.00
ERP Request for Proposal:			
Task 06: RFP Draft			
Staff Position Project Manager	40	$175	$7,000.00
Staff Position	8	$155	$1,240.00
Staff Position			
Task 07: Governance Support			
Staff Position Project Manager	4	$175	$ 700.00
Staff Position Change Management	40	$165	$6,600.00
Staff Position			
ERP System Selection			
Task 08: System Selection			
Staff Position Project Manager	50	$175	$ 8,750.00
Staff Position (Cost assumes shortlisting 3	150	$165	$24,750.00
Staff Position vendors each doing			
3 day demo)			
Task 09: Contract Negotiations			
Staff Position Project Manager			

Staff Position Contract Negotiator	50	$175	$8,750.00
Staff Position			
ERP Implementation			
Task 10: Implementation Transition			
Staff Position Project Manager	80	$175	$14,000.00
Staff Position			
Staff Position			
Task 11: Implementation Advisory Services			
Staff Position Project Manager	600	$175	$105,000.00
Staff Position	500	$155	$ 77,500.00
Staff Position	500	$155	$ 77,500.00
Task 12: Implementation Look Back(assumes QA for 12 months)			
Staff Position Project Manager	250	$175	$43,750.00
Staff Position			
Staff Position			
Total Cost Not to Exceed			$ $420,380.00
Note: Tasks 11 and 12 will be selected at the discretion of the City.			

Consultant must be able to provide all services requested. PARTIAL PRICING PROPOSALS WILL NOT BE ACCEPTED! ALL LINES ON THIS FORM MUST BE COMPLETED OR THE CITY RESERVES THE RIGHT TO DEEM THE PROPOSAL AS NON-RESPONSIVE.

NOTE: ATTACH ANY ADDITIONAL COSTS/FEES ASSOCIATED WITH THE SCOPE OF SERVICES (i.e. printing, travel, lodging, incidentals, etc.)

Please provide a cost break down of how additional costs are calculated, if applicable. You may attached additional pages if needed.

The undersigned hereby certifies that this Proposal is genuine and is not sham or collusive, or made in the interest or in behalf of any person not herein named, and that the undersigned has not directly or indirectly induced or solicited any other bidder to put in a sham bid, or any other person, firm or corporation to refrain from bidding, and that the undersigned has not in any manner sought, by collusion, to secure for himself an advantage over any other bidder.

Please check your calculations before submitting your Proposal; the City of Garden Grove will not be responsible for Proposer miscalculations and may deem your proposal as non-responsive

BY: ____________________ 949-388-4577

(Signature) Telephone Number

Nancy Schafer

(Type or Print Name)

President

(Title)

nschafer@schaferconsult.com

(Email Address)

COMPLETED FORMS

Completed W-9 Form

The undersigned will also deliver the necessary original Certificates of Insurance to the CITY prior to the commencement of Scope of Work. If services are authorized to commence prior to the execution of the Contract pursuant to a Notice to Proceed issued by the CITY, pending the execution of the Contract, the services shall be subject to the terms and conditions of the Scope of Work and the Contract.

Incorporated herein and made a part of this Proposal are the Response Data and Proposal Forms required by the Proposal Requirements.

The undersigned acknowledges receipt, understanding, and full consideration of the following Addenda to the RFP Documents:

Addenda No. 1, 2, 3, 4

Proposer represents that the following person is authorized to negotiate on its behalf with the CITY in connection with this RFP:

Nancy Schafer	President	949-388-4577
(Name)	(Title)	(Phone)

The undersigned certifies that it has examined and is fully familiar with all of the provisions of the RFP Documents and is satisfied that they are accurate; that it has carefully checked all the words and figures and all statements made in the Proposal Requirements; that it has satisfied itself with respect to other matters pertaining to the proposal which in any way affect the Work or the cost thereof. The undersigned hereby agrees that the CITY will not be responsible for any errors or omissions in these RFP Documents.

BY: ______________________
(Signature)

Nancy Schafer
(Type or Print Name)

President
(Title)

nschafer@schaferconsult.com
(Email Address)

Proposer's Business Address
and Telephone/Fax Numbers:

24681 La Plaza, Suite 240
Dana Point, CA 92629
949-388-4577

BIDDER/CONTRACTOR STATEMENT
REGARDING INSURANCE COVERAGE
(Submit with IFB/RFP Package)

This signed document must be included with your bid package in order for your bid/proposal to be considered complete!

BIDDER/CONTRACTOR HEREBY CERTIFIES that he/she has reviewed and understands the insurance coverage requirements specified in the attached Insurance Requirements Checklist.

Should we/I be awarded the contract, we/I certify that we/I can meet the specified requirements for insurance, including insurance coverage of the subcontractors, and agree to name the **City/Successor Agency/Sanitary District** and other additional insureds as per the agreement for the work specified and we/I will comply with the provisions of Section 3700 of the Labor Code, which require every employer to be insured against liability for worker's compensation or to undertake self-insurance in accordance with the provisions of that code, before commencing the performance of the work specified.

Schafer Consulting

Please Print (Person, Firm, or Corporation)

Signature of Authorized Representative

Nancy Schafer, President

Please Print (Name & Title of Authorized Representative)

8/17/16	949-388-4577	nschafer@schaferconsult.com
Date	Phone Number	Email

Insurance Certificates and Endorsements will also be accepted via email and must be emailed to the following email address only: sandras@garden-grove.org. This is the preferred and quickest method of submitting insurance certificates and endorsements.

Insurance Certificates and Endorsements can also be mailed to: City of Garden Grove
Attention: Sandra Segawa
Purchasing Division
11222 Acacia Parkway
Garden Grove, CA 92840

NOTE: All insurance certificates and endorsements must be received by the City of Garden Grove Purchasing Division within ten (10) City working days of the original request or the City reserves the right to proceed with the next lowest responsible bidder or the next highest scoring proposer in the process

Form **W-9** (Rev. December 2014) Department of the Treasury Internal Revenue Service

Request for Taxpayer Identification Number and Certification

Give Form to the requester. Do not send to the IRS.

Print or type. See Specific Instructions on page 2.

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.

Schafer Consulting, Inc.

2 Business name/disregarded entity name, if different from above

3 Check appropriate box for federal tax classification; check only **one** of the following seven boxes:

☐ Individual/sole proprietor or single-member LLC ☐ C Corporation ☑ S Corporation ☐ Partnership ☐ Trust/estate

☐ Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶

Note. For a single-member LLC that is disregarded, do not check LLC; check the appropriate box in the line above for the tax classification of the single-member owner.

☐ Other (see instructions) ▶

4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):

Exempt payee code (if any)

Exemption from FATCA reporting code (if any)

(Applies to accounts maintained outside the U.S.)

5 Address (number, street, and apt. or suite no.)

24681 La Plaza, Suite 240

6 City, state, and ZIP code

Dana Point, CA 92629

Requester's name and address (optional)

7 List account number(s) here (optional)

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Note. If the account is in more than one name, see the instructions for line 1 and the chart on page 4 for guidelines on whose number to enter.

Social security number

☐☐☐ – ☐☐ – ☐☐☐☐

or

Employer identification number

4 0 – 0 0 0 0 1 7 7

Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
3. I am a U.S. citizen or other U.S. person (defined below); and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.

Sign Here **Signature of U.S. person ▶** **Date ▶** 8/17/16

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at *www.irs.gov/fw9*.

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following:

- Form 1099-INT (interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding? on page 2.

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),

2. Certify that you are not subject to backup withholding, or

3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and

4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting?* on page 2 for further information.