

SERIAL 13123 RFP TREASURER'S INFORMATION SYSTEM (TIS) CONSULTANT

DATE OF LAST REVISION: June 08, 2016

CONTRACT END DATE: February 28, 2020

CONTRACT PERIOD THROUGH FEBRUARY 28, ~~2017~~ 2020

TO: All Departments

FROM: Office of Procurement Services

SUBJECT: Contract for **TREASURER'S INFORMATION SYSTEM (TIS) CONSULTANT**

Attached to this letter is published an effective purchasing contract for products and/or services to be supplied to Maricopa County activities as awarded by Maricopa County on **February 26, 2014**.

All purchases of products and/or services listed on the attached pages of this letter are to be obtained from the vendor holding the contract. Individuals are responsible to the vendor for purchases made outside of contracts. The contract period is indicated above.

Wes Baysinger, Chief Procurement Officer
Office of Procurement Services

BW/at
Attach

Copy to: Office of Procurement Services
Claudia Avalos, Treasurer Office



CONTRACT PURSUANT TO RFP

SERIAL 13123-RFP

This Contract is entered into this 26th day of February, 2014 by and between Maricopa County ("County"), a political subdivision of the State of Arizona, and Grant Thornton, a Virginia corporation ("Contractor" or "Consultant") for the purchase of a Treasurer Information System (TIS) Consultant.

1.0 CONTRACT TERM:

- 1.1 This Contract is for a term of three (3) years, beginning on the 26th day of February, 2014 and ending the 28th day of February, ~~2017~~ 2020.
- 1.2 The County may, at its option and with the agreement of the Contractor, renew the term of this Contract for additional terms up to a maximum of five (5) years, or other specified length options, (or at the County's sole discretion, extend the contract on a month-to-month basis for a maximum of six (6) months after expiration). The County shall notify the Contractor in writing of its intent to extend the Contract term at least thirty (30) calendar days prior to the expiration of the original contract term, or any additional term thereafter.

2.0 FEE ADJUSTMENTS:

Any request for a fee adjustment must be submitted sixty (60) days prior to the current Contract expiration date. Requests for adjustment in cost of labor and/or materials must be supported by appropriate documentation. If County agrees to the adjusted fee, County shall issue written approval of the change. The reasonableness of the request will be determined by comparing the request with the (Consumer Price Index) or by performing a market survey.

3.0 PAYMENTS:

- 3.1 As consideration for performance of the duties described herein, County shall pay Contractor the sum(s) stated in Exhibit "A."
 - 3.1.1 Payment shall be based upon agreed upon deliverables and successful completion in accordance with the written specifications and terms of this Contract or modifications.
 - 3.1.2 The Respondent shall submit one (1) legible copy of their detailed invoice before payment(s) can be made. At a minimum, the invoice must provide the following information:
 - Company name, address and contact
 - County bill-to name and contact information
 - Contract Serial Number
 - County purchase order number
 - Invoice number and date
 - Payment terms
 - Date of services
 - Description of Purchase (services)

- Pricing per deliverable
- Total Amount Due

3.1.3 Problems regarding billing or invoicing shall be directed to the County as listed on the Purchase Order.

3.1.4 Payment shall be made to the Contractor by Accounts Payable through the Maricopa County Vendor Express Payment Program. This is an Electronic Funds Transfer (EFT) process. After Award the Contractor shall fill out an EFT Enrollment form located on the County Department of Finance Website as a fillable PDF document (<http://www.maricopa.gov/Finance/Vendors.aspx>)

3.1.5 EFT payments to the routing and account numbers designated by the Contractor will include the details on the specific invoices that the payment covers. The Contractor is required to discuss remittance delivery capabilities with their designated financial institution for access to those details.

4.0 AVAILABILITY OF FUNDS:

4.1 The provisions of this Contract relating to payment for services shall become effective when funds assigned for the purpose of compensating the Contractor as herein provided are actually available to County for disbursement. The County shall be the sole judge and authority in determining the availability of funds under this Contract. County shall keep the Contractor fully informed as to the availability of funds.

4.2 If any action is taken by any state agency, Federal department or any other agency or instrumentality to suspend, decrease, or terminate its fiscal obligations under, or in connection with, this Contract, County may amend, suspend, decrease, or terminate its obligations under, or in connection with, this Contract. In the event of termination, County shall be liable for payment only for services rendered prior to the effective date of the termination, provided that such services are performed in accordance with the provisions of this Contract. County shall give written notice of the effective date of any suspension, amendment, or termination under this Section, at least ten (10) days in advance.

5.0 DUTIES:

5.1 The Contractor shall perform all duties stated in Exhibit "B", or as otherwise directed in writing by the Procurement Officer.

5.2 During the Contract term, County may provide Contractor's personnel with adequate workspace for consultants and such other related facilities as may be required by Contractor to carry out its contractual obligations.

6.0 TERMS and CONDITIONS:

6.1 INDEMNIFICATION/LIMITATION OF LIABILITY:

6.1.1 To the fullest extent permitted by law, Contractor shall defend, indemnify, and hold harmless County, its agents, representatives, officers, directors, officials, and employees from and against all claims, damages, losses and expenses, including, but not limited to, reasonable attorney fees, court costs, expert witness fees, and the cost of appellate proceedings, relating to, arising out of, or alleged to have resulted from the negligent acts, errors, omissions, mistakes or malfeasance relating to the performance of this Contract that results in bodily injury, property damage or infringement of a third party's intellectual property rights. Contractor's duty to defend, indemnify and hold harmless County, its agents, representatives, officers, directors, officials, and employees shall arise in connection with any claim, damage, loss or expense that is caused by any negligent acts, errors, omissions or mistakes in the performance of this Contract by the Contractor, as well as any person or entity for whose acts, errors, omissions, mistakes or malfeasance

Contractor may be legally liable that results in bodily injury, property damage or infringement of a third party's intellectual property rights.

6.1.2 The amount and type of insurance coverage requirements set forth herein will in no way be construed as limiting the scope of the indemnity in this paragraph.

6.1.3 The scope of this indemnification does not extend to the negligence of County.

6.2 INSURANCE REQUIREMENTS:

6.2.1 Contractor, at Contactor's own expense, shall purchase and maintain the herein stipulated minimum insurance from a company or companies duly licensed by the State of Arizona and possessing a current A.M. Best, Inc. rating of B++. In lieu of State of Arizona licensing, the stipulated insurance may be purchased from a company or companies, which are authorized to do business in the State of Arizona, provided that said insurance companies meet the approval of County. The form of any insurance policies and forms must be acceptable to County.

6.2.2 All insurance required herein shall be maintained in full force and effect until all work or service required to be performed under the terms of the Contract is satisfactorily completed and formally accepted. Failure to do so may, at the sole discretion of County, constitute a material breach of this Contract.

6.2.3 Contractor's insurance, except workers compensation shall be primary insurance as respects County, and any insurance or self-insurance maintained by County shall not contribute to it.

6.2.4 The insurance policies may provide coverage that contains deductibles or self-insured retentions. Such deductible and/or self-insured retentions shall not be applicable with respect to the coverage provided to County under such policies. Contactor shall be solely responsible for the deductible and/or self-insured retention and County, at its option, may require Contractor to secure payment of such deductibles or self-insured retentions by a surety bond or an irrevocable and unconditional letter of credit.

6.2.5 County reserves the right to request and to receive, within 10 working days, certified copies of any or all of the herein required insurance certificates.

6.2.6 The insurance policies required by this Contract, except Workers' Compensation, shall name County, its agents, representatives, officers, directors, officials and employees as Additional Insured or provide for blanket additional insured coverage.

6.2.7 The policies required hereunder, except Workers' Compensation, shall contain a blanket waiver of transfer of rights of recovery (subrogation) against County, its agents, representatives, officers, directors, officials and employees for any claims arising out of Contractor's work or service.

6.2.8 Commercial General Liability.

Commercial General Liability insurance and, if necessary, Commercial Umbrella insurance with a limit of not less than \$1,000,000 for each occurrence (with an additional \$1,000,000 provided in an umbrella policy), \$2,000,000 Products/Completed Operations Aggregate, and \$2,000,000 General Aggregate Limit (with an additional \$2,000,000 provided in an umbrella policy).. The policy shall include coverage for bodily injury, broad form property damage, personal injury, products and completed operations and blanket contractual coverage, and shall not contain any provision which would serve to limit third party action over claims. There shall be no endorsement or modification of the CGL limiting the scope of coverage for liability arising from explosion, collapse, or underground property damage.

6.2.9 Automobile Liability.

Commercial/Business Automobile Liability insurance and, if necessary, Commercial Umbrella insurance with a combined single limit for bodily injury and property damage of not less than \$1,000,000 each occurrence (with an additional \$1,000,000 provided in an umbrella coverage) with respect to any of the Contractor's owned, hired, and non-owned vehicles assigned to or used in performance of the Contractor's work or services under this Contract.

6.2.10 Workers' Compensation.

6.2.10.1 Workers' Compensation insurance to cover obligations imposed by federal and state statutes having jurisdiction of Contractor's employees engaged in the performance of the work or services under this Contract; and Employer's Liability insurance of not less than \$1,000,000 for each accident, \$1,000,000 disease for each employee, and \$1,000,000 disease policy limit.

6.2.10.2 Contractor waives all rights against County and its agents, officers, directors and employees for recovery of damages to the extent these damages are covered by the Workers' Compensation and Employer's Liability or commercial umbrella liability insurance obtained by Contractor pursuant to this Contract.

6.2.11 Certificates of Insurance.

6.2.11.1 Prior to commencing work or services under this Contract, Contractor shall furnish the County with certificates of insurance, or formal endorsements as required by the Contract in the form provided by the County, issued by Contractor's insurer(s), as evidence that policies providing the required coverage, conditions and limits required by this Contract are in full force and effect. Such certificates shall identify this contract number and title. Such certificates shall be made available to the County upon request within ten (10) business days. **BY SIGNING THE AGREEMENT PAGE THE CONTRACTOR AGREES TO THIS REQUIREMENT AND FAILURE TO MEET THIS REQUIREMENT WILL RESULT IN CANCELLATION OF CONTRACT.**

6.2.11.1.1 In the event any insurance policy (ies) required by this Contract is (are) written on a "claims made" basis, coverage shall extend for two (2) years past completion and acceptance of Contractor's work or services and as evidenced by annual Certificates of Insurance.

6.2.11.1.2 If a policy does expire during the life of the Contract, Contractor will endeavor to send a renewal certificate to County fifteen (15) days prior to the expiration date or as soon as possible upon renewal.

6.2.12 Cancellation and Expiration Notice.

Contractor shall endeavor to provide that insurance required herein shall not be permitted to expire, be canceled changed without thirty (30) days prior written notice to the County.

6.3 WARRANTY OF SERVICES:

6.3.1 The Contractor warrants that all services provided hereunder will conform to the requirements of the Contract, including all descriptions, specifications and attachments made a part of this Contract. County's acceptance of services or goods provided by the Contractor shall not relieve the Contractor from its obligations under this warranty.

6.3.2 In addition to its other remedies, County may, at the Contractor's expense, require prompt correction of any services failing to meet the Contractor's warranty herein. Services

corrected by the Contractor shall be subject to all the provisions of this Contract in the manner and to the same extent as services originally furnished hereunder. This warranty is in lieu of, and we expressly disclaim, all other warranties, express, implied or otherwise, including without limitation any implied warranties of merchantability or fitness for a particular purpose. Contractor does not warrant computer hardware, software or services provided by other parties.

6.4 INSPECTION OF SERVICES:

6.4.1 The Contractor shall provide and maintain an inspection system acceptable to County covering the fee and expenses for services under this Contract. Complete records of all inspection work performed by the Contractor shall be maintained and made available to County during contract performance and for as long afterwards as the Contract requires.

6.4.2 County has the right to inspect and test all services called for by the Contract, to the extent practicable at all times and places during the term of the Contract. County shall perform inspections and tests in a manner that will not unduly delay the work.

6.4.3 If any of the services do not conform with Contract requirements, County may require the Contractor to perform the services again in conformity with Contract requirements, at no increase in Contract amount. When the defects in services cannot be corrected by re-performance, County may:

6.4.3.1 Require the Contractor to take necessary action to ensure that future performance conforms to Contract requirements; and

6.4.3.2 Reduce the Contract price to reflect the reduced value of the services performed and as fair to both parties.

6.4.4 If the Contractor fails to promptly perform the services again or to take the necessary action to ensure future performance in conformity with Contract requirements, County may:

6.4.4.1 By Contract or otherwise, perform the services and charge to the Contractor any cost incurred by County that is directly related to the performance of such service; or

6.4.4.2 Terminate the Contract for default.

6.5 NOTICES:

All notices given pursuant to the terms of this Contract shall be addressed to:

For County:

Maricopa County
Office of Procurement Services
Attn: Chief Procurement Officer
320 West Lincoln Street
Phoenix, Arizona 85003-2494

For Contractor:

Grant Thornton LLP
333 John Carlyle Street
Suite 500
Alexandria, VI 22314

6.6 LANGUAGE FOR REQUIREMENTS CONTRACTS:

Contractors signify their understanding and agreement by signing a bid submittal, that the Contract resulting from the bid will be a requirements contract. However, the Contract does not guarantee any purchases will be made. It only indicates that if purchases are made for the materials contained in the Contract, they will be purchased from the Contractor awarded that item. Orders will only be placed when the County identifies a need and proper authorization and documentation have been approved.

County reserves the right to cancel Purchase Orders within a reasonable period of time after issuance. Should a Purchase Order be canceled, the County agrees to reimburse the Contractor but only for actual and documentable costs incurred by the Contractor due to and after issuance of the Purchase Order. The County will not reimburse the Contractor for any costs incurred after receipt of County notice of cancellation, or for lost profits, shipment of product prior to issuance of Purchase Order, etc.

Contractors agree to accept verbal notification of cancellation from the County Procurement Officer with written notification to follow. By submitting a bid in response to this Invitation for Bids, the Contractor specifically acknowledges to be bound by this cancellation policy.

6.7 UNCONDITIONAL TERMINATION FOR CONVENIENCE:

Maricopa County may terminate the resultant Contract for convenience by providing sixty (60) calendar days advance notice to the Contractor.

6.8 TERMINATION FOR DEFAULT:

If the Contractor fails to meet deadlines, or fails to provide the agreed upon service/material altogether, a termination for default will be issued. The termination for default will be issued only after the County deems that the Contractor has failed to remedy the problem after being forewarned.

6.9 TERMINATION BY THE COUNTY:

If the Contractor should be adjudged bankrupt or should make a general assignment for the benefit of its creditors, or if a receiver should be appointed on account of its insolvency, the County may terminate the Contract. If the Contractor should persistently or repeatedly refuse or should fail, except in cases for which extension of time is provided, to provide enough properly skilled workers or proper materials, or persistently disregard laws and ordinances, or not proceed with work or otherwise be guilty of a substantial violation of any provision of this Contract, then the County may terminate the Contract. Prior to termination of the Contract, the County shall give the Contractor fifteen- (15) calendar day's written notice. Upon receipt of such termination notice, the Contractor shall be allowed fifteen (15) calendar days to cure such deficiencies.

6.10 STATUTORY RIGHT OF CANCELLATION FOR CONFLICT OF INTEREST:

Notice is given that pursuant to A.R.S. §38-511 the County may cancel this Contract without penalty or further obligation within three years after execution of the contract, if any person significantly involved in initiating, negotiating, securing, drafting or creating the contract on behalf of the County is at any time while the Contract or any extension of the Contract is in effect, an employee or agent of any other party to the Contract in any capacity or consultant to any other party of the Contract with respect to the subject matter of the Contract. Additionally, pursuant to A.R.S §38-511 the County may recoup any fee or commission paid or due to any person significantly involved in initiating, negotiating, securing, drafting or creating the contract on behalf of the County from any other party to the contract arising as the result of the Contract.

6.11 OFFSET FOR DAMAGES:

In addition to all other remedies at law or equity, the County may offset from any money due to the Contractor any amounts Contractor owes to the County for damages resulting from breach or deficiencies in performance under this contract.

6.12 ADDITIONS/DELETIONS OF SERVICE:

The County reserves the right to add and/or delete services to a Contract. If a service requirement is deleted, payment to the Contractor will be reduced proportionately to the amount of service reduced in accordance with the proposal price. If additional services are required from this Contract, prices for such additions will be negotiated between the Contractor and the County.

6.13 RELATIONSHIPS:

In the performance of the services described herein, the Contractor shall act solely as an independent contractor, and nothing here in or implied herein shall at any time be construed as to create the relationship of employer and employee, partnership, principal and agent, or joint venture between the District and the Contractor.

6.14 SUBCONTRACTING:

The Contractor may not assign this Contract or subcontract to another party for performance of the terms and conditions hereof without the written consent of the County, which shall not be unreasonably withheld. All correspondence authorizing subcontracting must reference the Proposal Serial Number and identify the job project.

6.15 AMENDMENTS:

All amendments to this Contract shall be in writing and approved/signed by both parties. Maricopa County Materials Management shall be responsible for approving all amendments for Maricopa County.

6.16 ACCESS TO AND RETENTION OF RECORDS FOR THE PURPOSE OF AUDIT AND/OR OTHER REVIEW:

6.16.1 In accordance with section MCI 367 of the Maricopa County Procurement Code the Contractor agrees to retain all books, records, accounts, statements, reports, files, and other records and back-up documentation relevant to this Contract's fees and expenses for six (6) years after final payment or until after the resolution of any audit questions which could be more than six (6) years, whichever is latest. The County, Federal or State auditors and any other persons duly authorized by the Department shall have full access to, and the right to examine, copy and make use of, any and all said materials.

6.16.2 If the Contractor's books, records, accounts, statements, reports, files, and other records and back-up documentation relevant to this Contract are not sufficient to support and document that requested services were provided, the Contractor shall reimburse Maricopa County for the services not so adequately supported and documented.

6.16.3 If at any time it is determined by the County that a cost for which payment has been made is a disallowed cost, the County shall notify the Contractor in writing of the disallowance. The course of action to address the disallowance shall be at sole discretion of the County, and may include either an adjustment to future claim submitted by the Contractor by the amount of the disallowance, or to require reimbursement forthwith of the disallowed amount by the Contractor by issuing a check payable to Maricopa County.

6.17 PUBLIC RECORDS:

All Offers submitted and opened are public records and must be retained by the Records Manager at the Office of Procurement Services. Offers shall be open to public inspection after Contract award and execution, except for such Offers deemed to be confidential by the Office of Procurement Services. If an Offeror believes that information in its Offer should remain confidential, it shall indicate as confidential, the specific information and submit a statement with its offer detailing the reasons that the information should not be disclosed. Such reasons shall include the specific harm or prejudice which may arise. The Records Manager of the Office of Procurement Services shall determine whether the identified information is confidential pursuant to the Maricopa County Procurement Code.

6.18 AUDIT DISALLOWANCES:

If at any time, County determines that a cost for which payment has been made is a disallowed cost, such as overpayment, County shall notify the Contractor in writing of the disallowance. County shall also state the means of correction, which may be but shall not be limited to adjustment of any future claim submitted by the Contractor by the amount of the disallowance, or to require repayment of the disallowed amount by the Contractor.

6.19 SEVERABILITY:

The invalidity, in whole or in part, of any provision of this Contract shall not void or affect the validity of any other provision of this Contract.

6.20 RIGHTS IN DATA:

The County shall own have the use of all data and reports resulting from this Contract without additional cost or other restriction except as provided by law. Each party shall supply to the other party, upon request, any available information that is relevant to this Contract and to the performance hereunder.

As part of this Agreement, Contractor will be providing County with licensed use of Contractor's commercial software. No rights to the software or related materials provided are transferred to the County. All rights to the software remain the domain of the Contractor. Further, all products, drawings, materials, recordings, software and other materials licensed and/or provided by Contractor under this Agreement are part of the commercial offering of the Contractor and remain the property of the Contractor. No rights or ownership is transferred to the County.

6.21 INTEGRATION:

This Contract represents the entire and integrated agreement between the parties and supersedes all prior negotiations, proposals, communications, understandings, representations, or agreements, whether oral or written, express or implied.

6.22 VERIFICATION REGARDING COMPLIANCE WITH ARIZONA REVISED STATUTES §41-4401 AND FEDERAL IMMIGRATION LAWS AND REGULATIONS:

6.22.1 By entering into the Contract, the Contractor warrants compliance with the Immigration and Nationality Act (INA using e-verify) and all other federal immigration laws and regulations related to the immigration status of its employees and A.R.S. §23-214(A). The contractor shall obtain statements from its subcontractors certifying compliance and shall furnish the statements to the Procurement Officer upon request. These warranties shall remain in effect through the term of the Contract. The Contractor and its subcontractors shall also maintain Employment Eligibility Verification forms (I-9) as required by the Immigration Reform and Control Act of 1986, as amended from time to time, for all employees performing work under the Contract and verify employee compliance using the E-verify system and shall keep a record of the verification for the duration of the

employee's employment or at least three years, whichever is longer. I-9 forms are available for download at USCIS.GOV.

- 6.22.2 The County retains the legal right to inspect contractor and subcontractor employee documents performing work under this Contract to verify compliance with paragraph 6.22.1 of this Section. Contractor and subcontractor shall be given reasonable notice of the County's intent to inspect and shall make the documents available at the time and date specified. Should the County suspect or find that the Contractor or any of its subcontractors are not in compliance, the County will consider this a material breach of the contract and may pursue any and all remedies allowed by law, including, but not limited to: suspension of work, termination of the Contract for default, and suspension and/or debarment of the Contractor. All costs necessary to verify compliance are the responsibility of the Contractor.

6.23 **CONTRACTOR LICENSE REQUIREMENT:**

- 6.23.1 The Respondent shall procure all permits, insurance, licenses and pay the charges and fees necessary and incidental to the lawful conduct of his/her business, and as necessary complete any required certification requirements, required by any and all governmental or non-governmental entities as mandated to maintain compliance with and in good standing for all permits and/or licenses. The Respondent shall keep fully informed of existing and future trade or industry requirements, Federal, State and Local laws, ordinances, and regulations which in any manner affect the fulfillment of a Contract and shall comply with the same. Contractor shall immediately notify both Materials Management and the using agency of any and all changes concerning permits, insurance or licenses.

- 6.23.2 Respondents furnishing finished products, materials or articles of merchandise that will require installation or attachment as part of the Contract, shall possess any licenses required. A Respondent is not relieved of its obligation to possess the required licenses by subcontracting of the labor portion of the Contract. Respondents are advised to contact the Arizona Registrar of Contractors, Chief of Licensing, at (602) 542-1525 to ascertain licensing requirements for a particular contract. Respondents shall identify which license(s), if any, the Registrar of Contractors requires for performance of the Contract.

6.24 **CERTIFICATION REGARDING DEBARMENT AND SUSPENSION**

- 6.24.1 The undersigned (authorized official signing for the Contractor) certifies to the best of his or her knowledge and belief, that the Contractor, defined as the primary participant in accordance with 45 CFR Part 76, and its principals:

6.24.1.1 are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal Department or agency;

6.24.1.2 have not within 3-year period preceding this Contract been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

6.24.1.3 are not presently indicted or otherwise criminally or civilly charged by a government entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (2) of this certification; and

6.24.1.4 have not within a 3-year period preceding this Contract had one or more public transaction (Federal, State or local) terminated for cause of default.

6.24.2 Should the Contractor not be able to provide this certification, an explanation as to why should be attached to the Contact.

6.24.3 The Contractor agrees to include, without modification, this clause in all lower tier covered transactions (i.e. transactions with subcontractors) and in all solicitations for lower tier covered transactions related to this Contract.

6.25 **PRICES:**

Contractor warrants that prices extended to County under this Contract are no higher than those paid by any other government customer in Arizona for these or similar services.

6.26 **GOVERNING LAW:**

This Contract shall be governed by the laws of the state of Arizona. Venue for any actions or lawsuits involving this Contract will be in Maricopa County Superior Court or in the United States District Court for the District of Arizona, sitting in Phoenix, Arizona.

6.27 **INFLUENCE**

As prescribed in MC1-1202 of the Maricopa County Procurement Code, any effort to influence an employee or agent to breach the Maricopa County Ethical Code of Conduct or any ethical conduct, may be grounds for Disbarment or Suspension under MC1-902.

An attempt to influence includes, but is not limited to:

6.27.1 A Person offering or providing a gratuity, gift, tip, present, donation, money, entertainment or educational passes or tickets, or any type valuable contribution or subsidy,

6.27.2 That is offered or given with the intent to influence a decision, obtain a contract, garner favorable treatment, or gain favorable consideration of any kind.

If a Person attempts to influence any employee or agent of Maricopa County, the Chief Procurement Officer, or his designee, reserves the right to seek any remedy provided by the Maricopa County Procurement Code, any remedy in equity or in the law, or any remedy provided by this contract.

6.28 **ORDER OF PRECEDENCE:**

In the event of a conflict in the provisions of this Contract and Contractor's license agreement, if applicable, the terms of this Contract shall prevail.

6.29 **INCORPORATION OF DOCUMENTS:**

The following are to be attached to and made part of this Contract:

6.29.1 Exhibit A, Pricing;

6.29.2 Exhibit B, Scope of Work;

6.29.3 Exhibit C, Office of Procurement Services Contractor Travel and Per Diem Policy; and

6.29.4 Exhibit D, Proposed Work Breakdown ~~Schedule~~ **Structure**

IN WITNESS WHEREOF, this Contract is executed on the date set forth above.

CONTRACTOR:



AUTHORIZED SIGNATURE

Scott King, Principal

PRINTED NAME AND TITLE

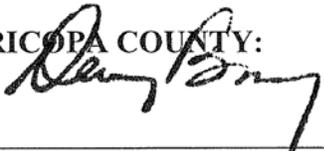
333 John Carlyle St. Suite 500 Alexandria VA 22314

ADDRESS

2/19/2014

DATE

MARICOPA COUNTY:



CHAIRMAN, BOARD OF SUPERVISORS

FEB 26 2014

DATE

ATTESTED:

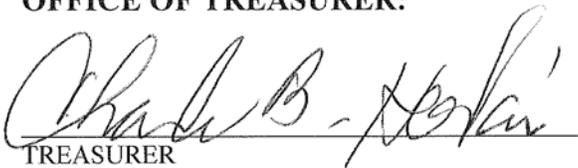


CLERK OF THE BOARD

FEB 26 2014

DATE

OFFICE OF TREASURER:



TREASURER

2.21.14

DATE

APPROVED AS TO FORM:



LEGAL COUNSEL

Feb 24 2014

DATE

EXHIBIT A
PRICING

Replace

SERIAL: 13123 RFP

NIGP CODE: 91829

COMPANY NAME: Grant Thornton LLP

DOING BUSINESS AS (DBA) NAME: -N/A-

MAILING ADDRESS: 333 John Carlyle St,
Alexandria VA 22314

REMIT TO ADDRESS: Grant Thornton LLP
-PO Box 71352, Chicago IL 60694 1352-

TELEPHONE NUMBER: 703 837 4468

FACSIMILE NUMBER: 703 837 4455

WEB SITE: www.grantthornton.com

REPRESENTATIVE NAME: Scott King

REPRESENTATIVE PHONE NUMBER: 210 881 1802

REPRESENTATIVE E-MAIL: Scott.King2@us.gt.com or Karin.Whitwood@us.gt.com

	YES	NO	REBATE
WILL ACCEPT PROCUREMENT CARD FOR PAYMENT:	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

PAYMENT TERMS:

~~—[x]— NET 30 DAYS~~

Pricing

~~Firm fixed pricing for each phase to include all work delineated herein.~~

~~PHASE 2: Solution Options and Verification \$218,743.44~~

~~PHASE 3: Solution Funding, Procurement, and Selection \$212,897.45~~

~~NTE PROPOSAL TOTAL: \$431,640.88~~

~~PHASE 2 and 3 Travel: \$64,746.13~~

~~PHASE 4: Data Analysis and Preparation —\$488,573.19~~

~~PHASE 4 Travel _____ \$42,840.00~~

~~This pricing proposal assumes that actual travel expenses would be invoiced as incurred per County travel policy (Exhibit C).~~

Cost Breakout

Phase II Hours and Cost				
Name	Role	Rate	Hours	Total
Graeme Finley	Engagement Director	\$183.71	120	\$22,044.66
Fred Blanton	Project Manager	\$183.71	380	\$69,808.09
Jan Rogers	Deputy Project Manager	\$170.00	120	\$20,400.00
John McDermott	Business Lead	\$149.09	380	\$56,653.63
Steve Koehler	Technical Lead	\$150.00	320	\$48,000.00
Anthony Hernandez	Subject Matter Expert	\$183.71	10	\$1,837.06
				\$218,743.44

Phase III Hours and Cost				
Name	Role	Rate	Hours	Total
Graeme Finley	Engagement Director	\$183.71	96	\$17,635.73
Fred Blanton	Project Manager	\$183.71	380	\$69,808.09
Jan Rogers	Deputy Project Manager	\$170.00	140	\$23,800.00
John McDermott	Business Lead	\$149.09	380	\$56,653.63
Steve Koehler	Technical Lead	\$150.00	300	\$45,000.00
				\$212,897.45

Phase IV Data Analysis Hours and Cost				
Name	Role	Rate	Hours	Total
Graeme Finley	Engagement Director	\$183.71	232	\$42,693.16
Ravindra Gupta	Quality Assurance	\$183.71	80	\$14,696.44
Greg Haberer	Project Manager	\$183.71	872	\$160,099.34
Jordan Adams	Junior Data Analyst	\$95.00	930	\$88,312.00
John McDermott	Business Lead	\$149.09	349	\$51,972.25
Scott Junker	Technical Data Analyst	\$150.00	872	\$130,800.00
				\$488,573.19

Phase IV Hourly Rate		
Name	Role	Rate
Graeme Finley	Engagement Director	\$183.71
Fred Blanton	Project Manager	\$183.71
Jan Rogers	Deputy Project Manager	\$170.00
John McDermott	Business Lead	\$149.09
Steve Koehler	Technical Lead	\$150.00
Scott Junker	Technical Data Analyst	\$150.00
Greg Haberer	Business Analyst	\$144.59
Jordan Adams	Junior Data Analyst	\$95.00

Price per Deliverable by Phase

Phase	Deliverable	Price
II	Project Plan	\$10,937.17
II	Preliminary Acquisition Recommendations Report	\$87,497.37
II	Final Acquisition Recommendations Report	\$43,748.69
II	Revised RFP	\$76,560.20
	Subtotal	\$218,743.44
III	Source Selection Plan	\$21,289.74
III	Pre-Proposal Conference Meeting Response Recommendations	\$6,386.92
III	Q&A Response Reviews and Recommendations	\$14,902.82
III	Proposal Reviews and Non-Bidding Recommendations on Short List Solution Providers	\$42,579.49
III	Short List Solution Providers Demonstration Recommendations	\$21,289.74
III	Review and Non-Binding Recommendations on Short List Solution Providers' Fit-Gap Documentation	\$21,289.74
III	Final Strategic Plan	\$10,644.87

SERIAL 13123-RFP

III	Final Resource and Organization Plan	\$10,644.87
III	Final Data and Integration Plans	\$10,644.87
III	Final Technology Roadmap	\$10,644.87
III	Contract Review, Negotiation Assistance, and Non-Binding Recommendations	\$21,289.74
III	Audit and Protest Support Documentation	\$6,386.92
III	Final Award Package, Budget Request Proposals, and Presentations	\$14,902.82
	Subtotal	\$212,897.45
IV	List of data sources	\$24,428.66
IV	List of in-scope data attributes	\$48,857.32
IV	Business rules associated with in-scope attributes	\$48,857.32
IV	Preliminary Data Analysis Report	\$146,571.96
IV	Final Data Analysis Report	\$146,571.96
IV	Data Quality Improvement Recommendations Report	\$73,285.98
	Subtotal	\$488,573.19

**EXHIBIT A
PRICING**

****NEW EXHIBIT A EFFECTIVE 02/18/15****

SERIAL: 13123-RFP			
NIGP CODE: 91829			
COMPANY NAME:	Grant Thornton LLP		
DOING BUSINESS AS (DBA) NAME:	N/A		
MAILING ADDRESS:	333 John Carlyle St, Alexandria VA 22314		
REMIT TO ADDRESS:	Grant Thornton LLP PO Box 71352, Chicago IL 60694-1352		
TELEPHONE NUMBER:	703-837-4468		
FACSIMILE NUMBER:	703-837-4455		
WEB SITE:	www.grantthornton.com		
REPRESENTATIVE NAME:	Graeme Finley		
REPRESENTATIVE PHONE NUMBER:	703-837-4517		
REPRESENTATIVE E-MAIL:	Graeme.Finley@us.gt.com or Virginia.Dawson@us.gt.com		
	YES	NO	REBATE
WILL ACCEPT PROCUREMENT CARD FOR PAYMENT:	[X]	[-]	
PAYMENT TERMS:			
NET 30 DAYS			

Phase Pricing:

Firm fixed pricing for labor for each phase to include all work delineated herein. The actual travel expenses would be invoiced as incurred per County travel policy (Exhibit C).

Phase	Labor	Travel	Total
II: Solution Options and Verification	\$218,743.44	\$64,746.12	\$496,387.01
III: Solution Funding, Procurement, and Selection	\$212,897.45		
IV: Data Quality Analysis	\$488,573.19	\$42,840.00	\$531,413.19
<i>Original Contract Totals:</i>	<i>\$920,214.08</i>	<i>\$107,586.12</i>	<i>\$1,027,800.20</i>
IV: Initial Data Quality Remediation & Deep Dive	\$449,845.60	\$67,476.84	\$517,322.44
<i>Amendment # 1 Contract Totals:</i>	<i>\$1,370,059.68</i>	<i>\$175,062.96</i>	<i>\$1,545,122.64</i>

*****CHANGES ADDED 12/22/15*****

Phase	Labor	Travel	Total
II: Solution Options and Verification	\$218,743.44	\$72,371.49	\$536,161.63
III: Solution Funding, Procurement, and Selection	\$245,046.70		
IV: Data Quality Analysis	\$488,573.19	\$35,000.00	\$523,573.19
<i>Original Contract Totals:</i>	<i>\$952,363.33</i>	<i>\$107,371.49</i>	<i>\$1,059,734.82</i>
IV: Initial Data Quality Remediation & Deep Dive	\$449,845.60	\$35,542.22	\$485,387.82
<i>Amendment # 2 Contract Totals:</i>	<i>\$1,402,208.93</i>	<i>\$142,913.71</i>	<i>\$1,545,122.64</i>

Price per Deliverable by Phase:

Phase	Due-Date	Deliverable	Price	Holdback	Due Upon Approval
Acquisition Preparation					
II	4/8/2014	Project Plan	\$ 10,937.17	\$	\$ 10,937.17
II	5/19/2014	Preliminary Acquisition Recommendations Report	\$ 87,497.37	\$	\$ 87,497.37
II	7/21/2014	Final Acquisition Recommendations Report	\$ 43,748.69	\$	\$ 43,748.69
II	7/28/2014	Revised RFP	\$ 76,560.20	\$	\$ 76,560.20
-	-	Subtotal: Acquisition Preparation	\$ 218,743.44		
-	-	-			
Acquisition Selection					
III	9/30/2014	Q&A response and Pre-proposal conference support	\$ 17,031.80	\$	\$ 17,031.80
III	12/12/2014	Demonstration Script Support	\$ 21,289.74	\$	\$ 21,289.74
III	3/13/2015	Sandbox Support	\$ 31,934.62	\$	\$ 31,934.62
III	3/20/2015	Subject Matter Expertise support to Evaluation Team	\$ 21,289.74	\$	\$ 21,289.74
III	*2/13/2015	Final Strategic Plan (*completed 08/04/2014)	\$ 21,289.74	\$	\$ 21,289.74
III	5/22/2015	Final Technology Vision	\$ 42,579.49	\$	\$ 42,579.49
III	5/22/2015	Fit-Gap Support	\$ 21,289.74	\$	\$ 21,289.74
III	01/31/2016 6/29/2015	Contract review, negotiation assistance	\$ 21,289.74	\$	\$ 21,289.74
III	02/15/2016	Contract Price Analysis Report	\$ 32,149.25	\$	\$ 32,149.25
III	8/5 03/23/2015	Final Award Package, Budget Request Proposals, and Presentations	\$ 14,902.84	\$	\$ 14,902.84
-	-	Subtotal: Acquisition Selection	\$ 245,046.70		
-	-	-	\$ 212,897.45		
-	-	-			
Data Quality Analysis					
IV	4/11/2014	List of data sources	\$ 24,428.66	\$	\$ 24,428.66
IV	5/26/2014	List of in-scope data attributes	\$ 48,857.32	\$	\$ 48,857.32
IV	5/26/2014	Business rules associated with in-scope attributes	\$ 48,857.32	\$	\$ 48,857.32
IV	7/7/2014	Preliminary Data Analysis Report	\$ 146,571.96	\$	\$ 146,571.96
IV	8/11/2014	Final Data Analysis Report	\$ 146,571.96	\$	\$ 146,571.96
IV	8/25/2014	Data Quality Improvement Recommendations Report	\$ 73,285.98	\$	\$ 73,285.98
-	-	Subtotal: Data Quality Analysis	\$ 488,573.19		
-	-	-			
Initial Data Quality Remediation & Deep Dive					
IV	4/17/2015	Data Deep Dive & Remediation Plan	\$17,993.82	\$2,699.07	\$15,294.75
IV	7/3/2015	Preliminary Data Deep Dive Report	\$98,966.03	\$14,844.90	\$84,121.13

Phase	Due Date	Deliverable	Price	Holdback	Due Upon Approval
IV	12/17/2015	Final Data Deep Dive Report	\$53,981.47	\$8,097.22	\$45,884.25
IV	7/6/2015	Preliminary Data Remediation Report	\$107,962.94	\$16,194.44	\$91,768.50
IV	9/28/2015	Secondary Data Remediation Report	\$80,972.21	\$12,145.83	\$68,826.38
IV	12/18/2015	Final Data Remediation Report	\$89,969.13	\$13,495.37	\$76,473.76
Subtotal: Initial Data Quality Remediation & Deep Dive			\$ 449,845.60		
-					
Total			\$ 1,370,059.68		

Labor Pricing:

Phase II Hours and Cost			
Role	Rate	Hours	Total
Engagement Director	\$183.71	120	\$22,045.20
Project Manager	\$183.71	406.5	\$74,678.12
Deputy Project Manager	\$170.00	350.5	\$59,585.00
Business Lead	\$149.09	380	\$56,654.20
Technical Lead	\$150.00	38.5	\$5,775.00
-			\$218,737.52

Phase III Hours and Cost			
Role	Rate	Hours	Total
Engagement Director	\$183.71	96	\$17,636.16
Project Manager	\$183.71	657.482	\$120,697.47 \$88,548.22
Deputy Project Manager	\$170.00	108	\$18,360.00
Business Lead	\$149.09	380	\$56,654.20
Technical Lead	\$150.00	206.5	\$30,975.00
Subject Matter Expert	\$183.71	4	\$734.84
-			\$245,046.70 \$212,908.42

Phase IV Data Analysis Hours and Cost			
Role	Rate	Hours	Total
Engagement Director	\$183.71	222	\$40,783.62
Project Manager	\$183.71	955.5	\$175,534.91
Junior Data Analyst	\$95.00	871	\$82,745.00
Business Lead	\$149.09	243	\$36,228.87
Technical Data Analyst	\$150.00	1,022	\$153,300.00
-			\$488,592.40

Phase IV Initial Data Remediation & Deep Dive Cost			
Role	Rate	Hours	Total
Engagement Director	-\$ 183.71	160	-\$ 29,393.60
Project Manager	-\$ 183.71	1200	-\$ 220,452.00
Data Analyst	-\$ 125.00	1600	-\$ 200,000.00
			-\$ 449,845.60

The scope of work as described in Phase IV: Solution Implementation is an optional phase. The County reserves the right to determine if Grant Thornton, other vendor(s), the IS Division, and/or a combination of entities will complete the work as described for this phase. The following hourly rates will be used should the County elect to request Phase IV: Solution Implementation services from Grant Thornton.

Phase IV: Solution Implementation Hourly Rate	
Role	Rate
Engagement Director	-\$ 183.71
Project Manager	-\$ 183.71
Data Conversion Lead	-\$ 183.71
Organizational Change Lead	-\$ 183.71
Functional Lead	-\$ 183.71
Integration Lead	-\$ 183.71
QA Lead	-\$ 183.71
Application Lifecycle Engineer	-\$ 150.00
Project Coordinator	-\$ 130.00
QA Analyst	-\$ 130.00
Data Analyst	-\$ 125.00

**EXHIBIT A
PRICING**

NEW EXHIBIT A EFFECTIVE 04/20/16

SERIAL: 13123 -RFP			
NIGP CODE: 91829			
COMPANY NAME:	Grant Thornton LLP		
DOING BUSINESS AS (DBA) NAME:	N/A		
MAILING ADDRESS:	333 John Carlyle St, Alexandria VA 22314		
REMIT TO ADDRESS:	Grant Thornton LLP PO Box 71352, Chicago IL 60694-1352		
TELEPHONE NUMBER:	703-837-4468		
FACSIMILE NUMBER:	703-837-4455		
WEB SITE:	www.grantthornton.com		
REPRESENTATIVE NAME:	Graeme Finley		
REPRESENTATIVE PHONE NUMBER:	916-449-3991		
REPRESENTATIVE E-MAIL:	Graeme.Finley@us.gt.com or Virginia.Dawson@us.gt.com		
	YES	NO	REBATE
WILL ACCEPT PROCUREMENT CARD FOR PAYMENT:	[X]	[]	
PAYMENT TERMS:			
NET 30 DAYS			

Phase Pricing:

Firm fixed pricing for labor for each phase to include all work delineated herein. The actual travel expenses would be invoiced as incurred per County travel policy (Exhibit C).

Phase	Labor	Travel	Total
II: Solution Options and Verification	\$218,743.44		
III: Solution Funding, Procurement, and Selection	\$259,743.50	\$57,674.69	\$536,161.63
IV: Data Quality Analysis	\$488,573.19	\$35,000.00	\$523,573.19
Original Contract Totals:	\$967,060.13	\$92,674.69	\$1,059,734.82
IV: Initial Data Quality Remediation & Deep Dive	\$449,845.60	\$35,542.22	\$485,387.82
Amendment # 1 Subtotal:	\$1,416,905.73	\$128,216.91	\$1,545,122.64
IV: Solution Implementation Support	\$3,255,876.00		
IV: Solution Implementation Oversight	\$1,072,452.44	\$400,000.00	\$4,728,328.44
Amendment #2 Subtotal:	\$4,328,328.44	\$400,000.00	\$4,728,328.44
Amendment # 2 Contract Totals:	\$5,745,234.17	\$528,216.91	\$6,273,451.08

Price per Deliverable by Phase:

Phase	Due Date	Deliverable	Price	Holdback	Due Upon Approval
Acquisition Preparation					
II	4/8/2014	Project Plan	\$ 10,937.17	\$ -	\$ 10,937.17
II	5/19/2014	Preliminary Acquisition Recommendations Report	\$ 87,497.37	\$ -	\$ 87,497.37
II	7/21/2014	Final Acquisition Recommendations Report	\$ 43,748.69	\$ -	\$ 43,748.69
II	7/28/2014	Revised RFP	\$ 76,560.20	\$ -	\$ 76,560.20
Subtotal: Acquisition Preparation			\$ 218,743.44		
Acquisition Selection					
III	9/30/2014	Q&A response and Pre-proposal conference support	\$ 17,031.80	\$ -	\$ 17,031.80
III	12/12/2014	Demonstration Script Support	\$ 21,289.74	\$ -	\$ 21,289.74
III	3/13/2015	Sandbox Support	\$ 31,934.62	\$ -	\$ 31,934.62
III	3/20/2015	Subject Matter Expertise support to Evaluation Team	\$ 21,289.74	\$ -	\$ 21,289.74
III	*2/13/2015	Final Strategic Plan (*completed 08/04/2014)	\$ 21,289.74	\$ -	\$ 21,289.74
III	5/22/2015	Final Technology Vision	\$ 42,579.49	\$ -	\$ 42,579.49
III	5/22/2015	Fit-Gap Support	\$ 21,289.74	\$ -	\$ 21,289.74
III	1/31/2016	Contract review, negotiation assistance	\$ 21,289.74	\$ -	\$ 21,289.74
III	2/15/2016	Contract Price Analysis Report	\$ 32,149.25	\$ -	\$ 32,149.25
III	3/23/2016	Final Award Package, Budget Request Proposals, and Presentations	\$ 14,902.84	\$ -	\$ 14,902.84
III	4/22/2016	Phase Transition Plan (NEW)	\$ 14,696.80	\$ -	\$ 14,696.80
Subtotal: Acquisition Selection			\$ 259,743.50		
Data Quality Analysis					
IV	4/11/2014	List of data sources	\$ 24,428.66	\$ -	\$ 24,428.66
IV	5/26/2014	List of in-scope data attributes	\$ 48,857.32	\$ -	\$ 48,857.32

IV	5/26/2014	Business rules associated with in-scope attributes	\$ 48,857.32	\$ -	\$ 48,857.32
IV	7/7/2014	Preliminary Data Analysis Report	\$ 146,571.96	\$ -	\$ 146,571.96
IV	8/11/2014	Final Data Analysis Report	\$ 146,571.96	\$ -	\$ 146,571.96
IV	8/25/2014	Data Quality Improvement Recommendations Report	\$ 73,285.98	\$ -	\$ 73,285.98
Subtotal: Data Quality Analysis			\$ 488,573.19		

Initial Data Quality Remediation & Deep Dive					
IV	4/17/2015	Data Deep Dive & Remediation Plan	\$17,993.82	\$2,699.07	\$15,294.75
IV	7/3/2015	Preliminary Data Deep Dive Report	\$98,966.03	\$14,844.90	\$84,121.13
IV	12/17/2015	Final Data Deep Dive Report	\$53,981.47	\$8,097.22	\$45,884.25
IV	7/6/2015	Preliminary Data Remediation Report	\$107,962.94	\$16,194.44	\$91,768.50
IV	9/28/2015	Secondary Data Remediation Report	\$80,972.21	\$12,145.83	\$68,826.38
IV	12/18/2015	Final Data Remediation Report	\$89,969.13	\$13,495.37	\$76,473.76
Subtotal: Initial Data Quality Remediation & Deep Dive			\$ 449,845.60		
Sub-Total			\$ 1,416,905.73		

Phase	Delivery Frequency or Date†	Deliverable	Quantity	Price Per Deliverable	Holdback Per Deliverable	Due Upon Approval Per Deliverable	Total Price
Solution Implementation Support – Recurring Deliverables							
IV	Bi-weekly	Project Status Report	60	\$9,948.40	\$1,492.26	\$8,456.14	\$596,904.00
IV	Monthly	Project Risk Register	30	\$14,922.60	\$2,238.39	\$12,684.21	\$447,678.00
IV	Monthly	Project Issue Register	30	\$14,922.60	\$2,238.39	\$12,684.21	\$447,678.00
IV	Quarterly	Data Conversion Readiness Report	10	\$88,180.80	\$13,227.12	\$74,953.68	\$881,808.00
Solution Implementation Support – Non-Recurring Deliverables							
IV	6/20/2016	OCM Strategy	1	\$66,135.60	\$9,920.34	\$56,215.26	\$66,135.60
IV	8/15/2016	OCM Initial Assessment & Plan - Dynamics AX	1	\$58,783.40	\$8,817.51	\$49,965.89	\$58,783.40
IV	9/19/2015	OCM Final Assessment & Plan - Dynamics AX	1	\$36,742.00	\$5,511.30	\$31,230.70	\$36,742.00
IV	11/21/2016	OCM Execution & Training Support - Dynamics AX	1	\$66,136.00	\$9,920.40	\$56,215.60	\$66,136.00
IV	1/9/2017	OCM Transition - Dynamics AX*	1	\$51,439.00	\$7,715.85	\$43,723.15	\$51,439.00

Phase	Delivery Frequency or Date†	Deliverable	Quantity	Price Per Deliverable	Holdback Per Deliverable	Due Upon Approval Per Deliverable	Total Price
IV	2/6/2017	OCM Initial Assessment & Plan - Sympro	1	\$29,394.00	\$4,409.10	\$24,984.90	\$29,394.00
IV	2/20/2017	OCM Final Assessment & Plan - Sympro	1	\$14,697.00	\$2,204.55	\$12,492.45	\$14,697.00
IV	3/6/2017	OCM Execution & Training Support - Sympro	1	\$14,697.00	\$2,204.55	\$12,492.45	\$14,697.00
IV	5/15/2017	OCM Initial Assessment & Plan - Aumentum	1	\$66,136.00	\$9,920.40	\$56,215.60	\$66,136.00
IV	6/12/2017	Change Management Plan - Aumentum	1	\$29,394.00	\$4,409.10	\$24,984.90	\$29,394.00
IV	8/28/2017	OCM Change Impact Analysis - Aumentum	1	\$74,366.00	\$11,154.90	\$63,211.10	\$74,366.00
IV	9/25/2017	Final Change Management Plan - Aumentum	1	\$29,394.00	\$4,409.10	\$24,984.90	\$29,394.00
IV	1/1/2018	OCM Final Assessment & Plan	1	\$91,120.00	\$13,668.00	\$77,452.00	\$91,120.00
IV	1/29/2018	Business Readiness Assessment	1	\$29,394.00	\$4,409.10	\$24,984.90	\$29,394.00
IV	4/23/2018	OCM Execution & Communications - Aumentum	1	\$70,545.00	\$10,581.75	\$59,963.25	\$70,545.00
IV	8/27/2018	Go-Live Change Management & Training (Including Dynamics Refresher Training)	1	\$82,302.00	\$12,345.30	\$69,956.70	\$82,302.00
IV	8/27/2018	Knowledge Transfer & Sustainment Plan	1	\$24,103.00	\$3,615.45	\$20,487.55	\$24,103.00
IV	10/22/2018	Lessons Learned Assessment & Corrective Actions	1	\$47,030.00	\$7,054.50	\$39,975.50	\$47,030.00
Subtotal: Solution Implementation Support							\$3,255,876.00
Solution Implementation Oversight							
IV	Monthly	Project Health Report	30	\$14,299.37	\$2,144.90	\$12,154.46	\$428,980.98
IV	Quarterly	System Integrator Deliverable Review Report	10	\$42,898.10	\$6,434.71	\$36,463.38	\$428,980.98
IV	Per Phase	Phase Gate Quality Report	15	\$14,299.37	\$2,144.90	\$12,154.46	\$214,490.49
Subtotal: Solution Implementation Oversight							\$1,072,452.44
Subtotal: Solution Implementation Support & Oversight							\$4,328,328.44
Deliverables Total – All Phases							\$5,745,234.17

†Dates are notional and depend on the project schedule

*OCM Transition – Dynamics AX will include the following components:

- Preliminary Business Readiness Plan
- Preliminary Knowledge Transfer and Sustainment Plan
- Dynamics Lessons Learned and Corrective Action Plan

Labor Pricing:

Phase II Hours and Cost			
Role	Rate	Hours	Total
Engagement Director	\$183.71	120	\$22,045.20
Project Manager	\$183.71	406.5	\$74,678.12
Deputy Project Manager	\$170.00	350.5	\$59,585.00

Business Lead	\$149.09	380.04	\$56,660.12
Technical Lead	\$150.00	38.5	\$5,775.00
			\$218,743.44

Phase III Hours and Cost			
Role	Rate	Hours	Total
Engagement Director	\$183.71	96	\$17,636.16
Project Manager	\$183.71	737	\$135,394.27
Deputy Project Manager	\$170.00	108	\$18,360.00
Business Lead	\$149.09	380	\$56,654.20
Technical Lead	\$150.00	206.5	\$30,975.00
Subject Matter Expert	\$183.71	4	\$733.87
			\$259,753.50

Phase IV Data Analysis Hours and Cost			
Role	Rate	Hours	Total
Engagement Director	\$183.71	222	\$40,764.41
Project Manager	\$183.71	955.5	\$175,534.91
Junior Data Analyst	\$95.00	871	\$82,745.00
Business Lead	\$149.09	243	\$36,228.87
Technical Data Analyst	\$150.00	1,022	\$153,300.00
			\$488,573.19

Phase IV Initial Data Remediation & Deep Dive Cost			
Role	Rate	Hours	Total
Engagement Director	\$ 183.71	160	\$ 29,393.60
Project Manager	\$ 183.71	1200	\$ 220,452.00
Data Analyst	\$ 125.00	1600	\$ 200,000.00

\$ 449,845.60

Phase IV Solution Implementation Support Cost			
Role	Rate	Hours	Total
Engagement Director	\$183.71	600	\$110,226.00
Project Manager	\$183.71	4800	\$881,808.00
Data Readiness Manager	\$183.71	4800	\$881,808.00
Organizational Change Manager	\$183.71	4800	\$881,808.00
Investment Management and Accounting Subject Matter Expert	\$183.71	600	\$110,226.00
Project Coordinator	\$130.00	3000	\$390,000.00
			\$3,255,876.00

Phase IV Solution Implementation Oversight Cost			
Role	Rate	Hours	Total
Engagement Director	\$183.71	364	\$66,870.44
QA Lead	\$183.71	4200	\$771,582.00
Project Coordinator	\$130.00	1800	\$234,000.00
			\$1,072,452.44

The scope of work as described in Phase IV: Solution Implementation is an optional phase. The County reserves the right to determine if Grant Thornton, other vendor(s), the IS Division, and/or a combination of entities will complete the work as described for this phase. The following hourly rates will be used should the County elect to request Phase IV: Solution Implementation services from Grant Thornton.

Phase IV: Solution Implementation Hourly Rate	
Role	Rate
Engagement Director	\$ 183.71
Project Manager	\$ 183.71
Data Conversion Lead	\$ 183.71
Organizational Change Lead	\$ 183.71
Functional Lead	\$ 183.71
Integration Lead	\$ 183.71

QA Lead	\$ 183.71
Application Lifecycle Engineer	\$ 150.00
Project Coordinator	\$ 130.00
QA Analyst	\$ 130.00
Data Analyst	\$ 125.00

**EXHIBIT B
SCOPE OF WORK**

1.0 INTENT:

The Maricopa County Treasurer’s Office (“Treasurer’s”) seeks professional services from an experienced consultant or consulting firm (“Consultant”) to ensure the success of the Treasurer’s Information System (“TIS”) replacement initiative. In general, the consultant shall provide third party verification and written recommendations to the current TIS replacement RFP, offer potential alternatives, recommend a conversion strategy, and provide guidance through the procurement process. Consulting services shall be performed expeditiously and efficiently to successfully complete the requirements and responsibilities described in this scope of work. Consulting services shall be provided on a firm, fixed priced basis, and are required for set phases of the TIS replacement initiative.

2.0 SCOPE OF WORK:

2.1 Consultant Service Delivery:

The scope of the TIS replacement Contract is to target and provide a unified solution to address the Treasurer’s need for an updated system. The new TES shall encompass all activities provided by the current system and fulfill future business and technology requirements. The new TES shall integrate the functions described in the TIS replacement RFP’s Requirements and Appendices sections.

To ensure the success of the TIS replacement RFP the Treasurer’s IS Division shall be augmented through the procurement of consulting services as described in this Contract. The Consultant shall possess expertise in Treasury Property Tax Collection, Accounting, Banking, Investment, and project planning and implementation of enterprise systems. The Contractor shall address each requirement listed in this Contract. The Contractor shall include the appropriate Response Code as described in this Contract. Where the requirement is not part of the Contractor’s core services, clear documentation is required to support how the requirement will be met.

Response Codes:

Code	Description
Standard (“S”):	Requirement is part of the core services provided at no additional cost.
Limited (“L”):	Requirement is not fully supported. Additional staff is required to meet this requirement. Identify personnel, level of expertise, years of experience, and associated costs in proposal.
Third party (“T”):	Requirement is not supported. Partnership with a consulting firm is required to meet this requirement; indicate if partnership requires a separate contract. Disclose all necessary information and include associated costs in proposal.
Not Offered (“N”):	Requirement cannot be met and the Consultant is not aware of a consulting firm able to meet this requirement.

Requirement ID	Requirement Description	Response Code	Years providing Requirement	Additional Requirement Information
2.1.2.1	The Consultant shall submit a proposal that adheres to the MC Procurement solicitation process as defined by Arizona Revised Statutes (“A.R.S”), § 41 State Government, Chapter 23 Arizona Procurement Code; including necessary Bid Sync system registration information, contract requirements, appropriate Response Codes outlined in this RFP, and additional level of detail that clearly describes services provided and associated costs.	S	25	

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Requirement ID	Requirement Description	Response Code	Years providing Requirement	Additional Requirement Information
2.1.2.2	The Consultant shall submit a proposal with at least three client references; including but not limited to: client name, services provided, client contact, phone number and email, number of years as a client, and other useful verification information; This should indicate if client services were completed or remain under contract. If no longer a client, indicate when and why the relationship was terminated. The Treasurer's Office reserves the right to contact or visit the Consultant's current and/or past clients to evaluate the level of performance and client satisfaction.	S	25	
2.1.2.3	The Consultant shall submit a proposal describing the organization's profile, including, but not limited to: type of ownership, website, location(s), current staffing (organizational chart), service offering, years in business, financial information, parent companies, subcontractor/third party contractors, business and/or strategic plans.	S	25	
2.1.2.4	The Consultant shall submit a proposal that includes statements of personnel's qualifications, experience, resume, PMP or related certifications, and references. It shall include projects completed that are equivalent to the TIS replacement RFP or demonstrate sufficient similarity to illustrate personnel's experience. Personnel statements shall include number of years providing Treasury, Accounting, Financial, Investment, and planning and implementing large scale enterprise systems. Personnel statements shall include personnel's physical location. They shall further describe personnel's primary role and responsibilities when assigned to complete this RFP's scope of work, e.g., Consultant will serve in the capacity of systems analyst, architect, database architect, project manager, developer, quality assurance, trainer, or support and maintenance.	S	25	
2.1.2.5	The Consultant shall have no affiliation with any potential TIS replacement RFP bidders providing software, hardware, related equipment or services within the twenty four (24) month period preceding the solicitation submission due date.	S	25	Grant Thornton and MSS maintain relationships with many of the Tier 1 ERP software vendors and system integrators, including Oracle, SAP, CGI, IBM and Accenture. We maintain these relationships to stay abreast of current industry thinking and to gain access to information on vendor capabilities and

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Requirement ID	Requirement Description	Response Code	Years providing Requirement	Additional Requirement Information
				limitations. These relationships involve no preferential treatment or access, and we maintain absolute objectivity and independence in all our dealings with third party software and implementation vendors.
2.1.2.6	The Consultant shall complete administrative tasks at the Consultant's own office. For convenience, and at the sole discretion of the IS Division's Project Manager, an office or location for the Consultant's use may be designated.	S	25	
2.1.2.7	The Consultant shall report to the IS Division's Project Manager and unless otherwise instructed, shall use PMI standards as documented in the <i>PMBOK® Guide to provide written recommendations and deliverables for each phase.</i>	S	25	
2.1.2.8	The Consultant shall report to the IS Division's Project Manager and unless otherwise instructed, shall use the IS Division's Microsoft ALM tool suite to create and store the deliverables completed during each phase.	S	25	
2.1.2.9	The Consultant shall, unless otherwise instructed, complete project plans for each phase that adhere to the PMI standards as documented in the <i>PMBOK®</i>	S	25	
2.1.2.10	The Consultant shall, unless otherwise instructed, complete weekly status reports for each phase that adhere to the PMI standards as documented in the <i>PMBOK®</i>	S	25	
2.1.2.11	The Consultant shall, unless otherwise instructed, complete monthly issues reports for each phase that adhere to the PMI standards as documented in the <i>PMBOK®</i>	S	25	
2.1.2.12	The Consultant shall, unless otherwise instructed, create a communication plan for each phase that adheres to the PMI standards as documented in the <i>PMBOK®</i>	S	25	
2.1.2.13	The Consultant shall, unless otherwise instructed, enter their time on a weekly basis using the IS Division's designate time and requirements tracking tool. The time billed for the consulting services shall match the contract prices and invoices submitted for payment.	S	25	
2.1.2.14	The Consultant shall complete the scope of work as described in this RFP at the Treasurer's Office in downtown Phoenix, AZ. When approved by the IS Division's Project Manager, the Consultant shall perform the scope of work using web and video	S	25	

Requirement ID	Requirement Description	Response Code	Years providing Requirement	Additional Requirement Information
	enabled communication software compatible with software in use by the IS Division. The Consultant shall provide its personnel with computers, phones, web and video, and all related equipment required to complete the scope of work described in this RFP while off site and at no additional cost to Maricopa County or the Treasurer’s Office.			
2.1.2.15	The contract will contain language stating that the Treasurer’s Office reserves the right to request the removal of any Consultant personnel (including subcontract and third party personnel) from the initiative and/or project and the Consultant agrees in good faith to comply, to the maximum extent possible, with such a request. The parties agree that the individuals designated in the Scope of Work are essential to the services offered pursuant to signed Agreements.	S	25	
2.1.2.16	The parties agree that the Consultant (including subcontractor and third party personnel) shall not transfer or reassign such individual or individuals without the express written consent of the Treasurer’s Office. Should the Consultant no longer employ such individual or individuals during the term of a signed Agreement, the Consultant shall present to the Treasurer’s Office an individual or individuals with greater or equal qualifications as a replacement subject to the IS Division’s Project Manager’s approval. The Treasurer’s Office approval or disapproval shall not be construed to release the Consultant from its obligations under a signed Agreement.	S	25	
2.1.2.17	The Consultant shall provide an exit strategy for a smooth transition of the scope of work completed, in process, or remaining, to the IS Division’s Project Manager in the event the contract is terminated prematurely or expires naturally.	S	25	

2.2 — Phase I — Needs Assessment:

The requirements for this phase were completed by the Treasurer’s IS Division. The output for this phase is a draft Treasurer’s Information System, (“TIS”), replacement Request for Proposal, (“RFP”).

Overview of Required Tasks and Outcomes

The Contractor has a proven approach, designed to support the acquisition lifecycle phases beginning with requirements development through source selection and solution implementation support. Our approach emphasizes proactive communication, and efficient and effective information sharing. It is also grounded in the concept that sound acquisition planning is necessary for a successful project. If the acquisition is not properly planned, the offerors’ technical approaches will miss the mark — at the expense of the client — via diminished product quality, unsatisfied requirements, delayed schedule and/or cost overruns. However, a well thought out acquisition approach, that considers the Treasurer’s Office needs, results in a more comprehensive RFP that incentivizes performance and promotes innovative solutions. This approach eliminates non valued added work and leads to stronger proposals

that help foster the right kind of competition; the kind that is not driven solely by price, but by the appropriateness and comprehensiveness of the overall proposed solution. Stronger proposals lead to a firm project foundation and a heightened likelihood of success.

The Contractor recognizes the importance of planning in the enterprise solutions project lifecycle. Each of our major deliverables will support one or more elements of the comprehensive RFP identified in Figure 4 and will keep in mind the ultimate objective of obtaining the **Right Vendor**, implementing the **Right Solution**, at a **Reasonable Price**.

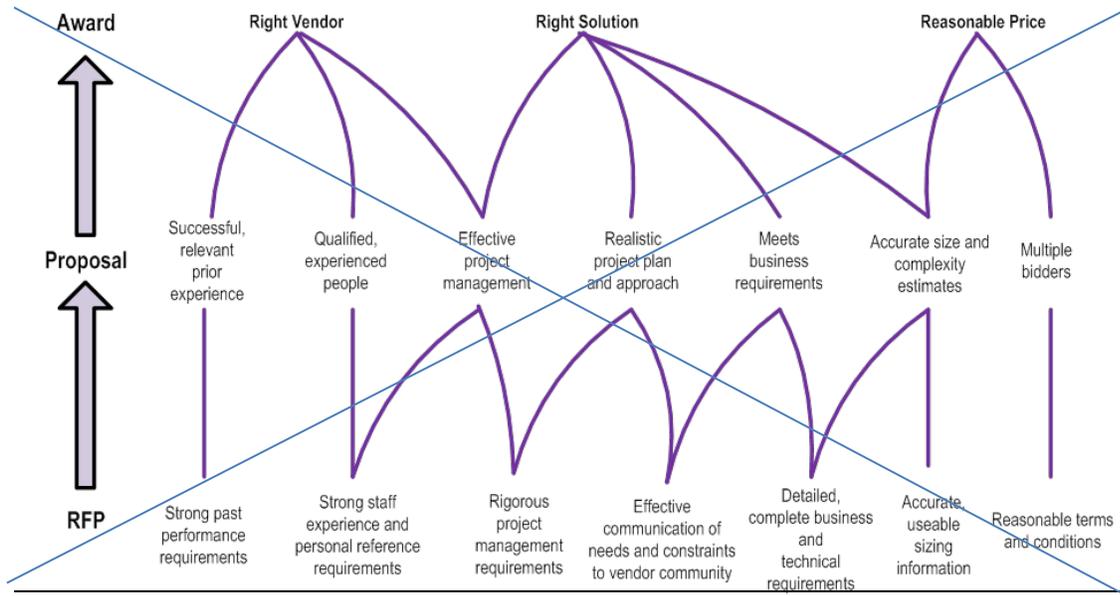


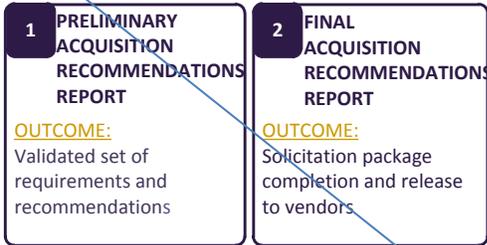
Figure 1: The relationship between a comprehensive RFP and successful award

The following sections of the Grant Thornton Team’s proposal clearly articulate the phases, tasks, and deliverables to meet the requirements outline in the Statement of Work.

Approach to Accomplish Requirements

Leveraging the work completed by the Treasurer’s IS Division in the Phase I: Needs Assessment, the Contractor TIS replacement organizes the tasks necessary to address the requirements outlined in Phase II, Phase III, and Phase IV. This approach starts with finalizing requirements and moves through source selection and implementation support, as shown in Figure 2 below.

PHASE II: SOLUTION OPTIONS AND VERIFICATION
DURATION: 3 - 5 MONTHS



PHASE III: SOLUTION FUNDING, PROCUREMENT, AND SELECTION
DURATION: 5 - 7 MONTHS



PHASE IV (OPTIONAL): SOLUTION IMPLEMENTATION
DURATION: TBD OPTIONAL PHASE



Figure 2: TIS replacement approach

A key success factor of the Grant Thornton Team's approach is its people and collaboration efforts. The Grant Thornton Team provides a breadth and depth of enterprise acquisition and financial system modernization specialists in support of the Treasurer's Office TIS Replacement Initiative. The Grant Thornton Team will also collaborate with the Treasurer's Office subject matter experts in an informal and open manner to validate our observations, obtain input, and transfer knowledge where appropriate.

The TIS Consultant Draft project schedule, embedded below, guides our approach by identifying the major tasks to accomplish, the estimated timeline for those tasks, and the dates for each of our deliverables. To support the TIS Consultant Draft Work Breakdown Structure, the Grant Thornton will develop several administrative supporting documents to effectively support the program, to include:

- Communications Plan
- Project Plan
- Risk Management Plan
- Meeting Agendas, Minutes, and Presentations
- Deliverable Review and Approval Meetings
- Weekly Time tracking Reports
- Weekly Status Reports
- Monthly Issues Reports

2.3 — Phase II — Solution Options and Verification:

The Consultant shall report to the IS Division's Project Manager. For Phase II the scope of work shall include the Consultant providing third party verification and written recommendations to the current TIS replacement RFP. All recommendations shall be clearly defined and documented in a final TIS replacement RFP submitted to MC OPS.

Phase II contains two sections. Phase II, Section 1, requirements shall be completed without delay on/before fiscal year end deadlines. Phase II, Section 2, shall be completed without delay on/before the TIS replacement RFP pre-proposal conference.

2.3.1 — Phase II, Section 1 — Mandatory Requirements:

The requirements outlined for Phase II, Section 1 below are mandatory. They must be completed and delivered to MC OPS on/or before two months from the Consultant's Agreement's start date.

2.3.2 — Phase II, Section 2 — Information Requirements:

The requirements outlined for Phase II, Section 2 below will be used as reference and inputs to Phase III. These must be completed and delivered to the IS Division on/before the TIS replacement RFP pre-proposal conference.

Develop Preliminary Acquisitions Recommendations Report

To determine if changes should be made to the current draft replacement RFP, the Grant Thornton Team will complete a full RFP package review including project business objectives, acquisition strategy, current business and technical requirements, and planned process and timeline for the procurement.

Based on this review and the supporting documents, the Grant Thornton Team will recommend changes to the current replacement RFP, including where appropriate alternatives to the business and technical requirements defined in the current TIS replacement RFP. As described in Requirement ID 2.3.1.1, the Grant Thornton Team will assess the extent to which these changes align with supply chain management industry standards for enterprise solutions and adhere to the Treasurer's Office policies, procedures, and the Arizona Revised Statutes (ARS) § 11-493, § 42-18001. The following steps outline our process for producing a Preliminary Acquisition Recommendations Report and any associated TIS Consultant Work Breakdown Structure (WBS) activity:

Read the draft RFP 'blind': Putting ourselves in the role of a potential bidder, we will read the current draft RFP and assess whether we have all the information necessary to put together a complete response. We will also determine if there is enough information to accurately gauge the size and complexity of the work. We will identify any immediate gaps or areas of ambiguity or concern.

Meet with business and technology stakeholders for the new solution. To increase our understanding of the current business objectives of the project, the Grant Thornton Team will meet with business and technology stakeholders to answer the following questions:

- **Problem Definition** — What are the current and future problems and issues facing the Treasurer's Office with respect to the TIS and what are the key drivers for moving to an enterprise system?
- **Overall Solution** — What is the vision of the new business at a high level and how is this vision enabled by the implementation of an enterprise system?
- **Benefits** — What are the expected benefits of the TIS project and what are the fundamental issues that it will address? For quantifiable benefits, what is the expected return on investment? What are the intangible benefits?
- **Functionality of the new system** — What are the major business functions that are included in the new system and in the planned business transformation?

- ~~Target User Community~~—Which departments, agencies and other state organizations are included? What are the volumes of users by type of user (e.g., frequent, regular, casual, self service)?

~~The Grant Thornton Team will work with the Treasurer's Office to verify that we understand the project objectives, determine if there have been changes in the assumptions, organization, business needs or government priorities that would affect these objectives. The Grant Thornton Team will also collect information from the Treasurer's Office on expectations for the benefits, outcomes or impact of the project and identify any new objectives or missed opportunities that are material, but that have not yet been documented.~~

~~WBS Activity | Review of the vision, mission, business, technology and customer goals.~~

~~Review any existing market research.~~ We will review any existing market research conducted by the Treasurer's Office, and any conclusions formed relating to vendor and solution landscape and to viable operational models for the new solution (e.g., maintained at County data center, hosted by a third party, or Software As a Service).

~~WBS Activity | Review market research documentation.~~

~~Review the current Business and Technical Requirements (Requirements ID 2.3.1.3):~~ We will determine whether the existing requirements capture the full scope of the solution, and whether areas that are particularly complex or are unique to the Treasurer's Office are highlighted. We have conducted an initial review of the draft requirements provided by the Treasurer's Office and understand that they are generally high level, outcome oriented requirements.

~~Requirements development is typically an iterative process, as initial requirements are revised based on a progressively better understanding of available technology, an organization's enterprise architecture plans, and project business objectives. During our review, the Grant Thornton Team will:~~

- ~~Review initial business and technical requirements with subject matter experts and key stakeholders~~—In alignment with PMI standards, the Grant Thornton Team will solicit expert judgment from several subject matter experts and key project stakeholders. The Grant Thornton Team will facilitate interviews and working sessions with the Treasurer's Office team and other relevant stakeholders to review the requirements in the current TIS replacement RFP. We have conducted an initial review of the draft requirements provided by the Treasurer's Office and understand that they are generally high level, outcome oriented requirements. Given this, our requirements assessment will determine the extent to which the Treasurer's Office intends to fully document detailed functional requirements in the RFP, or instead intends to focus only on those requirements unique to the County and to rely on out of the box software functionality for other common functions. The answer to this question will significantly impact the level of effort required to complete the requirements for inclusion in the final RFP.
- ~~Develop data management plan (Requirements ID 2.3.2.1)~~—Based on draft documents provided to us, the Grant Thornton Team will provide documented strategy and preparedness for data dictionary standards inputs/outputs, data cleansing, data migration, and application integration as it pertains to TIS. The plan will align with SCM industry standards regarding data management.
- ~~Complete enterprise architecture products (Requirements ID 2.3.2.3)~~—Based on draft documents provided to us, the Grant Thornton Team will complete TIS architecture designs, diagrams, and plans.
- ~~Draft migration and integration plan proposals (Requirements ID 2.3.2.4)~~—Based on draft documents provided to us, the Grant Thornton Team will develop migration and integration plans to include test planning capabilities and personnel transitioning strategies. The Grant Thornton Team will work with the IS Division and use known solution providers to create "What if scenarios" from TIS (current state) to TES (future state). The plan will align with SCM industry standards regarding IT system strategy and system integration.

~~Our requirements assessment will determine the extent to which the Treasurer's Office intends to fully document detailed functional requirements in the RFP, or instead intends to focus only on those requirements unique to the County and to rely on out of the box software functionality for other common functions. Based on the actions listed above and as described in Requirement ID 2.3.1.3, if applicable, the Grant Thornton Team will recommend~~

alternatives to the initial business and technical requirements present in the current TIS replacement RFP. As described in Requirement ID 2.3.1.1, these recommendations will adhere to the Treasurer's Office policies, procedures, the Arizona Revised Statutes (ARS) § 11-493, § 42-18001, and SCM industry standards for enterprise solutions. The Grant Thornton Team will use these recommendations as input to completing the final TIS replacement RFP.

~~WBS Activity | Review of technical documentation, and review of business documentation.~~

~~Review the roles and responsibilities defined in RFP.~~ Are there any gaps, overlaps or areas of ambiguity in the roles and responsibilities of the implementation vendor or of the Treasurer's Office?

~~WBS Activity | Review organization structure and resources~~

~~Review the procurement plan.~~ We will review the current procurement plan, including both the procurement process and the schedule to understand how information will be communicated to vendors, how vendors will respond to the Treasurer's Office, and how decisions will be made. The acquisition plan is an important means of linking the Treasurer's Office business objectives to the objectives of the acquisition and a tool for laying out a logical and consistent approach to the acquisition. The Grant Thornton Team's review of the Treasurer's Office's current acquisition plan will begin by gaining an understanding of the Treasurer's Office procurement framework and of the key IT acquisition standards and policies.

~~The Grant Thornton Team will review the acquisition scope, the technical solution, the allocation of requirements between the Treasurer's Office and the contractor, acquisition method, selection approach, and contract type. We will use our experience and lessons learned from past public sector enterprise system selections to develop recommendations that would be consistent with the existing State procurement framework and policies.~~

~~A particular focus of our review will be the quality and quantity of information made available to customers and to vendors during the procurement process. For example, as we review the procurement plan we will assess:~~

- ~~• Whether the procurement process provides enough interaction with and information from bidders so that the Treasurer's Office can feel confident that the vendor's solution, approach and team will be sufficient to successfully implements the TIS replacement system; and~~
- ~~• Whether the RFP and procurement process provides bidders enough information so that they can accurately assess the size and complexity of the project and can therefore craft responsive and realistic proposals.~~

~~We will also review the evaluation strategy proposed in the RFP, and will discuss with the Treasurer's Office the extent that:~~

- ~~• The strategy is consistent with industry best practices for best value competitions;~~
- ~~• The strategy aligns with the Treasurer's Office's priorities and business objectives; and~~
- ~~• The strategy enables effective differentiation of Offeror proposals.~~

~~Identify the major risks to project success.~~ We will conduct a facilitated session with Treasurer's Office stakeholders to discuss the most significant potential risks to project success. Does the RFP and procurement approach adequately address these risks? How is risk being shared with the vendor, and is the allocation reasonable? We will identify any areas where risks have either not been addressed or where further mitigation is required, and determine how the RFP could be modified to help mitigate those risks.

~~Assess how vendor performance will be overseen.~~ We will review how acceptance criteria for deliverables are defined, and how deliverables be reviewed. We will also assess the potential sanctions that are in place to ensure vendor delivery against their contractual commitments?

~~Develop Preliminary Acquisition Recommendations Report.~~ Based on the results of the activities presented above, Grant Thornton will develop a Preliminary Acquisition Recommendations Report that will summarize our review of the draft TIS replacement RFP and of the associated procurement processes and documentation. This report will identify specific recommendations to improve the comprehensiveness and quality of the RFP.

~~Deliverable:~~

- ~~1. Preliminary Acquisition Recommendations Report~~

Requirement ID	Requirement Description	Response Code	Years providing Requirement	Additional Requirement Information
2.3.1.1	The Consultant shall provide written recommendations for changes to the current TIS replacement RFP that adhere to the Treasurer’s Office policies, procedures, the Arizona Revised Statutes (ARS) § 11-493, § 42-18001, and supply chain management (SCM) industry standards for enterprise solutions.	S	25	
2.3.1.3	If changes are recommended, the Consultant shall demonstrate their technical and business acumen by articulating in written form, business and technical requirement alternatives to those contained in the current TIS replacement RFP.	S	25	We will also analyze project business objectives and how they align to requirements.
2.3.2.1	The Consultant shall demonstrate their technical and business acumen by articulating in written form, plans with strategies and preparedness for data dictionary standards inputs/outputs, data cleansing, data migration, and application integration as it pertains to TIS. This shall adhere to the PMI standards as documented in the <i>PMBOK</i> [®] and supply chain management (SCM) industry standards for enterprise solutions.	S	25	
2.3.2.2	The Consultant shall demonstrate their technical and business acumen by articulating in written form, future technology trends, systems consolidation opportunities, and effective strategies for moving to hosted and/or on-demand technologies available in the market as it pertains to TIS. This shall adhere to the PMI standards as documented in the <i>PMBOK</i> [®] and supply chain management (SCM) industry standards for enterprise solutions.	S	25	
2.3.2.3	The Consultant shall, unless otherwise instructed, demonstrate their technical and business acumen by completing TIS architecture designs, diagrams and plans that adhere to the PMI standards as documented in the <i>PMBOK</i> [®] and supply chain management (SCM) industry standards for enterprise solutions.	S	25	
2.3.2.4	The Consultant shall, unless otherwise instructed, demonstrate their technical and business acumen by drafting migration and integration plan proposals that adhere to the PMI standards as documented in the <i>PMBOK</i> [®] and supply chain management (SCM) industry standards for enterprise solutions. <i>The Consultant shall work with the IS Division and use known (RFI) solution providers to create “What if scenarios” from TIS (current state) to TES (future state).</i>	S	25	

Develop Final Acquisition Recommendations Report

The Grant Thornton Team will make recommendations for the final TIS replacement RFP, based on the findings developed in the previous section and recommendations on existing draft documentation, to include:

- Draft Strategic Plan

- ~~Draft Resource Organization Plan~~
- ~~Draft replacement Technology Roadmap~~
- ~~Draft Data and Integration Plans~~
- ~~Draft replacement TIS RFP~~
- ~~Draft Consolidation, Storage, and Cost benefit Plans~~
- ~~Draft Steering Committee Plan~~
- ~~Draft Budget Request Proposals and Presentations~~

~~We will summarize our findings and recommendations by categorizing any concerns or weaknesses as follows:~~

- ~~1. Critical to the success of the RFP. Must be addressed prior to RFP release.~~
- ~~2. Important to the success of the RFP, but can be addressed through an amendment after RFP release.~~
- ~~3. Important to the success of the RFP, but can be addressed through changes to the procurement process (e.g. steps during the procurement process that might involve Q&A or dialogue with bidders) and therefore do not require a modification to the RFP itself.~~
- ~~4. Inconsequential or ‘nice to have’ features that can be addressed as time and resources permit.~~

~~The Grant Thornton Team will work with the Treasurer’s Office to review and finalize the above list and review all recommendations to create a solicitation package that addresses the Treasurer’s Office needs and aligns with business objectives. As described in Requirement ID 2.3.1.2, the Grant Thornton Team will create a final TIS replacement RFP ready to submit to Maricopa County (MC) Office of Procurement Services (OPS) as described by Arizona Revised Statutes (“A.R.S”), § 41 State Government, Chapter 23 Arizona Procurement Code. As described in Requirement ID 2.3.1.4, the final TIS replacement RFP will contain the right level of detail for bidders to develop a detailed proposal, carry out a product demonstration, and detail associated costs when bidding on the TIS replacement RFP and the requirements described therein.~~

~~Additionally, we will facilitate the definition of responsibilities and deadlines for all changes required to the RFP, and will work with the Procurement Office to revise the RFP. Any impact to the RFP release date will depend on the scope of the category ‘1’ items identified above and on the time and resources necessary to address these.~~

Deliverables:

- ~~1. Final Acquisition Recommendations Report~~
- ~~2. Revised RFP~~

Requirement ID	Requirement Description	Response Code	Years providing Requirement	Additional Requirement Information
2.3.1.2	The Consultant, unless otherwise instructed, shall document all recommendations, on/before the time set forth in the contract, and create a final TIS replacement RFP ready to submit to MC OPS as described by Arizona Revised Statutes (“A.R.S”), § 41 State Government, Chapter 23 Arizona Procurement Code.	S	25	
2.3.1.4	The Consultant shall ensure the final TIS replacement RFP contains the right level of detail for bidders to develop a detailed proposal, carry out a product demonstration, and detail associated costs when bidding on the TIS replacement RFP and the requirements described therein.	S	25	

2.4 — Phase III — Solution Funding, Procurement, and Selection:

The Consultant shall report to the IS Division’s Project Manager. For Phase III the Consultant shall provide written recommendations to the Treasurer’s with vendor evaluations that compare the target solution’s functionality against the requirements, identify gaps, facilitate bidder demonstrations and negotiations, solution selection, contract preparation and documentation, and the process leading up to and including contract award.

The Grant Thornton Team possesses extensive experience in facilitating successful evaluation and source selection for high profile acquisitions that resulting in successful contract awards without protest. For Phase III, the team will provide written recommendations to the Treasurer’s Office for vendor evaluations that compare the target solution’s functionality against the requirements, identify gaps, facilitate bidder demonstrations and negotiations, solution selection, contract preparation and documentation, and the process leading up to and including contract award. The Grant Thornton Team will take on the role as a non voting member of the TIS replacement evaluation team under the direction of the IT Division’s Project Manager. In this role, the Grant Thornton Team will facilitate and participate in evaluation planning, screening and evaluation, source selection, and contract award activities, estimated to last four to six months. As stated in Section 2.3: Approach, the Grant Thornton team will begin the work by reviewing existing administrative documentation to ensure it is current and, if necessary, make any changes to existing processes. The overarching requirement for these activities is Requirement ID 2.4.1.1.

Requirement ID	Requirement Description	Response Code	Years Providing Requirement	Additional Requirement Information
2.4.1.1	The Consultant shall participate, as a non-voting member and under the direction of the IS Project Manager, in the TIS replacement RFP solution proposals review, scorecard ranking, selection, funding, and contract award as defined by the MC OPS procurement process and the Arizona Revised Statutes (“A.R.S”), § 41 State Government, Chapter 23 Arizona Procurement Code.	S	25	

Evaluation Planning

~~Prepare for Evaluation and Source Selection:~~ Prior the evaluation and source selection process, the Grant Thornton Team will provide training, guidance, and support to the TIS replacement evaluation team. The Grant Thornton Team will develop a Source Selection Plan (SSP) that will describe the evaluation team members, roles and responsibilities, weighted criteria, schedule, evaluation approach, scorecard ranking instrument, and presentation format for solution proposals and/or service vendor demonstrations referenced in Requirements ID 2.4.1.2 and 2.4.1.3. To expedite the source selection process, our team will use an Excel based scorecard ranking instrument that we have successfully used with other clients, and that will be tailored to Treasurer’s Office, to document the evaluation findings. This tool will promote standardization, thoroughness, and traceability to solicitation requirements.

Following SCM standards, the detailed criteria must align with the enterprise IT strategy, business objectives, and key business processes. The Grant Thornton Team will work with subject matter experts from the Treasurer’s Office to detail the TIS replacement proposal evaluation criteria for inclusion in the SSP. The TIS replacement SSP criteria are intended to help guide evaluator analysis and will be facilitated by tools and techniques such as:

- Weighted criteria
- Critical success path
- Factor logic tree
- Issue resolution log
- Evaluation report templates
- Access to program specific SMEs

In addition to the tools and techniques shown above, the Grant Thornton Team is familiar with other industry leading acquisition support tools, such as AcqCenter DecisionPoint, to assist in the acquisition management process. Following the SSP approval, the Grant Thornton Team will also provide training to the source selection evaluation team depending on the complexity of the procurement and the experience of staff. The Grant Thornton Team will analyze current customer skill levels and identify required strategic sourcing techniques and implementation knowledge. Based on our assessment, the Grant Thornton Team will plan and deliver necessary training to the evaluation team members that may include responsibilities, evaluation processes and criteria, procurement integrity guidelines, and timelines. The training gives the evaluation team the opportunity to ask questions, understand the critical factors for conducting a successful evaluation, and the procurement and ethics rules that apply.

Deliverable: _____

1. Source Selection Plan

Requirement ID	Requirement Description	Response Code	Years Providing Requirement	Additional Requirement Information
2.4.1.2	The Consultant shall develop a proposal evaluation approach that includes a scorecard ranking instrument with criteria matching the TIS replacement RFP and adheres to supply chain management (SCM) industry standards for enterprise solution selection. The instrument is subject to approval by the IS Project Manager and unless otherwise instructed, shall use the IS Division's Microsoft ALM tool suite to create and store the criteria, proposal change requests, ranking, and results.	S	25	
2.4.1.3	The Consultant shall develop a presentation format for solution proposals and/or service vendor demonstrations that addresses the Treasurer's Office policies, procedures, the Arizona Revised Statutes (ARS) § 11-493, § 42-18001, the requirements described in the TIS replacement RFP, adheres to supply chain management (SCM) industry standards for enterprise solution demonstrations. The format is subject to approval by the IS Project Manager and unless otherwise instructed, shall use the IS Division's Microsoft ALM tool suite.	S	25	
2.4.1.4	The Consultant shall prepare draft response documents for review by the IS Project Manager used to respond to bidder questions/inquiries as defined by the MC OPS procurement process and the Arizona Revised Statutes ("A.R.S"), § 41 State Government, Chapter 23 Arizona Procurement Code.	S	25	

Screening and Evaluation

Respond to Bidder Questions and Inquiries: Following the release of the RFP package, the Grant Thornton Team will assist in developing responses for questions received from Offerors to clarify the Treasurer's Office's intentions and requirements in the RFP package. Using the guidelines depicted in PMBOK, the Question and Answer (Q&A) Response will be efficient, providing only the information necessary, but effective, providing accurate, clear, consistent, and timely information as defined by the MC OPS procurement process and the ARS, § 41 State Government, Chapter 23 Arizona Procurement Code according Requirement ID 2.4.1.4. Upon approval, the Grant Thornton Team will push the formal, written Q&A to Offerors and ensure the information is received as promptly as

possible. Based on previous experience, we recommend that the Treasurer's Office release a formal, written Q&A response to bidders within 30 days of the RFP release and post the document on the OPS website to ensure equal access.

~~**Conduct Compliance Check:** Vendor proposals must demonstrate a clear understanding of the Treasurer's Office policies, procedures, the ARS § 11 493, § 42 18001, and the solution's ability to meet the TIS replacement RFP requirements. Prior to initiating the cost and technical evaluation, the Grant Thornton Team will review each submission to ensure that all instructions were followed and that each proposal is complete, meeting Requirements ID 2.4.1.5 and 2.4.1.6. The acquisition approach will likely require vendor demonstrations and presentations following the first round of proposal reviews to help the evaluation team clarify the vendor's response and validate the vendor's ability to provide the proposed solution. Providing vendors with a standard presentation format and demonstration guidelines, in alignment with Requirement ID 2.4.1.3, allows the evaluation team to compare proposals fairly and consistently, which will further assist the office in the event of a bid protest.~~

~~**Evaluate Proposals:** The Grant Thornton Team brings industry best practices and leverages source selection tools to facilitate group consensus, assign ratings, and determine best value. We will facilitate sessions to review individual team members' findings, support written requests to Offerors for clarification, and consolidate inputs to reach consensus. Throughout the evaluation process, we will coordinate inputs with the appropriate legal and contracting offices to confirm all parties are apprised of evaluation status. Additionally, the Grant Thornton Team will continuously validate that the evaluation team assesses the risk of the vendor's proposal in accordance with PMI best practices. Following the requirements stated in the RFP, we will help the TIS replacement evaluation team document and recommend changes and scorecard rankings for proposals in the following factors:~~

- ~~● **Pricing Model (Requirements ID 2.4.1.7):** The Grant Thornton Team will evaluate the degree to which the Offeror's proposed price demonstrates reasonableness, realism, balance, and completeness, consistency, and traceability. A price is reasonable if it does not exceed that which would be incurred by a prudent person in performing the required effort. Realism evaluates the level of confidence and reliability placed in the Offeror's proposed price. An unbalanced proposal is based on prices that vary significantly for work of a similar nature. Lastly, pricing must include all required information, align with summary pricing tables, provide adequate bases of estimate, and trace to supporting details.~~
- ~~● **Ownership (Requirements ID 2.4.1.8):** Given today's emerging technologies, such as cloud computing and shared services, ownership is a key evaluation criterion for many of our clients. The evaluation team must pay close attention to possible cost drivers involving ownership, such as licensing agreements and maintenance clauses. Successful proposals will provide clear ownership clauses and invoicing procedures that provide optimum governance and reduce risk to the government.~~
- ~~● **Decommissioning Plans (Requirements ID 2.4.1.9):** The evaluation criteria will reflect rankings for the vendor's decommissioning plan and its ability to seamlessly enhance or displace services, software, or systems without interruption to the Treasurer's Office ability to operate and to meet ARS § 11 493 and § 42 18001.~~
- ~~● **Personnel Security Controls (Requirements ID 2.4.1.10):** Following SCM standards, the Offeror must show a clear acceptance of the security requirements for the personnel working on the project. The evaluation team must determine whether the Offeror meets the conditions of employment and eliminate those who do not.~~
- ~~● **Information Security (Requirements ID 2.4.1.11):** The evaluation team must assess whether the Offeror demonstrates the ability to implement information security, data protection, and audit controls in accordance with industry standards for enterprise solutions. Criteria in this area will evaluate the degree to which the vendor demonstrates sufficient data and security protection, including system access control and transaction security, as well as privacy controls with physical, technical, and procedural safeguards.~~
- ~~● **Security, Backup, and Data Recovery (Requirements ID 2.4.1.12):** Depending on the proposed solution, Offerors will provide varying plans for security, backup, and data recovery for of data centers, networks, servers, and applications; therefore, the evaluation team will need compare the proposal against industry~~

recognized security certifications, such as the International Organization for Standardization (ISO) with the International Electro-technical Commission (IEC) standards, including 27001:2005 Information Security Management System Requirements, 15408 Evaluation Criteria for IT Security, or 13335 IT Security Management.

- ~~Disaster Recovery and Business Continuity Plans (Requirements ID 2.4.1.13):~~ Following SCM standards, successful IT management involve managing business resiliency and risk. Qualified Offerors will demonstrate a proven, effective crisis reaction approach and tested plans for alternative situations. The solution proposal must also show experience in implementation methodologies for backing up data files and securing offsite storage.
- ~~Operational Support (Requirements ID 2.4.1.14):~~ Strong operational support results in infrequent outages and few end-user complaints, which the Offeror can demonstrate through past performance on similar projects. Support centers should provide well-trained personnel who provide support both during and outside business hours following a clear issue tracking processes, systems, and technology.
- ~~Exit Strategy (Requirements ID 2.4.1.15):~~ To mitigate risk in the event the contract is terminated prematurely or expires naturally, the Offeror must provide an effective, efficient plan for migrating data out of the system. The evaluation team will assess the degree to which the Offeror's plan meets all requirements in the RFP and provides a cost-effective approach by minimizing fees, charges, and terms and conditions while optimizing transparency and assistance services.

~~Complete Gap Analysis:~~ Following completion of each evaluation, the Grant Thornton Team will work with the TIS replacement evaluation team to prepare an Evaluation Report and make a selection recommendation. As part of this process, we will facilitate comprehensive internal reviews to adjudicate conflicting feedback and to formulate a consensus on the best value solution to the County. As part of this process, we will conduct a gap analysis of the top ranked solution proposals, based on the final evaluation reports, unless otherwise instructed by the Treasurer's IS Division Project Manager. This analysis will compare the solution's proposed functionality against the TIS replacement RFP's requirements to identify gaps that will need to be addressed during the solution's implementation, as stated in Requirement ID 2.4.1.16. The team will also highlight instances of gold plating, where the vendor exceeded the RFP requirements, to assist in reducing costs during negotiations. Where applicable, our team will recommend changes to the contract and pricing for negotiation prior to contract award that will address the gaps identified. These recommendations and other proposed resolutions and workarounds in a comprehensive Gap Analysis Report. Any decision affecting the system requirements requires a change request and may also require updates to the requirements traceability matrix and the risk register, following the PMBOK best practices.

~~Deliverables:~~

- ~~1. Final TIS RFP~~
- ~~2. Pre-Proposal Conference Meeting Response Recommendations~~
- ~~3. Q&A Response Reviews and Recommendations~~
- ~~4. Proposal Reviews and Non-Bidding Recommendations on Short List Solution Providers~~
- ~~5. Short List Solution Providers Demonstration Recommendations~~
- ~~6. Review and Non-Binding Recommendations on Short List Solution Providers' Fit-Gap Documentation~~

Requirement ID	Requirement Description	Response Code	Years Providing Requirement	Additional Requirement Information
2.4.1.5	The Consultant shall review the solution proposals and/or service vendor's adherence to the Treasurer's Office policies, procedures, the Arizona Revised Statutes (ARS) § 11-493, § 42-18001, and the requirements described in the TIS replacement RFP. Recommendations for changes shall be documented in the governance model, contract, and a scorecard ranking shall be assigned to solution proposals.	S	25	
2.4.1.6	The Consultant shall review the solution proposals and/or service vendor's privacy and confidentiality compliance defined by the Treasurer's Office policies, procedures, the Arizona Revised Statutes (ARS) § 11-493, § 42-18001, and the requirements described in the TIS replacement RFP. Recommendations for changes shall be documented in the governance model, contract, and a scorecard ranking shall be assigned to solution proposals.	S	25	
2.4.1.7	The Consultant shall review the solution proposals and/or service vendor's pricing model for costs or charges related to any initial setup, installation, or implementation fees, monthly recurring subscription or usage fees, and one time charges, such as, but not limited to, customizations or data migrations. Recommendations for changes shall be documented and a scorecard ranking shall be assigned to solution proposals.	S	25	
2.4.1.8	The Consultant shall review the solution proposals and/or service vendor's ownership around software, hardware, and other services, including costs and invoicing review, reconciliation, authorization and payments. Recommendations for changes shall be documented and a scorecard ranking shall be assigned to solution proposals.	S	25	
2.4.1.9	The Consultant shall review the solution proposals and/or service vendor's decommissioning plans, documentation, and procedures for enhancing or displacing services, software, or systems. Recommendations for changes shall be documented and a scorecard ranking shall be assigned to solution proposals.	S	25	
2.4.1.10	The Consultant shall review the solution proposals and/or service vendor's personnel and/or subcontractors with access to the Treasurer's Office data are required to sign a non-disclosure agreement, set limits to access sensitive data, and/or other acceptable security controls as a condition of employment. Recommendations for changes shall be documented and a scorecard ranking shall be assigned to solution proposals.	S	25	

Requirement ID	Requirement Description	Response Code	Years Providing Requirement	Additional Requirement Information
2.4.1.11	The Consultant shall review the solution proposals and/or service vendor's information security, data security, and records retention policies, to ensure sufficient security measures, data protections, and audits controls are in place. Recommendations for changes shall be documented and a scorecard ranking shall be assigned to solution proposals.	S	25	
2.4.1.12	The Consultant shall review the solution proposals and/or service vendor's data center, network, servers, application security, backup, and data recovery capabilities against industry recognized security certifications. Recommendations for changes shall be documented and a scorecard ranking shall be assigned to solution proposals.	S	25	
2.4.1.13	The Consultant shall review the solution proposals and/or service vendor's disaster recovery, business continuity plans, plan testing and implementation methodology. Recommendations for changes shall be documented and a scorecard ranking shall be assigned to solution proposals.	S	25	
2.4.1.14	The Consultant shall review the solution proposals and/or service vendor's operational support, including, but not limited to, location of support office, hours of support, descriptions of support centers, technology, issue tracking systems, upgrade options, and any additional support services offered. Recommendations for changes shall be documented and a scorecard ranking shall be assigned to solution proposals.	S	25	
2.4.1.15	The Consultant shall review the solution proposals and/or service vendor's exit strategy for migrating data out of the system in the event the contract is terminated prematurely or expires naturally. This includes reviewing that the contract language specifically addresses: terms and conditions in effect upon termination or expiration of the agreement, termination assistance services, fees, charges, or other compensation, control and ownership of data throughout the life of the contract, source code disposition, including original code created during the contract term, specifications, documentation, information, services, and other assistance necessary to enable the Treasurer's Office to receive services from another solution provider. Recommendations for changes shall be documented and a scorecard ranking shall be assigned to solution proposals.	S	25	

Requirement ID	Requirement Description	Response Code	Years Providing Requirement	Additional Requirement Information
2.4.1.16	The Consultant shall create a fit/gap analysis of the top ranked solution proposals, that unless otherwise instructed, adheres to the PMI standards as documented in the PMBOK® and supply chain management (SCM) industry standards for enterprise solutions, and compares the solution's functionality against the TIS replacement RFP's requirements to identify gaps that will need to be addressed during the solution's implementation. The Consultant shall prepare a comprehensive written report describing gaps and proposed resolutions, workarounds, and contract and pricing negotiations as appropriate.	S	25	

Source Selection and Contract Award

Provide Funding Requisition Support: The Grant Thornton Team will document the consensus findings, results, and supporting rationale for the Offeror that provide the best value to achieve the Treasurer's Office objectives in the Evaluation Report and Selection Recommendation to assist the Treasurer's Office in making the final selection decision. Once the decision is made, our team will leverage the findings of the gap analysis to create a draft Statement of Work (SOW), budget justification documents, and necessary presentations to help the Treasurer's IS Division Project Manager secure funding and complete the contract negotiation and award, following Requirement ID 2.4.1.17. To conduct supplier negotiations and mitigate any potential risks prior to contract award, we will also coordinate with the Treasurer's Office to use the evaluation reports and gap analysis findings as a baseline. To support successful negotiations, our team will structure an agreement template and negotiation approach, assist in establishing business terms and draft an agreement, and communicate changes with key internal stakeholders. In alignment with the PMBOK's procurement management guidelines, we strongly recommend that the Treasurer's IS Division Project Manager be directly involved in the negotiation process to ensure the final agreement meets the RFP requirements and mitigates risks identified during the procurement processes.

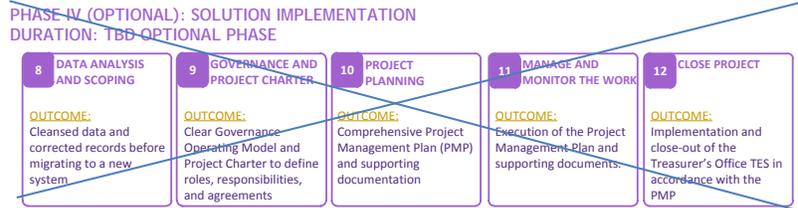
Deliver Protest Support: Following formal announcement of the contract award, the Grant Thornton Team will assist the Treasurer's IS Division Project Manager and appropriate contracting and legal personnel to debrief Offerors, as requested, by providing appropriate evaluation documentation and feedback and developing any necessary documentation and presentations. The Grant Thornton Team has a proven record of supporting successful acquisition without protest; however, in the event of a bid protest, we will work with the Treasurer's IS Division and MC OPS to prepare appropriate documentation and participate in meetings to solidify the MC OPS source selection process and decision. In accordance with Requirement ID 2.4.1.18, our support will include attending and testifying at hearings to help resolve a protest or appeal.

Close the Acquisition Process: Following the PMBOK, our team recommends that the Treasurer's IS Division Project Manager encourage project participants to document lessons learned throughout the acquisition process. Upon contract award, our team will facilitate a working session with the key stakeholders of the TIS replacement acquisition to compile lessons learned that will assist the organization to grow based on this process as well as to improve future acquisition efforts.

Deliverables:

1. Final Strategic Plan
2. Final Resource and Organization Plan
3. Final Data and Integration Plans
4. Final Technology Roadmap
5. Contract Review, Negotiation Assistance, and Non-Binding Recommendations
6. Audit and Protest Support Documentation

7. Final Award Package, Budget Request Proposals, and Presentations



Requirement ID	Requirement Description	Response Code	Years Providing Requirement	Additional Requirement Information
2.4.1.17	The Consultant shall, upon a new TES solution selection, create draft Statement of Work (“SOW”) documents, budget justification documents, and presentations as requested for review by the IS Division’s Project Manager for use to secure funding, complete contract negotiations and award, that unless otherwise instructed, adheres to the PMI standards as documented in the <i>PMBOK</i> [®] , supply chain management (SCM) industry standards for enterprise solutions, and the Arizona Revised Statutes (“A.R.S”), § 41 State Government, Chapter 23 Arizona Procurement Code.	S	25	
2.4.1.18	The Consultant shall, in the event of a bid protest, prepare documents in response to a bidder’s protest or appeals and participate in meetings. This includes attending and testifying at hearings to help resolve a protest or appeal. The Consultant shall work in conjunction with Treasurer’s Office and Maricopa County’s OPS on these issues.	S	25	

2.5 Phase IV Solution Implementation:

The Consultant shall report to the IS Division’s Project Manager. For Phase IV the Consultant shall provide recommendations and documentation for the successful project initiation, planning, and implementation of a new TES solution.

During this phase, the Grant Thornton Team will leverage the knowledge and skills of our key personnel to provide staff augmentation support for the successful project initiation, planning, and implementation of the new TES solution in accordance to PMBOK and SCM standards.

The Grant Thornton Team will execute tasks within this phase to develop project management plans that include:

- Final Analysis Document and Recommendation to Cleanse Data
- Communication Plan
- Project Plans
- Risk Management Plan
- Meeting Agenda, Minutes, and Presentations
- Deliverables Review and Approval Meetings
- Weekly Time Tracking Reports
- Weekly Status Reports
- Monthly Issue Reports

The following subsections describe in more detail our approach to meeting the requirements as outline in the SOW for Phase IV: Solution Implementation support.

Data Analysis and Preparation

We understand that Treasurer’s Information System (“TIS”) is a 25-year old system written primarily in OpenVMS COBOL with an Oracle RDB database management system. There are three primary databases supporting TIS:

1. Property
2. Nextis
3. Accounting

There are also numerous shadow systems in MS Access and MS Excel spreadsheets supporting the business. Maricopa County is preparing for the replacement of TIS system and it is highly desirable to cleanse the data and fix erroneous records before migrating to the new system.

The scope of the Data Analysis and Preparation task is to analyze the existing data from the three core databases as well as data the residing in MS Access and MS Excel spreadsheets. The purpose of the analysis is to identify gaps or quality issues in the current data and to develop a plan to address them as the County prepares for new system implementation. This effort will identify potential data issues and help reduce possible risks that could occur during the migration from the legacy system to the new system. Data quality challenges may occur due to issues such as the following:

- **Non-Conforming Data Standards:** Data Standards not being enforced while capturing the information
- **Fields left blank:** Data not being captured for the required fields
- **Referential integrity gaps:** Referential integrity rules not being enforced
- **Invalid values:** Values not being checked against a list of valid values
- **Duplication and redundancy:** The same information occurring multiple times in the database, potentially with inconsistent values.

The figure below presents a summary of our approach, activities, and estimates timeline for this task.

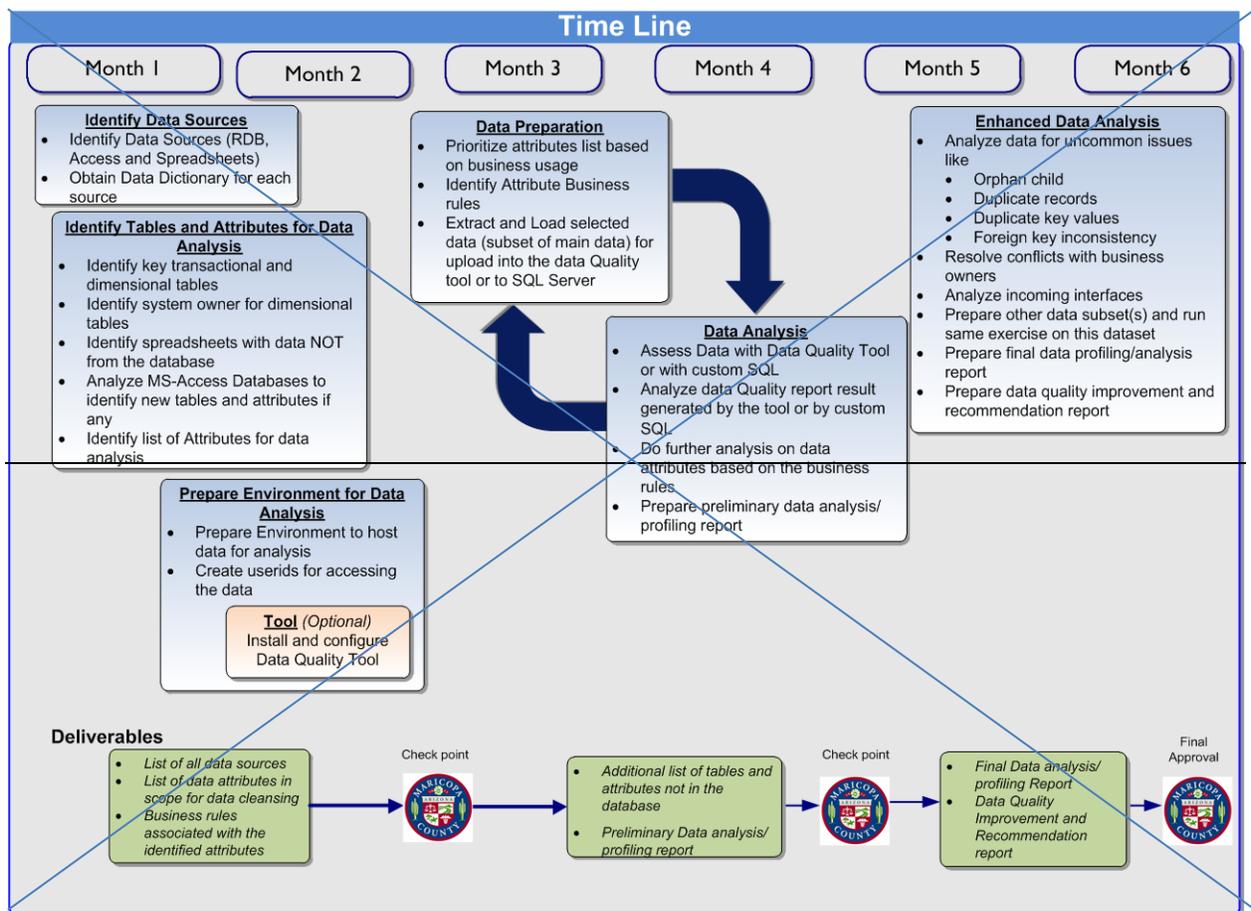


Figure 3: Data analysis approach

The Team will use a proven six-step iterative approach that is customized to suite Maricopa County's data quality and data profiling project needs. In Step 1 we will identify the data sources, in Step 2 we will identify tables and associated attributes (data elements/columns), in Step 3 we will prepare the technical environment needed to analyze and profile data, in Step 4 we will analyze the data using the data quality tool, and in Step 5 we will conduct deeper analysis of the data and submit recommendations. Each of these steps is described in more detail below.

Step 1: Data Source Identification—The first and foremost activity is to identify all data sources that are candidates for data profiling. This includes transactional databases, spreadsheets, MS Access databases, and reporting

databases. The Team will work with the County to inventory all relevant data sources which might be candidate for data analysis. Based on our prior experience working on data quality projects, we often find that there are many spreadsheets and access databases which have duplicative information or are just one-off variance of the main source data. These will be identified and marked accordingly during our initial analysis of all the identified data sources.

Step 2: Tables and attribute identification—The Team will then identify, with the help of the County team, dimensional (reference data) and transactional tables. We will identify owners for the dimensional tables so that further contacts can be made with them as we go down the path of analyzing and profiling data. For all the data sources identified above, the team will obtain system data model, data dictionary, or other meta data information. Based on the information collected, we will create a master list of all the attributes (data elements) as well as identifying their sources. This will also include attributes which are maintained in spreadsheets and other shadow systems.

From the attribute list, working with County subject matter experts, we will determine whether each attribute is in or out of the data profiling project scope. For each attribute, we will determine whether the attribute should be included in the scope of the data quality analysis. Attributes that contain business information are always included in the scope of the project regardless of how often the data is used. Some attributes may be excluded from data profiling scope if there is no value in profiling these. Attributes that may fall under this category include audit trail attributes (e.g., Date Last Updated, Record Created By) and primary key attributes.

Included within the above analysis will be an assessment of records retention requirements. For each attribute the Grant Thornton Team will work with the County to review the state statutes for records management and retention and to determine how much of the data will likely be converted, and therefore how much should be included in the data analysis activity.

Step 3: Environment Preparation—The Team will work with the County’s technical team to prepare the technical environment for data analysis. This includes preparation of the machine on which the software is loaded, establishing connectivity to the database, preparing the database for the subset data file, creating valid user IDs, and implementing security measures. We anticipate using existing tools that are already owned by the County, to include SQL Server Integration Services (SSIS), SQL Server Data Quality Services (DQS), and Microsoft Office Tools. We will configure the business rules for each of the attributes using the tool and/or use custom SQLs to validate the data and identify anomalies.

Step 4: Data Preparation—For each identified attribute, the Team will assign a priority level, such as high, medium, or low. This priority is based on data usage, inputs from business users and stakeholders, key reports, and data entry screens. We will work with stakeholders to understand the relative importance of various types of data, and to avoid a situation where all data is considered highly critical (this is a tendency based our prior experience). The factors below will be considered in preparing the data:

- Can the County get its work done and report confidently on its activities if values for the attribute are corrupted?
- How often is the attribute used?
- How is data for the attribute entered and stored?

The table below suggests priority ratings based on the three suggested factors.

Priority	Business Impact	Frequency of Use	Data Entry/Storage
High	Cannot conduct business	Frequently	Free text or numeric attributes
Medium	Can conduct business, perhaps with hardship	Sometimes	Drop down list box or checkbox attributes
Low	Not necessary to conduct business	Rarely	Calculated attributes, restricted attributes, or comment attributes

Based on the attribute priority, we will determine what should be in the first data set for data analysis. We will also take into account record retention mandates when looking into years of data to be included in the first data set. Starting with a smaller data asset is not resource-intensive and provides quick results from the analysis which can further be analyzed and consumed. Our suggested approach will be to include high/critical attributes with 3-5 years of data.

Once we have attribute list for the first dataset, we will obtain business rules for these attributes. Business rules can come from multiple sources like COBOL source code, design documents, data dictionaries, and user manuals. These

business rules will be extracted from different sources into a document and that will be used as basis for configuring the data quality tool and/or creating custom SQLs. We will focus on business rules that are related to data quality. The below table provides some of these business rules.

<p>Identity Rules. Identity rules govern primary key and foreign key integrity. For example, Employee ID primary key values must be unique within the Employee table.</p>
<p>Reference Rules. Reference rules govern relationships between entities. For example, an Employee must be related to an instance of a Position.</p>
<p>Cardinality Rules. Cardinality rules govern the minimum and maximum number of allowable relationships between entities. For example, an Employee must be related to at least one and only one instance of a Position.</p>
<p>Inheritance Rules. Inheritance rules govern specialized structures, such as subtypes and super-types of entities. For example, a Position must be seasonal or permanent, but cannot be both.</p>
<p>Value Set Rules. Value set rules governs the list of allowable values, range of allowable values, allowable character set, or pattern mask. For example, Employee First Name values cannot contain numeric characters.</p>
<p>Relationship Dependent Rules. There are three types of relationship dependent rules.</p> <ul style="list-style-type: none"> ● State Dependent Rules. State dependent rules ensure that values reflect the actual nature of the relationship between entities. For example, Position Status values must be equal to “Filled” when a Position is related to an instance of Employee. ● Mutually Dependent Rules. Mutually dependent rules ensure that certain relationships between entities exist. For example, if an Employee is related to an Account, then that Employee should be related to a Position that is related to the same Account. ● Mutually Exclusive Rules. Mutually exclusive rules ensure that certain relationships between entities do not exist. For example, if a Position is filled by an Employee, then that Employee cannot administer the same Position.
<p>Attribute Dependent Rules. There are three types of attribute dependent rules.</p> <ul style="list-style-type: none"> ● State Dependent Rules. State dependent rules ensure that attribute values are consistent. For example, age should be the difference between current data and date of birth ● Mutually Dependent Rules. There are two types of mutually dependent rules. <ul style="list-style-type: none"> ○ Derived Rules. Derived rules ensure that attribute values correctly calculate their values. For example, age should be the difference between current data and date of birth. ○ Constrained Rules. Constrained rules ensure that attribute values are dependent on other attribute values. For example, an hourly Employee can only have hourly pay rates and must have a seasonal Position. ● Mutually Exclusive Rules. Mutually exclusive rules ensure that, within a group of attribute values, only one value is allowable. For example, an Employee can have an Hourly Pay Rate value or a Monthly Pay Rate value, but not both.

We will work with the County’s technical team to extract data from production to be used as input to the data analysis tool. This data subset will be available in the test environment and can be used multiple times if needed. All the analysis will be done on a production snapshot and not on actual production data.

Step 5: Data Analysis The data quality tool will be configured to read the data set created in the above step. The tool will analyze the data based on the business rules and will create multiple reports that will be used for further analysis. Based on the initial results, changes to the configured business rules may be warranted if the business rules are not applied correctly or some of the obvious data inconsistencies are not captured. This is an iterative process and is continued until satisfactory results are obtained. Tool output is also spot checked against data by using custom SQL statements. At this point, the Team would have analyzed data for common errors such as:

- Missing Values (Null values)
- Default values (Not having actual values)
- List of Values(LOV)
- Identification of Alpha Characters in Numeric only fields(ALPHA)
- Invalid Dates
- Data format inconsistencies

~~Step 6: Enhanced Data Analysis~~—The Team will write custom SQL code to further analyze data for scenarios which are not very well captured by the tool. This may include orphan records, duplicate records; incorrect formulas etc. Custom SQL output will be analyzed and the results will be discussed with business owners for resolution. This is also an iterative process and we will enhance SQL statements along with the process as we learn more about data and business rules. Once we have satisfactory output from the tool and custom SQL, we will document the preliminary results showing various statistics and corrections to be made to cleanse data.

We will then prepare other data sets (additional number of years of data, or medium/low priority attributes) and follow the same exercises as done for the first data set.

After running through all data sets as agreed upon, we will prepare a final analysis document and recommendation to cleanse data. In addition to documenting recommendations for the cleansing of County data, this document will also present a logical design for the systems and technologies necessary to complete the cleansing and extraction of data.

Throughout this process, we will work closely with the County to facilitate knowledge transfer regarding tools and processes, so that County staff will possess the knowledge and experience necessary to continue the work once the Grant Thornton team’s activities are complete.

Deliverable:

Final Analysis Document and Recommendation to Cleanse Data

Governance and Project Charter

The first step in providing solution implementation support is to conduct project initiation tasks—review existing processes for IT integration management, recommend a governance structure, and establish a formal charter to clearly define resource involved, expectations, and organizational plans, structures, and service level agreements.

Prior to defining the governance structure and project charter, the Grant Thornton Team will meet with Treasurer’s IS Division and review documentation in order to understand the processes currently used to monitor IT projects and to measure their performance in accordance with the organization’s business objectives. If applicable to collect further information, we will conduct detailed interviews with project/program managers, system customers, and other key staff. The assessment areas may include the following:

Business Case	<ul style="list-style-type: none"> ● Strategic Alignment to Business Goals and Objectives ● Alignment to the Arizona law § 11 493, Revised Statutes, (“Statutes”), § 42-18001
Project Management	<ul style="list-style-type: none"> ● Resources and Staff Assignments ● Risks Identification and Mitigation ● Issues Management ● Supporting Systems and Program Documentation ● Performance Measurement
Processes	<ul style="list-style-type: none"> ● Support Processes ● Business Processes ● Implementation Processes ● Change Management Processes
Implementation	<ul style="list-style-type: none"> ● Data Migration ● System Architecture ● Deployment

Operations

- Infrastructure Operations
- Business Functions
- System Effectiveness
- Outcomes Management

The information gathered from the assessment area review will help the Grant Thornton Team establish and recommend a governance structure, project charter, and information to be used when developing the Project Management Plan.

Collaboration and Governance: Successful integration requires collaboration between project executive sponsor(s), subject matter experts, project managers, vendors, and internal and external end users. This collaboration is critical to success, and is accomplished by integrating the business case with ongoing project management. Collaboration is not just part of initial project management, but is part of the ongoing integration governance process. The Grant Thornton Team will provide TES solution governance and supplier oversight and management by creating a governance operating model that adheres to the SCM industry standards for enterprise solutions and outlines decision-making rights, reviews, performance evaluations, a service provider account manager, and authorizes change to project or service delivery, as defined in Requirement ID 2.5.1.3.

Project Charter: The Grant Thornton Team will work with the Treasurer’s IS Division to establish a charter based on key inputs such as the TES requirements, business case, environmental factors, existing organizational processes, and agreements. The project charter will be in accordance with PMBOK standards to formally authorize the existence of the project, provide the IS Division Project Manager with the authority to apply organizational resources to project activities, and establish agreements and partnerships between the Treasurer’s IS Division and supplier.

The charter will define recommendations that document clear roles and establish responsibilities across the Treasurer’s IS Division, the Grant Thornton Team, and the TES supplier, and provide written recommendations that document the service level management and relationship standards between the Treasurer’s Office and the supplier, as defined in Requirements ID 2.5.1.1, 2.5.1.2, 2.5.1.4, and 2.5.1.5. This includes, but is not limited to, clarifying expectations and documenting these in a Service Level Agreement (SLA), Operating Level Agreement (OLA), and Underpinning Contract(s) (UC). The Grant Thornton Team will monitor, report, review, and track the agreements and contract(s) using the Application Life Cycle Management (ALM) software tools in use by the Treasurer’s IS Division.

Deliverable

1. Project Governance Charter

Requirement ID	Requirement Description	Response Code	Years providing Requirement	Additional Requirement Information
2.5.1.1	The Consultant shall report to the IS Division’s Project Manager. All assigned Consultant personnel shall serve to augment the IS Division on the TES project. Consultant personnel shall include a project manager with at least five (5) years of progressive project management experience. The designated project manager shall have relevant experience managing at least one project of similar complexity. Desirable experience includes, a project manager with advanced project management education or current project management (i.e., PMP®, Agile) certifications.	S	25	

Requirement ID	Requirement Description	Response Code	Years providing Requirement	Additional Requirement Information
2.5.1.2	The Consultant shall provide staff augmentation support for the project initiation, planning, and implementation phases of the new TES solution by creating project management plans including, but not limited to: project plans, work breakdown structures, project schedules and milestone statuses, resource allocation and organization plans, communication plans, risk assessment and mitigation plans, configuration and control plans, test plans, sustainment plans, project release and transition plans, training and support plans, and project close-out plans. Unless otherwise instructed, the plans shall adhere to the PMI standards as documented in the <i>PMBOK</i> [®] .	S	25	
2.5.1.3	The Consultant shall provide TES solution governance and supplier oversight and management by creating a governance operating model that outlines decision making rights, reviews, performance evaluations, a service provider account manager, and authorizes changes to project or service delivery. This model shall, unless otherwise instructed, adhere to supply chain management (SCM) industry standards for enterprise solutions.	S	25	
2.5.1.4	The Consultant shall provide written recommendations that document the service level management and relationship standards between the Treasurer's Office and the supplier. This includes, but is not limited to, clarifying expectations and documenting these in a Service Level Agreement (SLA), Operating Level Agreement (OLA), and Underpinning Contract(s) (UC). The monitoring, reporting, reviewing, and tracking of the agreements and contract(s) shall be conducted using <i>Application Life Cycle Management (ALM) software tools in use by the Treasurer's IS Division</i> .	S	25	
2.5.1.5	The Consultant shall provide written recommendations that document clear roles and establish responsibilities across the IS Division, the Consultant, and the TES supplier that adhere to the PMI standards as documented in the <i>PMBOK</i> [®] .	S	25	

Project Planning

Project planning for the TES implementation consists of developing the Project Management Plan (PMP). The Grant Thornton Team will use information from data gathering, the project charter, and organizational processes to develop a PMP to define how the project is executed, monitored and controlled, and closed. The PMP provides a central document that defines the basis of all project work.

The PMP will include the full Systems Development Life Cycle (SDLC) Integrated Master Schedule (IMS), based on detailed individual Work Breakdown Structures (WBSs), that integrates the schedules of all of the TES program contractors and provides the Treasurer's Office leadership with a comprehensive view of the interdependencies between the contractors and the overall status of the program; a staffing plan and Responsible Accountable-Consulted Informed (RACI) matrix to define work responsibilities, and Standard Operating Procedures (SOPs) to

define how work is managed. Additionally, the PMP will address and recommend activities for the following factors:

- Change Management (Requirement ID 2.5.1.6)
- Performance Metrics and Measurement Stakeholder (Requirement ID 2.5.1.7)
- Treasurer’s Office and Vendor Coordination (Requirement ID 2.5.1.7)
- Quality Control (Requirement ID 2.5.1.7)
- Risk Mitigation (Requirement ID 2.5.1.12)
- Training Strategies/Approach (Requirement ID 2.5.1.9)
- Issue Management (Requirement ID 2.5.1.9)
- Communication Management (Requirement ID 2.5.1.8 and 2.5.1.10)

Once approved by the Treasurer’s IS Division, we use the PMP to document planning assumptions and decisions; to facilitate communications among stakeholders; to define approved scope, cost, and schedule baselines; to describe how and when project objectives will be achieved; and to specify and track the completion of program deliverables and delivery dates. During execution of the PMP, we maintain work papers, manage project files and deliverable, and log key program decisions.

Deliverable:

1. Project Management Plan

Requirement ID	Requirement Description	Response Code	Years providing Requirement	Additional Requirement Information
2.5.1.6	The Consultant shall provide written recommendations to document the change management process for TES requirement changes that adhere to the PMI standards as documented in the <i>PMBOK</i> [®] .	S	25	
2.5.1.7	The Consultant shall provide written recommendations that establishes best practices for the supplier and the Treasurer’s Office to accomplish the alignment of business needs with metrics and measurements that match the expected value and delivers a successful product.	S	25	
2.5.1.8	The Consultant shall provide written recommendations that define successful coordination across multiple teams to deliver services that produce expected TES project deliverables that adhere to the signed Agreement.	S	25	
2.5.1.9	The Consultant shall provide written recommendations that define a positive user experience, meet technology needs, provides training, support, and resolves issues and complaints throughout the TES project to the user’s satisfaction.	S	25	
2.5.1.10	The Consultant shall provide written recommendations that define expectations, common languages, assigns designated contacts across entities, schedules regular communication, and establishes clear hand-offs between project phases that adhere to the PMI standards as documented in the <i>PMBOK</i> [®] .	S	25	

Manage and Monitor Work

The Grant Thornton Team’s approach for delivering TES implementation support services is based on best practices defined within the PMBOK and focuses on managing and monitoring the work. This approach is grounded in lessons our team has learned supporting similar state and local financial managements system improvement and sustainment initiatives.

Within this task, the Grant Thornton Team will review and validate the TES solution provider’s plans, documentation, and deliverables. The Grant Thornton Team will support the Treasurer’s IS Division in proactively identifying risks to schedule, cost and quality and aid in preparing for strategic, tactical, project, operational, training, testing, support and lessons learned discussions/meetings (Requirement ID 2.5.1.11), and help to mitigate risks (Requirement ID 2.5.1.12), and to prevent future change orders by identifying triggers, warning signs, and tracking issues (Requirement ID 2.5.1.13).

The Grant Thornton Team will executive these activities by providing project leadership with practical, unbiased advice that can help the project avoid major problems and improve the chances or project success. The Grant Thornton Team views this to be an important element of our solution implementation support role: providing the Treasurer’s Office with an insightful and unbiased assessment of the current status and future risks of the TES project. To be useful, this assessment must be:

- **Objective and factual.** The information we present should be based on objective evidence and data, whether acquired through documentation review, meeting attendance, or interviews. It should also be free of bias or self interest, and present the information in a manner that most clearly highlights impacts to the Treasurer’s Office.
- **Informed by experience.** The recommendations we provide should be based on practical experience, whether that is the combined experience of multiple organizations as embodied in leading practices, or in the extensive individual experience of our team members. Recommendations should be informed by a practical experience of what has worked in the past and what is likely to work for the Treasurer’s Office.
- **Predictive, not reactive.** We must provide the Treasurer’s Office with information on upcoming risks and issues, not just report on things that have already happened. While status reporting is valuable, the ability to proactively influence future events is even more valuable.
- **Focused and actionable.** Our recommendations to the Treasurer’s Office will focus on the most urgent and important risks and issues that deserve their attention. Part of our role is to help the Treasurer’s Office understand where their engagement and intervention will be most crucial to program success. Our recommendations will also be actionable, and provide the Treasurer’s Office with specific alternative courses of action, along with a justifying rational for each recommendation.

Figure 7: Risk Management Methodology



The Grant Thornton’s Team focus in delivering risk management, quality assurance, organizational change and public relations support services will position the Treasurer’s Office for project success by anticipating problems and by focusing on those activities that will have the most impact on project performance.

Risk Identification and Management: The Grant Thornton Team’s risk management approach is structured, non-punitive, and collaborative. It has been implemented for numerous clients including the State of California, the New Jersey Turnpike, the State of Ohio, the Office of Personnel Management, and the Pennsylvania Turnpike. For each of these clients, we provided regular, proactive risk management activities in accordance with our methodology. Figure 7 presents a high level depiction of our methodology for identifying, assessing, and mitigating risks. Our risk management methodology has three major phases:

1. **Assessing the risk environment.** We assess current risk management practices within the client, assess the level of tolerance for risk within the organization and determine the acceptable level of risk that the organization wishes to take.
2. **Assessing risk.** We then regularly identify and analyze risks, and plan the appropriate response to each risk.
3. **Monitor and control risk.** The final phase is monitoring and control, where we monitor the implementation of risk mitigation activities, and recommend improvements to the management of individual risks and to the risk management practices of the organization as a whole.

We maintain a Risk Log, as depicted in Figure 8, that tracks each risk, including understanding the potential impact of each risk, the probability of occurrence and the urgency of addressing the risk. We will maintain a risk log in the format shown below for all project risks that we identify. For those risks that are appropriately managed through the TES solution provider's risk management processes, we will also insert the risk into their risk log and track their actions to manage the risk.

Description								
ID	Risk	Risk Cause	Risk Impact Statement	Category	Phase			
Rating			Mitigation, Escalation or Resolution Plan			Reporting		
Probability	Impact	Urgency	Trigger Date	Response	Response Plan	Date Open	Date Close	Status

Figure 8: Risk Log

It is very easy for project leadership on large, complex projects to become so buried in day to day demands that broader strategic business needs and concerns do not receive the focus and attention they require. As a consequence, while day to day issues may be addressed and resolved, larger more complex problems may not be anticipated or recognized, or decisions may be made with a narrow short-term focus.

As an example, to help project leadership on the State of California FISCAL statewide ERP project maintain a strategic focus, we conducted a monthly Strategic Project Review with the FISCAL Project Executive and Project Director. This meeting's purpose was to discuss important strategic issues and risks, without the distraction of pressing day to day concerns. To support each monthly Strategic Project Review meeting, we packaged information on the most critical risks and issues, along with a digest of significant project milestones and decisions, into a monthly Project Risk Assessment. Each month, we reviewed this Assessment with project leadership, and highlighted the issues, risks, and decisions that we considered most in need of management attention. These project review meetings helped the FISCAL project leadership to retain focus on issues such as whether:

- Project scope and requirements remained consistent with, and supportive of, project objectives;
- Necessary performance metrics were defined to measure project progress and project success; and
- Decisions taken to resolve near-term issues were in the long-term interests of the project and its stakeholder.

We would institute a similar monthly strategic project review with the Treasurer's Office, and use the meeting to discuss key risks and to discuss methods to mitigate each risk.

Quality Assurance: The Grant Thornton Team takes a multi-dimensional approach to solution implementation Quality Assurance (QA). Our approach is grounded in the following set of QA categories, through which we measure the performance of a project in all the areas of project activity that drive project success:

- **Governance** — To assess the level executive stakeholder awareness, buy in and support, and the willingness and ability to make timely, fact-based decisions.

- ~~Project Management~~ – To determine if the project is planned and managed in a fashion that effectively defines and controls scope, schedule, budget and resources.
- ~~Risk and Issue Management~~ – To determine whether risks and issues are accurately and comprehensively identified and managed. Also to determine whether the culture of the organization supports proactive and transparent communication of risks and issues.
- ~~Quality Management~~ – To assess the activities involved in quality planning, implementation of the quality plan, and the quality assurance functions within the project.
- ~~Organizational Change and Training~~ – To determine whether internal and external stakeholders are being prepared for and will be ready for the impending changes.
- ~~Requirements Management~~ – To assess the requirements management plan and validate that requirements management activities are implemented in accordance with the requirements management plan.
- ~~Procurement and Contract Management~~ – To determine whether procurement activities enable the best possible vendor selection and whether resulting contracts are managed in a fashion that reinforces quality and accountability.
- ~~Solution Development and Implementation~~ – To validate that solutions are being designed, developed and implemented in accordance with approved plans and designs.
- ~~Maintenance and Operations~~ – To determine whether the project is conducting maintenance and operations activities according to plan and service agreements.

The Grant Thornton Team will develop QA Reports that will serve as the primary method to document and communicate the performance ratings for each QA category. Any significant findings and recommendations will be tracked within our QA reports on an ongoing basis, and we will document the project’s efforts to address and resolve any findings. As issues are identified, where appropriate they will be introduced into the implementation services vendor’s issue log for tracking and resolution through the normal project issue management process.

Deliverables

1. Risk Management Analysis
2. Quality Assurance Analysis
3. Recommended Agendas

Requirement ID	Requirement Description	Response Code	Years providing Requirement	Additional Requirement Information
2.5.1.11	The Consultant shall provide written recommendations to define agendas for regularly scheduled meetings, including but not limited to, strategic, tactical, project, operational, training, testing, support, and lessons learned meetings that adhere to the PMI standards as documented in the <i>PMBOK</i> [®] .	S	25	
2.5.1.12	The Consultant shall provide written recommendations to define risk management. This includes but is not limited to, risk tracking, review, controls and risk mitigation, resolution and resiliency that properly handle unexpected issues throughout the TES project that adhere to the PMI standards as documented in the <i>PMBOK</i> [®] .	S	25	
2.5.1.13	The Consultant shall provide written recommendations to identify triggers, warning signs, and track issues early in the TES project and establish	S	25	

	clear responsibilities and escalation paths that include the supplier providing prompt issue resolution as defined in the contract and an SLA.			
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Project Closeout

As defined in Requirement ID 2.5.1.14, the Grant Thornton Team will develop a detailed production closeout plan that includes all changes to run programs, copy libraries, job streams and security profiles that are impacted by the elimination effort, as well as plans for renegotiation of maintenance contracts, retirement and archival of configurable items for emergency access to historical data and processes, and data retention and archival as specified in requirements, including legal requirements and corporate policies.

The Production Closeout Plan will validate that retired legacy system applications, software and historical data are secure from unauthorized access after system elimination, and will specify procedures for the authorized retrieval and restoration of legacy configurable items and historical data.

Deliverable

1. Production Closeout Plan

Requirement ID	Requirement Description	Response Code	Years providing Requirement	Additional Requirement Information
2.5.1.14	The Consultant shall Develop detailed production closeout plan. This includes, but is not limited to, all changes to run programs, copy libraries, job streams and security profiles that are impacted by the elimination effort, as well as plans for renegotiation of maintenance contracts, retirement and archival of configurable items for emergency access to historical data and processes, and data retention and archival as specified in requirements, including legal requirements and corporate policies. The closeout plans should ensure that retired legacy system applications, software and historical data are secure from unauthorized access after system elimination, and should specify procedures for the authorized retrieval and restoration of legacy configurable items and historical data.	S	25	

EXHIBIT B
SCOPE OF WORK

NEW EXHIBIT B EFFECTIVE 02/18/15

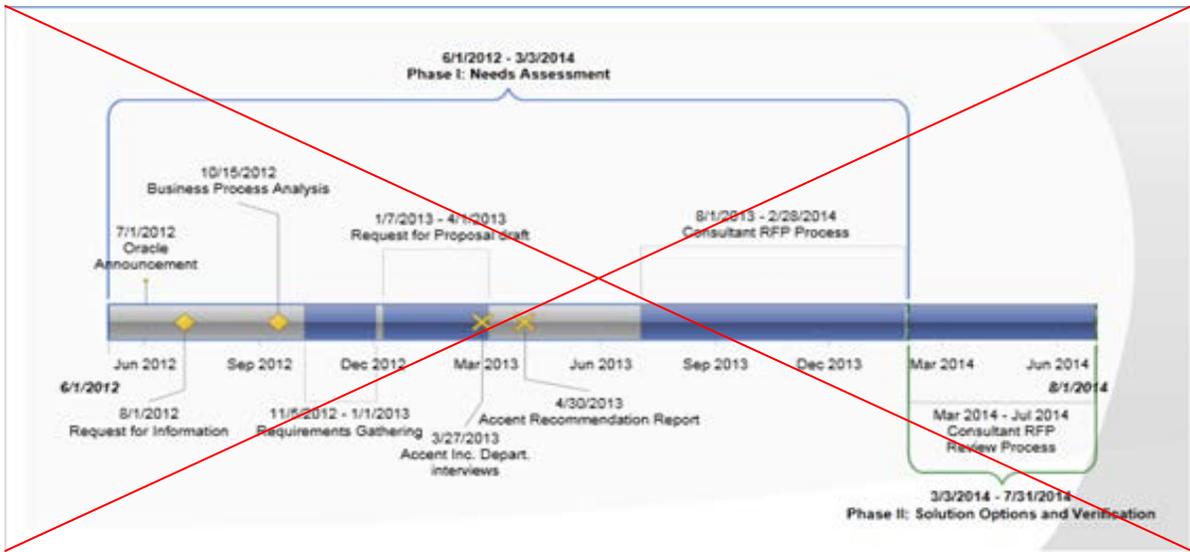
1.0 INTENT:

The purpose of this document is to define the services associated with the effort of replacing the Treasurer's Information System (TIS). This document will define the phases necessary for the Maricopa County Treasurer's Office (MCTO) to select the TIS Replacement system, conduct pre implementation activities, and to prepare for the related TIS Replacement implementation effort. This document serves to describe what will be delivered according to the budget, time constraints, risks, resources and standards agreed upon for each work stream.

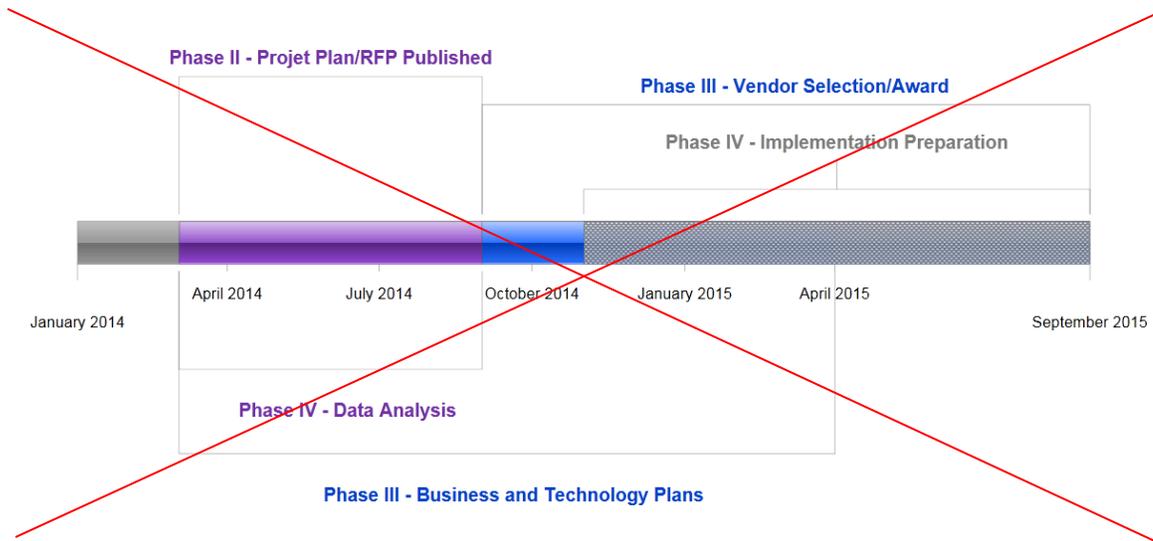
2.0 SCOPE OF WORK:

The services to be completed by Grant Thornton in the Preparation, Procurement and Pre Implementation Phases extends the work completed by MCTO during the initial Needs Assessment phase.

The chart below indicates the work completed in the Needs Assessment Phase by MCTO's IS Division:



The chart below indicates the work planned for the next phases of the Maricopa County TIS Replacement effort by Grant Thornton:



The scope of the Preparation, Procurement and Pre-Implementation Phases of the TIS Replacement effort includes the following activities:

- Identification of a vendor to advise the MCTO IS team as to best practices for a replacement effort of this magnitude
- Onboard the selected vendor to assist MCTO by:
 - ✓— Advising on project strategy and governance of the Preparation and Procurement phases
 - ✓— Supporting MCTO in the issuance of an RFP and selection of the replacement system
 - ✓— Recommending steps for MCTO readiness for the replacement implementation effort, and
 - ✓— Providing data quality analysis and remediation of the underlying TIS and shadow system databases to help identify the effort to prepare for conversion to the replacement system.
- Development of the MCTO Strategic Plan for fiscal year 2016
- Development of a Technology Vision for the MCTO IS Division
- Finalization of an RFP and related requirements for the TIS Replacement system
- Procurement and solution funding of the TIS Replacement system, and
- Preparation and readiness during a pre-implementation Project Phase to include the following:
 - ✓— Project Management and Governance
 - ✓— Project Charter, Methodology, and Tools
 - ✓— Service Level Agreement (SLA) with OET
 - ✓— Business Process Reengineering (BPR)
 - ✓— Organizational Change Management (OCM), and
 - ✓— Data Quality Improvements

2.1 Grant Thornton Deliverables:

Using a customization of the Grant Thornton Enterprise Resource Planning (ERP) acquisition methodology, the Grant Thornton team will leverage the Phase I Needs Assessment completed by MCTO. This methodology starts with finalizing requirements and moves through source selection and implementation support in three additional phases, as described below:

Phase II: Solution Options and Verification

This phase consists of the following key activities:

Develop preliminary acquisitions recommendations report

To determine if changes should be made to the current draft replacement RFP, the Grant Thornton Team will complete a full RFP package review including project business objectives, acquisition strategy, current business and technical requirements, and planned process and timeline for the procurement. Based on this review and the supporting documents, the Grant Thornton Team will recommend changes to the current replacement RFP, including where appropriate alternatives to the business and technical requirements defined in the current TIS replacement RFP.

Develop final acquisition recommendations report

The Grant Thornton Team will make recommendations for the final TIS replacement RFP, based on the findings developed in the previous section and recommendations on existing draft documentation, to include:

- Draft Strategic Plan
- Draft Technology Vision
- Draft Data and Integration Plan
- Draft Quality Improvement Recommendations Report
- Draft Budget Request Proposals and Presentations

Findings and recommendations will be summarized and concerns or weaknesses will be categorized to enable the Team to work with the Treasurer's Office to create a solicitation package that addresses the Treasurer's Office needs and aligns with business objectives.

Phase III: Solution Funding, Procurement and Selection

The key activities in this phase include:

Evaluation Planning

During this phase, the Grant Thornton Team will develop a Source Selection Plan (SSP) that will describe the evaluation team members, roles and responsibilities, weighted criteria, schedule, evaluation approach, scorecard ranking instrument, and presentation format for solution proposals and/or service vendor demonstrations. An Excel-based scorecard ranking instrument will be used to document the evaluation findings and promote standardization, thoroughness, and traceability to solicitation requirements. Training to the Treasurer's source selection evaluation team will be provided on their responsibilities, the evaluation processes and criteria, procurement integrity guidelines, and timelines.

Screening and Evaluation

Following the release of the RFP package, the Grant Thornton Team will assist in responding to questions received from Offerors to clarify the Treasurer's Office's intentions and requirements. During this phase, the team will review each submission to ensure that all instructions were followed and that each proposal is complete. To support vendor

demonstrations and presentations, vendors will be provided with a standard presentation and demonstration format to allow the evaluation team to compare proposals fairly and consistently.

During the evaluation, the Grant Thornton Team will facilitate sessions to review individual evaluation team members' findings, support written requests to Offerors for clarification, and consolidate inputs to reach consensus. Throughout the process, the team will help the evaluation team document and recommend changes and scorecard rankings for all factors considered in selecting the preferred bidder.

Source Selection and Contract Award

In this phase, the Grant Thornton Team will provide recommendations to the Treasurer's Office for ongoing evaluation of the preferred bidder's target solution's functionality against the requirements to identify gaps, facilitate fit-gap analysis discussions with the preferred vendor, contract negotiations, solution selection, contract preparation and documentation, and all other processes leading up to and including contract award.

The Grant Thornton Team will document the consensus findings, results, and supporting rationale for the Offerors that provide the best value to achieve the Treasurer's Office objectives in the Evaluation Report and Selection Recommendation to assist the Treasurer's Office in making the final selection decision.

Following formal announcement of the contract award, the Grant Thornton Team will assist the Treasurer's IS Division Project Manager and appropriate contracting and legal personnel to debrief Offerors, as requested, by providing appropriate evaluation documentation and feedback. In the event of a bid protest, the team will assist in preparing appropriate documentation and participate in meetings to solidify the source selection process and decision.

Phase IV: Solution Implementation

The key work streams and activities of this phase include:

Pre implementation:

The scope of the project focuses on the following activity:

Data Quality Analysis, Scoping, and Remediation

This effort includes analyzing the existing data from the three core databases as well as data residing in MS Access and MS Excel spreadsheets. The purpose of the analysis is to identify gaps or quality issues in the current data and to develop a plan to address them as the County prepares for the new Treasury system implementation (The analysis work was completed by GT in Aug., 2014).

The additional services will more closely examine and analyze several areas of concern that were identified during the initial data analysis and remediate the qualified data issues. This will help reduce possible risks that could occur during the migration from the legacy system to the new system (the remediation and scoping work is being requested from GT). Findings from the data scoping, analysis, and remediation activities will be documented in a detailed approach that will benefit the Office right away and will be ready for use by the TIS Replacement system implementer when the implementation phase is gets underway.

EXHIBIT B SCOPE OF WORK

NEW EXHIBIT B EFFECTIVE 04/20/16

1.0 INTENT:

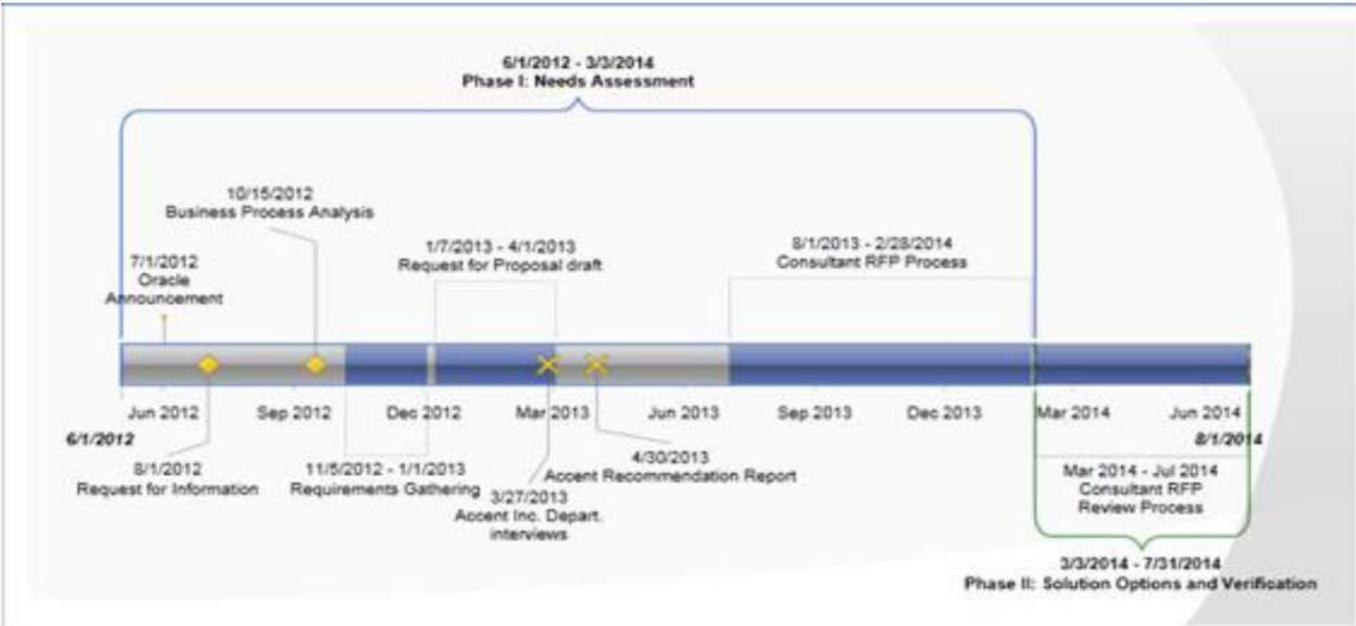
The purpose of this document is to define the support services associated with the effort of replacing the Treasurer’s Information System (TIS). This document will define the phases necessary for the Maricopa County Treasurer’s Office (MCTO) to select the TIS Replacement system, conduct pre-implementation activities, and to prepare for and execute the related TIS Replacement implementation effort. This document serves to describe what will be delivered according to the budget, time constraints, risks, resources and standards agreed upon for each work-stream.

2.0 SCOPE OF WORK:

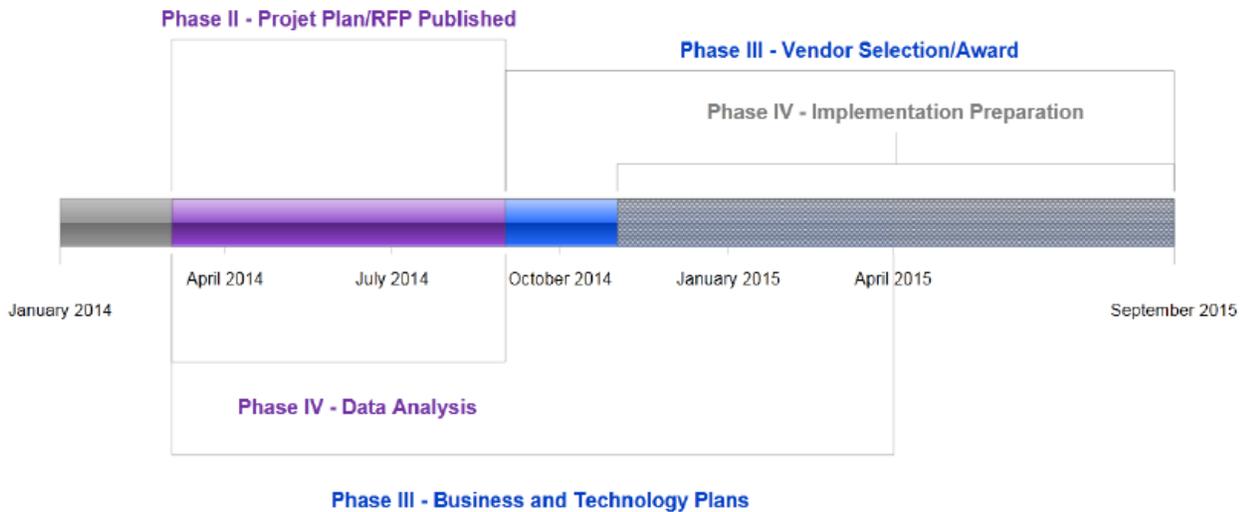
The services to be completed by Grant Thornton in the Preparation, Procurement, Pre-Implementation, and Implementation Phases extends the work completed by MCTO during the initial Needs Assessment phase.

Background

The chart below indicates the work completed in the Needs Assessment Phase by MCTO’s IS Division:



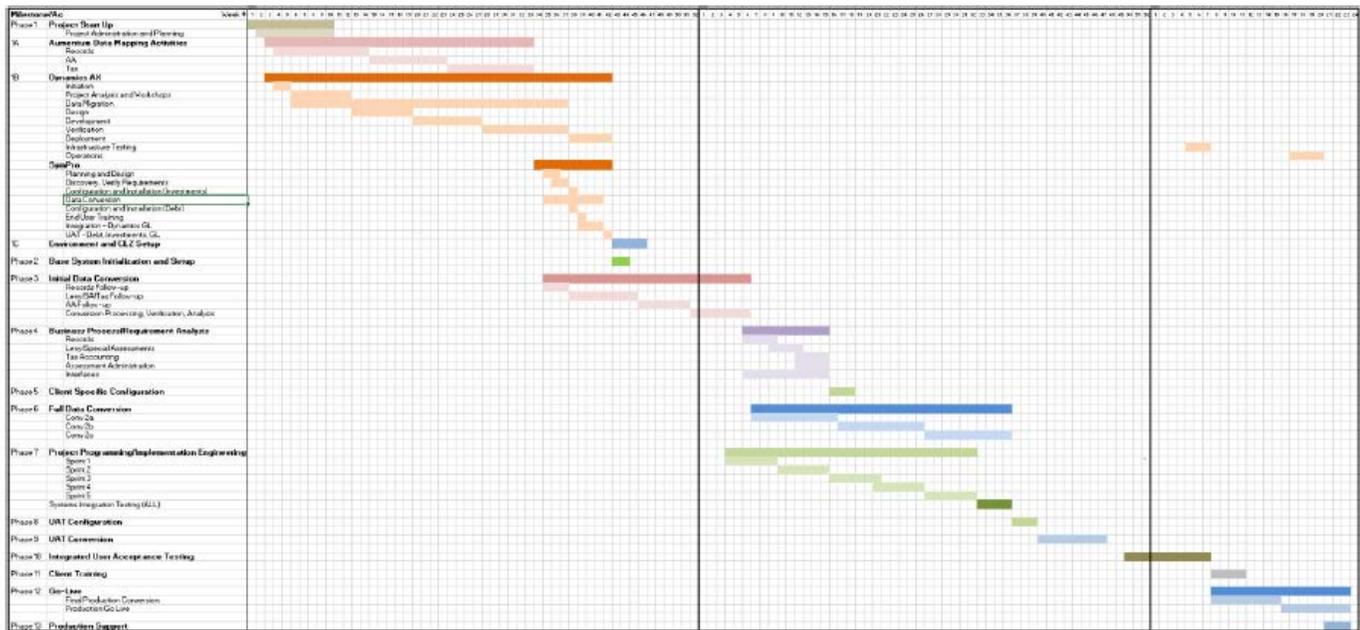
The chart below indicates the work planned for the Preparation, Procurement, and Pre-implementation phases of the Maricopa County TIS Replacement effort by Grant Thornton:



The scope of the Preparation, Procurement and Pre-Implementation Phases of the TIS Replacement effort includes the following activities:

- Identification of a vendor to advise the MCTO IS team as to best practices for a replacement effort of this magnitude
- Onboard the selected vendor to assist MCTO by:
 - ✓ Advising on project strategy and governance of the Preparation and Procurement phases
 - ✓ Supporting MCTO in the issuance of an RFP and selection of the replacement system
 - ✓ Recommending steps for MCTO readiness for the replacement implementation effort, and
 - ✓ Providing data quality analysis and remediation of the underlying TIS and shadow system databases to help identify the effort to prepare for conversion to the replacement system.
- Development of the MCTO Strategic Plan for fiscal year 2016
- Development of a Technology Vision for the MCTO IS Division
- Finalization of an RFP and related requirements for the TIS Replacement system
- Procurement and solution funding of the TIS Replacement system, and
- Preparation and readiness during a pre-implementation Project Phase to include the following:
 - ✓ Project Management and Governance
 - ✓ Project Charter, Methodology, and Tools
 - ✓ Service Level Agreement (SLA) with OET
 - ✓ Business Process Reengineering (BPR)
 - ✓ Organizational Change Management (OCM), and
 - ✓ Data Quality Improvements

The chart below provides a preliminary timeline for the Implementation phase. It is comprised of twelve (12) sub-phases.



The scope of services for the Phase IV: Solution Implementation phase of the TIS Replacement effort includes the following:

Implementation Support Services

- ✓ Project Management, Coordination
- ✓ Data Readiness and Conversion
- ✓ Investments Management and Accounting Subject Matter Expertise
- ✓ Organizational Change Management

Implementation Oversight

- ✓ Project Health Tracking
- ✓ Project Milestone Performance Auditing
- ✓ Deliverable Review

Using a customization of the Grant Thornton Enterprise Resource Planning (ERP) project management methodology, the Grant Thornton team will leverage the work completed in Phases I, II, and III in providing implementation support services during the implementation phase of the TIS Replacement project. The Grant Thornton team will leverage its experience, templates, and resources in coordinating with the software vendor’s implementation team (referred to herein as “Prime Integrator”) and MCTO’s internal team (referred to herein as “MCTO Team”) of subject matter experts to facilitate delivery of the TIS Replacement project.

Implementation Support Services

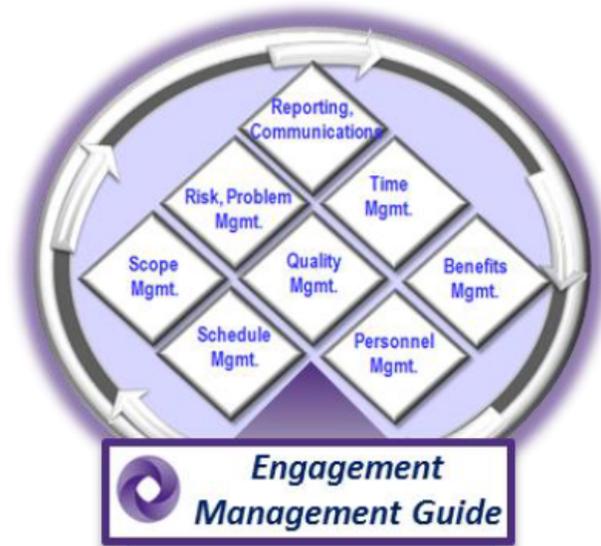
Grant Thornton will provide implementation support services for the following work-streams: project management and coordination, data readiness and conversion, accounting and investment management, and organizational change management. The support includes dedicated project resources that are assigned to support MCTO Team implementation project activities that fall outside of the scope of services provided by the Prime Integrator.

Project Management

Grant Thornton will employ a proven engagement management approach led by our Project Manager, and under the guidance of our Engagement Director.

Effective management controls are a cornerstone of our overall project delivery approach. To plan, execute, control, and monitor delivery of the project, we use Grant Thornton’s Engagement Management Guide (EMG). The below figure lists the tools and techniques provided through the EMG.

The EMG incorporates lessons learned through the execution of hundreds of complex federal and state government projects, as well as widely accepted practices defined within the Project Management Institute’s (PMI) Project Management Body of Knowledge (PMBOK) and the PMI Standard for Program Management. We use EMG tools and techniques to clarify and resolve issues, to create an ongoing framework for making decisions, to promote and validate the quality of our work products, to achieve prompt and mutual acceptance of project deliverables, and to facilitate project communication and cooperation.



The Grant Thornton team will complete the following major steps to provide project management services during the TIS Replacement project:

Project Planning and Initiation

Grant Thornton will provide project management services to serve as the MCTO Project Manager in the planning phase of the implementation project. We will coordinate MCTO input, review, and approval for all Prime Integrator work products and deliverables associated with the Project Start-Up phase. We will collaborate with the Prime Integrator to create an overall project management plan (PMP) for the implementation phase. The PMP will include plans to manage scope, schedule, cost, quality, resources, communications, risks & issues, and stakeholders. Grant Thornton will also provide input to the Prime Integrator’s project manager to create a project schedule and work breakdown structure (WBS); determine

quality standards; determine roles and responsibilities for all resources; and identify and mitigate risks. For each of the deliverables and work products mentioned, we will be responsible for ensuring that thorough reviews are conducted as directed in the PMP and that timely approvals are provided.

Project Integration Management

Grant Thornton's primary project management role throughout the implementation project will be to perform integration management in supporting the needs of the Prime Integrator's project manager. This involves directing project work and balancing the major components and constraints of the project as laid out in the PMP. We will work with the Prime Integrator's project manager to gather work performance data and produce status reporting against the original baseline and other established KPIs. We will influence change factors and work to continuously improve the productivity of the project team based the work performance data. We will co-lead steering committee and stakeholder meetings and monitor stakeholder engagement. Grant Thornton will work within the approved authority structure to approve changes to scope and will escalate any risks, issues, or change that require input from the steering committee. Only approved mitigation plans, corrective actions, and scope changes will be implemented. We will coordinate with MCTO leadership to review, approve, and accept formal deliverables outlined in the Prime Integrator's contract. Throughout the project's execution, the project manager will provide input to continuously update the project management plan based upon improvements and changes to the defined processes.

Additionally, the project manager will be responsible for directing work activities for the members of the County project team, which will be comprised of County employees and Grant Thornton consultants. This includes staffing all team roles according to plan, evaluating team and individual performance, hold team-building activities, giving recognition and rewards, facilitating conflict resolution, and soliciting feedback.

Project Closing

Grant Thornton will work with both MCTO leadership and the Prime Integrator's project manager to confirm that the output of the work performed meets the original project requirements. We will coordinate with MCTO leadership to obtain final acceptance of the new system components and will ensure that it is properly transitioned to the operations team. Final performance reporting will be produced and all project documentation will be archived for future reference and audit.

Project Coordination

The Grant Thornton team will include project coordination services that will extend the project management services. The two capabilities will form the project management office (PMO).

We will be responsible for creating and maintaining structure for project management processes. Grant Thornton will extend the project management services by handling operational and coordination tasks throughout the project. The primary project coordination responsibilities and activities include:

- Coordinating meetings and managing team calendars
- Coordinating training activities
- Monitoring project team staffing including onboarding and release of project resources
- Coordinating with Prime Integrator PMO in maintaining the project master schedule and WBS
- Producing productivity reports
- Monitoring MCTO team assigned tasks, including burn rate
- Managing facility-related tasks
- Establishing project documentation standards and templates
- Managing and updating project SharePoint site and other file repositories
- Creating meeting agendas
- Recording meeting minutes and action items

Grant Thornton will be the primary contributor to County-owned project management office related activities in addition to those listed above, and will provide input to the Prime Integrator's PMO team to ensure that the project follows sound administrative processes.

Data Readiness and Conversion

The Grant Thornton team will support the following project data conversion phases and activities within each phase:

Tax Data Mapping

The intent for this phase is for the County to be able to populate the intermediate file formats and allow the Prime Integrator team to gain an understanding of County readiness and preparations in regards to the legacy data. The Grant Thornton team will perform the following activities in leading the County-side of the conversion effort:

- Participate in monthly Prime Integrator-led data extraction overview workshops- these workshops are intended to define the effort required for conversion readiness, work toward creating the conversion extracts, share and explain conversion templates, and address County questions concerning the import files as they arise.
- Define exit criteria for tax data mapping phase
- Populate intermediate tables and execute validation scripts
- Identify and document the data sources to be included in the system conversion
- Identify how many years of data should be converted versus retained

- Provide and document the list of data sources to be included in the conversion including file size and record counts
- Capture and document screen print examples of the different types of records
- Obtain or create file layout descripts or database dictionaries for any systems which are not document
- Execute validation scripts (provided by the Prime Integrator) to successful completion
- Utilize outputs from Data Quality Analysis and Remediation efforts to streamline/accelerate any required data cleansing/clean up
- Recommend acceptance of Prime Integrator DAS and provide input to Phase Gate Quality Report, including assessment of exit criteria
- Provide input to Status Report, Risk and Issue Log, Project Health Report, and Prime Integrator Deliverable Review
- Document results in Data Conversion Readiness Report

Initial Accounting and Investment Data Conversion

The Grant Thornton team will lead the County-responsible Accounting and Investment data conversion activities of the project. These activities span master and transactional data entities including chart of accounts, financial dimensions, ledger balances, vendors, warrants, employees, bank transactions, and users.

These activities include:

- Provide input to the data migration strategy
- Define exit criteria
- Extract data from legacy system
- Perform data clean up/cleansing (as required)
- Perform data mapping from legacy to new system templates
- Perform validation of migrated data
- Review management of mock conversion environments
- Coordinate reconciliation of migrated data with County business owners
- Perform and/or coordinate manual data migrations at cutover, if required
- Utilize outputs from Data Quality Analysis and Remediation efforts to streamline/accelerate any required data cleansing/clean up
- Provide input to Status Report, Risk and Issue Log, Project Health Report, and Prime Integrator Deliverable Review
- Recommend acceptance of Prime Integrator DAS and provide input to Phase Gate Quality Report, including assessment of exit criteria
- Document results in Data Conversion Readiness Report

Initial, Full, and UAT Conversion for Tax Data

The initial and full tax data conversion phases will continue to build upon the progress made in the Tax Data Mapping phase. Grant Thornton will lead the activities of this phase from a County perspective, including:

- Initial Data Conversion
 - Provide data to be converted in standard import format to Prime Integrator
 - Review results of standard import processes and provide recommendation for sign off documentation
 - Review feedback on data import and assess issues and discrepancies that impact quality of data converted
 - Define exit criteria
 - Review management of mock conversion environments
 - Perform fixes and corrections for issues/defects and re-create extracts as necessary
 - Review target database and ensure common understanding of new storage structures for data
 - Setup and configure utilities or scripts utilized in providing data in standard import format
 - Utilize outputs from Data Quality Analysis and Remediation efforts to streamline/accelerate any required data cleansing/clean up
 - Recommend acceptance of Prime Integrator DAS and provide input to Phase Gate Quality Report, including assessment of exit criteria
 - Provide input to Status Report, Risk and Issue Log, Project Health Report, and Prime Integrator Deliverable Review
 - Document results in Data Conversion Readiness Report
- Full and UAT Data Conversion
 - Verify that all extract production files are correct and balanced
 - Define exit criteria
 - Review management of mock conversion environments
 - Lead and coordinate the balance and reconciliation of final database results and verify a sample of data
 - Modify/Update scripts or utilities used to provide data in standard import format
 - Document data issues
 - Utilize outputs from Data Quality Analysis and Remediation efforts to streamline/accelerate any required data cleansing/clean up
 - Recommend acceptance of Prime Integrator DAS and provide input to Phase Gate Quality Report, including assessment of exit criteria

Go-Live Cutover (Tax, Accounting, and Investment Data)

Grant Thornton will work in conjunction with the Prime Integrator to ensure successful data conversion and cutover onto the replacement production system database. This exercise will follow a detailed and rigorous plan that includes execution routines, validation routines, and reconciliation routines. All steps in the

sequential plan must meet an exit criteria in order to move to the next step. In addition, each step will also be requirement to have a contingency plan in case the primary action does not meet exit criteria right away. Grant Thornton will provide input to the creation of this plan, which will be owned by the Prime Integrator. We will be responsible for ensuring all plans and routines are followed during go-live. We will review final conversion results and coordinate approval with MCTO leadership before deployment will move beyond data conversion activities into final acceptance testing.

Investment Management and Accounting Support

Investment Management and Accounting Subject Matter Expertise

Grant Thornton will provide subject matter expertise to support the County transition to new accounting (Dynamics AX) and investment management (Sympro) information system capabilities. These support activities will include business process review and improvement recommendations, accounting best practice recommendations, and ensuring that the new system is scalable, satisfies all business requirements, and is in compliance with laws and regulations. Grant Thornton will support accounting system design activities for the following functional areas: general ledger, chart of accounts, accounts payable, cash management, internal controls, and reporting. Additionally, Grant Thornton will support investment management system design activities for the following functional areas: investment management, debt management, accounting, and reporting. Across functional areas, Grant Thornton will:

- Provide input to and content for policies and procedures documentation for investment management and investment accounting
- Identify functional knowledge gaps for staff and identify training prerequisites required to successfully deliver system training
- Review functional requirements and assess completeness of solution
- Recommend prioritization for system gaps and scope changes
- Review system configuration to validate policies and best practices are being followed
- Participate in project planning
- Participate in business process workshops and provide recommendations for improvements, including chart of accounts definition
- Participate in functional workshops and review functional designs
- Advise and review test plan and test cases
- Provide input to training plan, security design, interface design, and data conversion as they relate to accounting and investment management system capabilities
- Create and update business process flows

- Review integration and UAT test results and advise Go/No-Go decisions for both preliminary and final implementation phases of Accounting and Investment Management.
- Provide input to oversight deliverables including Project Health Report, Deliverable Review, and Phase Gate Quality Reviews

Quality Support

Grant Thornton understands that proper unit, functional, end-to-end, and user acceptance testing is critical to a successful system replacement project. Our team will support the County in functional and integrated test cycles throughout the project. We will coordinate with the Prime Integrator to ensure that a comprehensive test strategy and plan are created and executed. Grant Thornton will coordinate with the County in the development of test cases, test scenarios, and test scripts. We will recommend options and work with the County to configure the tools necessary for automated testing and facilitate all test script execution. Our experienced staff will provide recommendations for ongoing improvement and will work in collaboration with the Prime Integrator and the County to prioritize defects and determine if exit criteria are met before closing each test cycle.

Organizational Change Management

Organizational Change Management (OCM) is a structured approach to successfully transition individuals, teams, and organizations from a current state to a desired future state. OCM activities focus on putting organization, consistency, and predictability around activities in critical areas of a system or process implementation, many of which often get neglected or overlooked entirely.

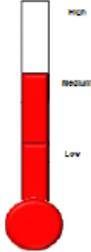
The ultimate success of MCTO's TIS Replacement Implementation initiative will be the ability of the people impacted by the change to quickly and effectively adjust to the new environment, including both new system features and refined business processes. The OCM efforts will focus on preparing both the MCTO divisions and external stakeholders impacted by the implementation for short-term acceptance and long-term sustainability of the initiative. This outcome will be achieved through aligning effective OCM activities shown in the chart below across each of the Prime Integrator Project Phases.



Each of the components of this approach are described below:

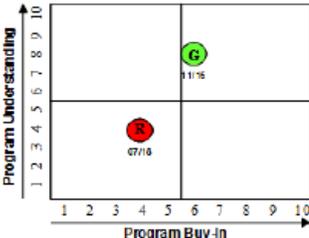
Assess and Define OCM Strategy

Early in the TIS Replacement Implementation project, it will be critical to assess the impact of the implementation and define a change management strategy appropriate for the effort. Identifying the impacted stakeholders (process and system) from the very beginning and continuing to refine the list throughout the project lifecycle is a key activity. Individual stakeholders and stakeholder groups must be handled consistently across levels while at the same time providing a strategy that can be easily adapted to the unique cultures and subcultures within MCTO.

Why Important?	Approach
<ul style="list-style-type: none">• Need to understand all the individuals that will be impacted by the change – from both a systems and process perspective• Critical input into many other change management and PMO processes• Identifies the degree of change that needs to be addressed for each group	<ul style="list-style-type: none">• Identify key individual stakeholders and stakeholder groups.• Understand stakeholder goals and expectations throughout the project.• Identify the degree of change the project will have on stakeholder groups. 

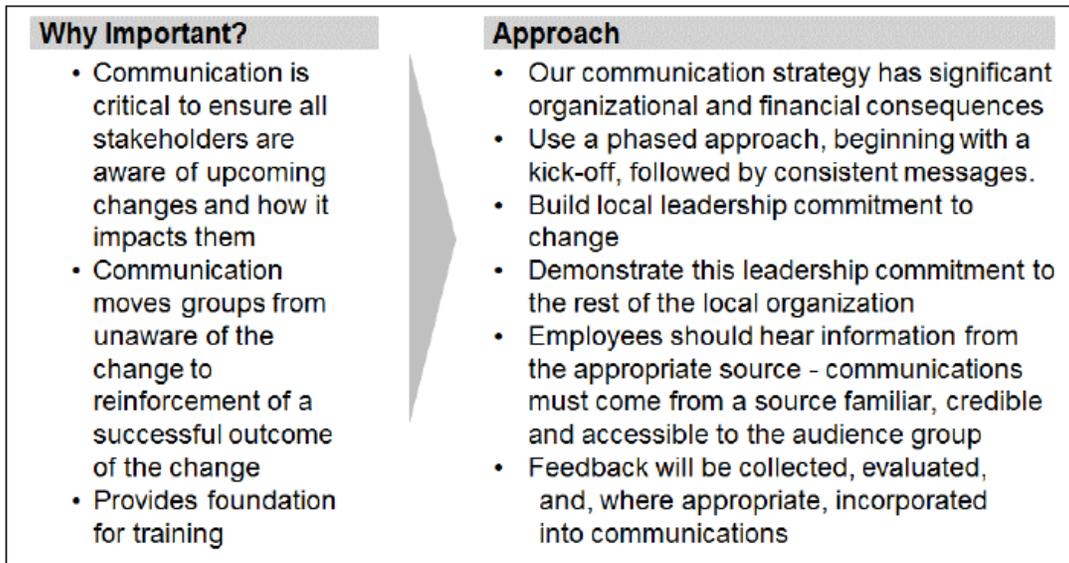
Leadership Alignment

Leaders/sponsors are individuals who have the ability to engage others in understanding the project and its business Stakeholders. Sponsor understanding and buy-in can be tracked and managed to facilitate the positive movement of these behaviors.

Why Important?	Approach
<ul style="list-style-type: none">• Leaders are the key to successful adoption• Leaders can enable change through their influence in the program and the business• Must track and manage leaders buy-in to positively influence the project	<ul style="list-style-type: none">• Identify / Understand Sponsors• Track Engagement / Understanding• Develop Leadership Action Plans• Develop a Change Network 

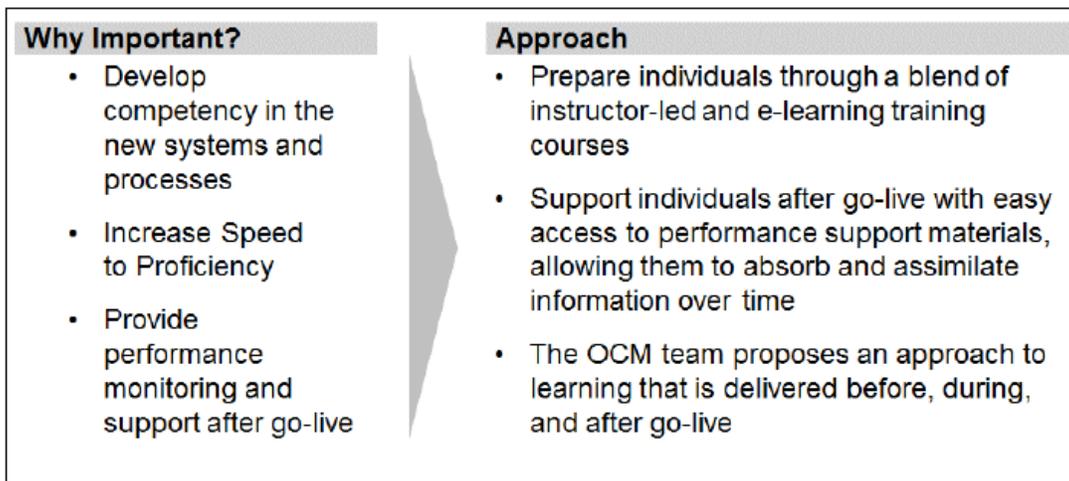
Communications

The Communication effort ensures that each target audience receives timely, accurate, and relevant information to facilitate a smooth transition to the desired end-state.



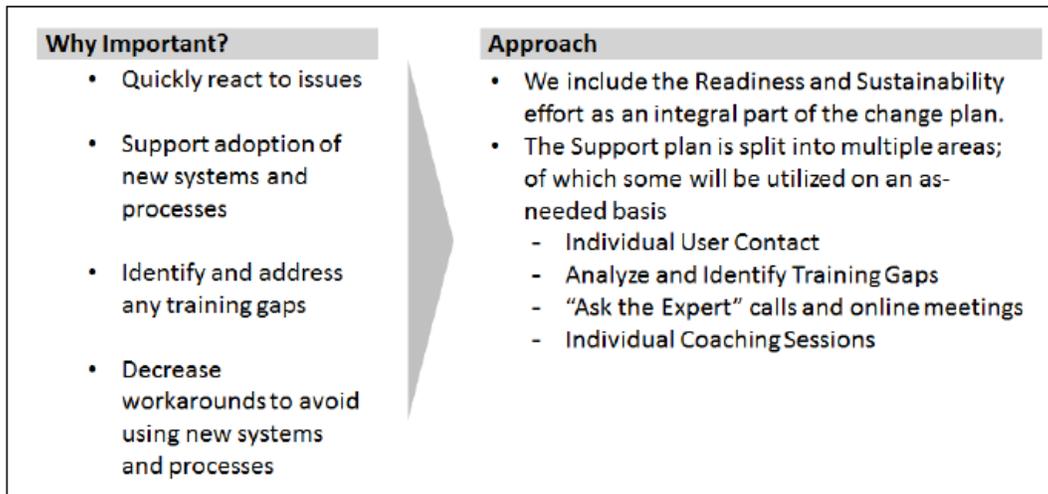
Training and Performance Support

The Training Strategy documents methodology and philosophy on training modalities, scope, materials, audiences, and facilities. It also details estimated effort for training activities, builds the readiness assessment approach, and provides training structure ensuring consistent methods and templates for efficiency.



Readiness and Sustainability

Readiness and sustainability must be proactively planned to support users during those first critical weeks of Post-Production and allow for continued competency building. This effort is in addition to the technical systems support effort that ensures that all systems are functioning as planned and tested.



In addition to these phases, the OCM effort will include developing a consistent and repeatable change measurement process to monitor and measure the effectiveness of all change activities:

During the TIS Replacement Implementation, the OCM Lead will work with the Grant Thornton Project Manager and the Prime Integrator to align the appropriate OCM activities within each phase of the implementation project plan so they can be managed as part of the overall TIS Replacement Implementation effort.

Implementation Oversight

To establish effective project reporting and progress tracking from the beginning, Grant Thornton will work with MCTO to develop a Project Performance Matrix and agree upon the project components that should be reported upon, as well as the standards and measures that will be used to measure progress. We will summarize and report on project performance in a quarterly Project Health Report, which will provide a summary status on work completed by tower, meetings summary and key decisions, significant open issues, a summary of new risks, updated project plan and schedule snapshot, and planned activities for the following month.

At the heart of our Project Performance Matrix, our status reports will include a dashboard status rating assessment structure, as well as a summary that characterizes the reasoning for the status rating. A dashboard approach enables us to communicate findings and recommendations to executive leadership in a concise manner, and to focus discussions on areas that may require management attention. Our dashboard rating assessment structure can be easily captured in a variety of project status presentations, briefings, and communications as required by MCTO. Our assessment rating structure is presented in the following table:

Check Point Rating	Description
Green 	All criteria met with confidence.
Yellow + 	Criteria met partially, but oversight team has reasonable degree of confidence that appropriate actions are being made to improve progress.
Yellow - 	Criteria met partially, but oversight team has low degree of confidence that appropriate actions are begin taken to improve progress.
Red 	Critical criteria unmet, or criteria (critical or not) unaddressed, and oversight team has no reasonable degree of confidence that appropriate actions are being taken to improve progress.

Grant Thornton will also provide robust System Integrator Deliverable Review services, to validate that deliverables function as intended, and fully satisfy MCTO’s business requirements. We will tailor our Review to be focused and specific to the selected TIS replacement solution, and to be in harmony with the systems implementation methodology that will be followed. Grant Thornton will work with MCTO to unify on a comprehensive deliverable development, review and acceptance process for all interim and billable deliverables for the System Integrator. This process will adhere to the existing high-level Deliverable Acceptance Process and Deliverable Acceptance Statements.

Based upon the required technical or functional expertise required to evaluate each deliverable, the Grant Thornton Project Manager will assign deliverable review activities to team members with the appropriate skills and expertise to present valuable feedback and insight. This is where the balance of technical skills and functional expertise of our proposed team is of great value to MCTO. In the event there are project deliverables which require specialized, or unique knowledge beyond that of the core team members, we will leverage Grant Thornton’s national pool of practitioners to identify staff with the appropriate skills to support the required quality review. This process will be seamless to the project.

2.1 Grant Thornton Deliverables:

Using a customization of the Grant Thornton Enterprise Resource Planning (ERP) acquisition methodology, the Grant Thornton team will leverage the Phase I Needs Assessment completed by MCTO. This methodology starts with finalizing requirements and moves through source selection and implementation support in three additional phases, as described below:

Phase II: Solution Options and Verification

This phase consists of the following key activities:

Develop preliminary acquisitions recommendations report

To determine if changes should be made to the current draft replacement RFP, the Grant Thornton Team will complete a full RFP package review including project business objectives, acquisition strategy, current business and technical requirements, and planned process and timeline for the procurement. Based on this review and the supporting documents, the Grant Thornton Team will recommend changes to the current replacement RFP, including where appropriate alternatives to the business and technical requirements defined in the current TIS replacement RFP.

Develop final acquisition recommendations report

The Grant Thornton Team will make recommendations for the final TIS replacement RFP, based on the findings developed in the previous section and recommendations on existing draft documentation, to include:

- Draft Strategic Plan
- Draft Technology Vision
- Draft Data and Integration Plan
- Draft Quality Improvement Recommendations Report
- Draft Budget Request Proposals and Presentations

Findings and recommendations will be summarized and concerns or weaknesses will be categorized to enable the Team to work with the Treasurer's Office to create a solicitation package that addresses the Treasurer's Office needs and aligns with business objectives.

Phase III: Solution Funding, Procurement and Selection

The key activities in this phase include:

Evaluation Planning

During this phase, the Grant Thornton Team will develop a Source Selection Plan (SSP) that will describe the evaluation team members, roles and responsibilities, weighted criteria, schedule, evaluation approach, scorecard-ranking instrument, and presentation format for solution proposals and/or service vendor demonstrations. An Excel-based scorecard-ranking instrument will be used to document the evaluation findings and promote standardization, thoroughness, and traceability to solicitation requirements. Training to the Treasurer's source selection evaluation team will be provided on their responsibilities, the evaluation processes and criteria, procurement integrity guidelines, and timelines.

Screening and Evaluation

Following the release of the RFP package, the Grant Thornton Team will assist in responding to questions received from Offerors to clarify the Treasurer's Office's intentions and requirements. During this phase, the

team will review each submission to ensure that all instructions were followed and that each proposal is complete. To support vendor demonstrations and presentations, vendors will be provided with a standard presentation and demonstration format to allow the evaluation team to compare proposals fairly and consistently.

During the evaluation, the Grant Thornton Team will facilitate sessions to review individual evaluation team members' findings, support written requests to Offerors for clarification, and consolidate inputs to reach consensus. Throughout the process, the team will help the evaluation team document and recommend changes and scorecard rankings for all factors considered in selecting the preferred bidder.

Source Selection and Contract Award

In this phase, the Grant Thornton Team will provide recommendations to the Treasurer's Office for ongoing evaluation of the preferred bidder's target solution's functionality against the requirements to identify gaps, facilitate fit-gap analysis discussions with the preferred vendor, contract negotiations, solution selection, contract preparation and documentation, and all other processes leading up to and including contract award.

The Grant Thornton Team will document the consensus findings, results, and supporting rationale for the Offerors that provide the best value to achieve the Treasurer's Office objectives in the Evaluation Report and Selection Recommendation to assist the Treasurer's Office in making the final selection decision.

Following formal announcement of the contract award, the Grant Thornton Team will assist the Treasurer's IS Division Project Manager and appropriate contracting and legal personnel to debrief Offerors, as requested, by providing appropriate evaluation documentation and feedback. In the event of a bid protest, the team will assist in preparing appropriate documentation and participate in meetings to solidify the source selection process and decision.

Phase IV: Solution Implementation

The key work streams and activities of this phase include:

Pre-implementation:

The scope of the project focuses on the following activity:

Data Quality Analysis, Scoping, and Remediation

This effort includes analyzing the existing data from the three core databases as well as data residing in MS Access and MS-Excel spreadsheets. The purpose of the analysis is to identify gaps or quality issues in the current data and to develop a plan to address them as the County prepares for the new Treasury system implementation (The analysis work was completed by GT in Aug., 2014).

The additional services will more closely examine and analyze several areas of concern that were identified during the initial data analysis and remediate the qualified data issues. This will help reduce possible risks that could occur during the migration from the legacy system to the new system (the remediation and scoping work is being requested from GT). Findings from the data scoping, analysis, and remediation activities will be documented in a detailed approach that will benefit the Office right away and will be ready for use by the TIS Replacement system implementer when the implementation phase is gets underway.

Solution Implementation:

Grant Thornton will produce the following deliverables in accordance to the frequency and/or project milestones identified in Exhibit A.

Implementation Support Deliverables:

Grant Thornton will produce the following recurring deliverables while supporting the implementation project team.

GT Status Report

Grant Thornton will produce a bi-weekly status report organized by work stream that describes, in detail, the activities performed by the Grant Thornton team, meetings attended and conducted, and completed tasks for the reporting period. It will also include planned activities, meetings, and tasks to be completed for the following reporting period.

Project Risk & Issue Register

Grant Thornton will conduct a comprehensive monitoring of the project. Based upon the principles of the Project Management Body of Knowledge (PMBOK), the monitoring will review all aspects of the project structure, including:

- Executive sponsorship
- Resources
- Project scope, outcomes and objectives
- Schedule Management
- Change management and institutional readiness
- Stakeholder engagement and communications management
- Scope and change control management
- Budget and deliverables management

This monitoring will focus on all the risk factors (external to PMO function) with a potential to adversely impact the project. Grant Thornton will identify risks and actual issues, rate potential impact, and provide recommendations for mitigation and resolution. Throughout the duration of

the project, Grant Thornton will provide a monthly report of the Risk and Issues that are being tracked.

Data Conversion Readiness Report

The Data Conversion Readiness Report will be produced quarterly and will provide a holistic and quantitative assessment of the data conversion activities of the project. It will be added to and updated throughout the project, and will include the following:

- Data-related key design decisions made
- Data sources identified for conversion
- Data mappings
- Data dictionary
- Data conversion strategy and approach
- Data-related risks and issues
- Conversion execution metrics (volume, target complete, duration)
- Data-related defect tracking
- Data validation and reconciliation results including execution results from validation scripts provided by Prime Integrator.
- Intermediate tables ready for conversion

Organizational Change Management Deliverables

The OCM deliverables include the following key documents to assess and plan the OCM effort for the TIS Replacement Implementation initiative:

- Change Management Strategy

The Change Management Strategy provides an overall approach for the TIS Replacement Implementation Organizational Change activities. It is developed based on a preliminary analysis of the TIS Replacement change impact including the magnitude of the changes themselves, the MCTO organization culture, project sponsorship, stakeholders, project OCM risks and communications.

- Stakeholder Analysis

In order to identify and understand the MCTO TIS stakeholders, stakeholder interviews will be conducted to understand stakeholder perspectives on the following key aspects of the effort:

- Scope and scale

- Definition of success
- Expected outputs and outcomes
- Timing
- Process, and
- People

The outcome will be an understanding of the TIS Replacement stakeholders to identify stakeholders that support change, to pinpoint key influences for individuals, to identify coalitions for support all of which will allow tailoring of other OCM materials, particular stakeholder messaging throughout the project.

- OCM Risk Assessment

The OCM Risk Assessment is used to gauge the overall level of risk associated with the project from an OCM perspective, and to estimate the level of OCM effort required to successfully deliver the project. It serves as input for mitigation planning.

- Communications Strategy

The purpose of the Communication Strategy is to provide an overall approach to the following:

- Messages about the business today
- Messages about the change
- Messages about benefits for different groups
- Issues and concerns of primary functional stakeholder groups related to the project's change
- High level change management messaging communication plan

In addition, these additional deliverables will be developed and subsequently appended for each product effort (i.e. Dynamics AX, Sympro and TR Aumentum):

- Change Impact Assessment

During the analysis phase of each project, the OCM lead will develop an inventory of key changes impacting MCTO and its stakeholders. This information will serve as input into the phase change management plans.

- Stakeholder Engagement Plan

The Stakeholder Engagement Plan identifies the key stakeholders impacted by the change and defines how the project and change management teams will work with stakeholders to obtain buy in, gain resources, and optimize communication. It defines a structured process for regular Stakeholder Engagement and aligns the project and stakeholders for mutual success. It will pinpoint and leverage change advocates as change agents for the effort; as well as, identify those stakeholders that may oppose change.

- Leadership Action Plan

The purpose of the Leadership Action Plan is to provide activities to be completed by the project sponsors and division managers to ensure successful change. It is important for this group to convey support and enthusiasm for the project changes. The activities are targeted at ensuring associates understand the business need for the changes and are willing to support and bring about the change. In particular, the executive sponsor also builds a coalition of leadership by working to build sponsorship in the division leaders in the functional areas affected by the project. This sponsorship across the MCTO organization is key to the success of the project.

- Communications Plan

The Communication Plan discusses how key aspects of the change are communicated to audiences impacted by the change including the vast MCTO stakeholder audience, other employees, contractors, and the taxpayers. It includes a Message Log that contains key messages that need to be distributed through the remaining life cycle of the project implementation. The messages will include information on the Value Proposition to the audience for the change, training events, rollout milestones, and post go live processes. The goal of the Communications Plan is to improve project awareness. Additionally, the Communications Plan will detail the following logistical information on identified messages:

- ✓ Message – What is the general content of the message?
- ✓ Audience – Who is the intended targeted audience for this message?
- ✓ Frequency and Timing – When will this message be delivered to its intended audience?
- ✓ Written By – Who is tasked to compose the message?
- ✓ Reviewed & Finalized By – Who will assist with review and final approval?
- ✓ Delivered By – Under whose signature should this be delivered?

The communications plan will contain a set of actionable items for the OCM lead to execute throughout the remainder of the project.

- Change Management Plan

The Change Management Plan represents the integrated plan for managing the change and serves as the guiding roadmap for the change management team. This plan is developed following the analysis of current state, gap identification and determination of the path to move forward with each TIS application (Dynamics AX, Sympro and Aumentum). It identifies key risk areas, opportunities and strengths for each application area. It includes a refined work plan that prioritizes change management activities in the four critical OCM

areas (Leadership Alignment, Communication, Training, and Readiness and Sustainability) for the subsequent design, configuration, build and unit test efforts for each application. In addition, it will identify metrics to assess business readiness periodically throughout the implementation process.

○ Job Impact Assessment

The purpose of the Job Impact Assessment is to understand how individual jobs/roles will be impacted by the project so division managers can effectively prepare individuals for their future responsibilities. It identifies the skills required for employees' current role and maps the requirements to identify role-based performance gaps between the current and future-states. The assessment is used to facilitate discussions with MCTO divisional managers about job positions and to define the scope for subsequent training and coaching activities to help MCTO employees prepare for changes in their roles and responsibilities.

○ Training Plan

The Training Plan documents the methodology and philosophy on training modalities, scope, materials, audiences, and facilities. It also details estimated effort for training activities, builds the readiness assessment approach, and provides training structure ensuring consistent methods and templates for efficiency. It will identify and define Dynamics AX and Sympro refresher training. It will also:

- ✓ Determine type of training required
- ✓ Define courses for each training track
- ✓ Determine the number of people for each track
- ✓ Determine the best method of training
- ✓ Determine instructors
- ✓ Establish timeline for training
- ✓ Estimate the time required for developing course content
- ✓ Align training milestones with overall project timeline and activities; training resources availability; negotiate resource conflicts; identify and eliminate training redundancies.
- ✓ Work with MCTO teams to draft Course Outlines, Demonstrations, Desk Top Procedures, Training Guides and other Job Aids.

While the OCM Lead will define the training plan, the MCTO team will be responsible for developing training outlines, curriculum and other training and performance materials; as well as, delivering the training to end users..

○ Resistance Management Plan

The Resistance Management effort proactively identifies potential resistance points and the approach to managing the resistances. The plan defines what the resistance may look like related to the changes brought about by the project, the new system, changing job responsibilities, work processes and the resulting transitions. The root causes of resistance are determined and action items are established to address the issues.

In preparation for deployment, these additional deliverables will be produced:

○ Business Readiness Assessment

MCTO's readiness to go live with the TIS Replacement Implementation encompasses four areas:

- ✓ Project Readiness
- ✓ People Readiness
- ✓ Process Readiness, and
- ✓ Sustainability.

Traditional project approaches consider test results, data integrity, application, infrastructure and functionality. By incorporating OCM into the implementation effort, more attention is given to People (training, adoption surveys, and change champion feedback), Process (critical and supporting process documentation and understanding) and Sustainability. The Business Readiness Assessment provides a vehicle to 'know the score' by measuring the effectiveness of the project's OCM activities, tracking progress and ongoing risk. It manages the People, Process and Sustainability readiness the same as Project Readiness throughout the project to focus on taking appropriate actions throughout.

○ Sustainment Plan (Support Transition Plan)

The Sustainment Plan documents how application support will be provided post go live. It also details the different types of support and resources, outlines the support engagement process, and defines the Service Level Agreement. The Plan encourages the project team to thoughtfully create a sustainable process for post go live activity including issue reporting, enhancement requests and other ongoing post go live activities.

○ Knowledge Transfer Plan

The Knowledge Transfer Plan will ensure that project knowledge has been successfully transferred and documented to the designated recipient as individuals begin to roll off of the project. More importantly, it reduces risk of "lost" information or costly extension of resources. The process will define the following key components:

- ✓ Individual(s) to provide knowledge transfer

- ✓ Individual(s) to receive the knowledge transfer
- ✓ Communication vehicle to perform knowledge transfer
- ✓ Documentation on the knowledge being transferred
- ✓ Tool to determine the knowledge has been successfully transferred
- ✓ Target completion date for the transfer of knowledge
- Lesson Learned Assessment and Corrective Action Plan (as required)
 The Lessons Learned Assessment will be a series of feedback and compliance surveys used to measure adoption of changes resulting from the project. The root cause of resistance will be analyzed. As needed, a Corrective Action Plan will also be developed and deployed to address issues, including a coaching intervention strategy, consequences of the intervention strategy, and identification of support or actions needed from stakeholders.

Implementation Oversight Deliverables:

Grant Thornton will produce the following recurring deliverables while providing oversight for the implementation project.

Project Health Report

To establish effective overall project health reporting from the beginning, Grant Thornton will work with MCTO to develop a Project Performance Matrix, to agree on the project components that should be reported upon, as well as the standards and measures that will be used to quantify progress. We will report on project performance and progress in a quarterly Project Health Report. In addition to providing clarity as part of the Project Health Report, the Project Performance Matrix will provide a dashboard rating assessment structure can be easily presented in a variety of project status presentations, briefings, and communications as required by MCTO leadership.

Prime Integrator Deliverable Review Report

Grant Thornton will work collaboratively with the County to review all Prime Integrator deliverables and key work products. A deliverable review checklist template will be established to facilitate the review. Review results will be documented in the template for each deliverable and key work product. This feedback will be provided to the County to be included in the overall feedback provided back to the Prime Integrator. The review checklist will assess overall deliverable quality and indicate readiness and adherence to acceptance criteria. On a quarterly basis, all completed deliverable reviews will be included, along with a high-level summary, in the Prime Integrator Deliverable Review Report.

Phase Gate Quality Report

Prior to County acceptance for each project phase, Grant Thornton will lead a Quality Gate Review meeting with County stakeholders and the Prime Integrator. Grant Thornton will identify and

coordinate the participation of County stakeholders. The objective of the meeting is to evaluate project progress in the context of:

- Project schedule and timeline (actual vs. forecasted)
- Issues, risks and their impacts
- Quality of Prime Integrator deliverables and overall contract compliance

Upon consideration of these and any other internal or external factors, Grant Thornton will facilitate a consensus of participants and render a decision to proceed to next project phase or to delay the commencement of subsequent phase in order to remediate problems that have put project success in jeopardy. Grant Thornton will formalize the outputs and decisions of this meeting in a Phase Gate Quality Report.

Grant Thornton takes an integrated approach to tracking project risks and preparing for Quality Gate Reviews. Through our stakeholder interviews, project work session observations, project deliverables review, and dialogue with executive sponsors, Grant Thornton is positioned to lead the Quality Gate reviews and support a reasoned and evidence based decision.

The output of the quality date review will be a Phase Quality Gate Review Report that documents the findings of the meeting.

EXHIBIT C**OFFICE OF PROCUREMENT SERVICES CONTRACTOR TRAVEL AND PER DIEM POLICY**

- 1.0 All contract-related travel plans and arrangements shall be prior-approved by the County Contract Administrator.
- 2.0 Lodging, per diem and incidental expenses incurred in performance of Maricopa County/Special District (County) contracts shall be reimbursed based on current U.S. General Services Administration (GSA) domestic per diem rates for Phoenix, Arizona. Contractors must access the following internet site to determine rates (no exceptions): www.gsa.gov
 - 2.1 Additional incidental expenses (i.e., telephone, fax, internet and copying charges) shall not be reimbursed. They should be included in the contractor's hourly rate as an overhead charge.
 - 2.2 The County will not (under no circumstances) reimburse for Contractor guest lodging, per diem or incidentals.
- 3.0 Commercial air travel shall be reimbursed as follows:
 - 3.1 Coach airfare will be reimbursed by the County. Business class airfare may be allowed only when preapproved in writing by the County Contract Administrator as a result of the business need of the County when there is no lower fare available.
 - 3.2 The lowest direct flight airfare rate from the Contractors assigned duty post (pre-defined at the time of contract signing) will be reimbursed. Under no circumstances will the County reimburse for airfares related to transportation to or from an alternate site.
 - 3.3 The County will not (under no circumstances) reimburse for Contractor guest commercial air travel.
- 4.0 Rental vehicles may only be used if such use would result in an overall reduction in the total cost of the trip, not for the personal convenience of the traveler. Multiple vehicles for the same set of travelers for the same travel period will not be permitted without prior written approval by the County Contract Administrator.
 - 4.1 Purchase of comprehensive and collision liability insurance shall be at the expense of the contractor. The County will not reimburse contractor if the contractor chooses to purchase these coverage.
 - 4.2 Rental vehicles are restricted to sub-compact, compact or mid-size sedans unless a larger vehicle is necessary for cost efficiency due to the number of travelers. (NOTE: contractors shall obtain pre-approval in writing from the County Contract Administrator prior to rental of a larger vehicle.)
 - 4.3 County will reimburse for parking expenses if free, public parking is not available within a reasonable distance of the place of County business. All opportunities must be exhausted prior to securing parking that incurs costs for the County. Opportunities to be reviewed are the DASH; shuttles, etc. that can transport the contractor to and from County buildings with minimal costs.
 - 4.4 County will reimburse for the lowest rate, long-term uncovered (e.g. covered or enclosed parking will not be reimbursed) airport parking only if it is less expensive than shuttle service to and from the airport.
 - 4.5 The County will not (under no circumstances) reimburse the Contractor for guest vehicle rental(s) or other any transportation costs.
- 5.0 Contractor is responsible for all costs not directly related to the travel except those that have been pre-approved by the County Contract Administrator. These costs include (but not limited to) the following: in-room movies, valet service, valet parking, laundry service, costs associated with storing luggage at a hotel, fuel costs associated with non-County activities, tips that exceed the per diem allowance, health club fees, and entertainment costs. Claims for unauthorized travel expenses will not be honored and are not reimbursable.
- 6.0 Travel and per diem expenses shall be capped at 15% of project price unless otherwise specified in individual contracts.

**EXHIBIT D
PROPOSED WORK BREAKDOWN SCHEDULE**

TIS Consultant Services				
ID	Task Name	Duration	Start	Finish
0	TIS Consultant Services	1507 days	Mon 3/3/14	Tue 12/10/19
1	TIS Consultant Services:Phase II, III, and Optional Phase IV	200 days	Mon 3/3/14	Fri 12/5/14
2	Phase II: Solution Options and Verification	108 days	Mon 3/3/14	Wed 7/30/14
3	Administrative	108 days	Tue 3/4/14	Thu 7/31/14
4	Communication and Governance Plan			
5	Project Plans			
6	Change Management Plan			
7	Risk Management Plan			
8	Records Management and Retention Schedule			
9	Meeting Agendas, Minutes, and Presentations			
10	Deliverables Review and Approval Meetings			
11	Weekly Time-tracking Reports			
12	Weekly Status Reports			
13	Monthly Issues Reports			
14	Initiative Reviews	50 days	Tue 3/4/14	Mon 5/12/14
15	Review vision, mission, business, technology, and customer goals			
16	Review Arizona Revised Statutes			
17	Review organization structure and resources			
18	Review business documentation			
19	Review technical documentation			
20	Review market research documentation			
21	Review draft TIS RFP			
22	Preliminary Acquisition Recommendations Report			
23	Initiative Recommendations	54 days	Tue 5/13/14	Fri 7/25/14
24	Draft revised Strategic Plan			
25	Draft revised Resource and Organization Plan			
26	Draft revised Technology Roadmap			
27	Draft revised TIS RFP			
28	Draft revised Data and Integration Plans			
29	Draft revised Consolidation, Storage, and Cost-benefit Plans			
30	Draft revised Steering Committee Plan			
31	Draft Budget Request Proposals and Presentations			
32	Final Acquisition Recommendations Report			
33	Phase III: Solution Funding, Procurement, and Selection	216 days	Mon 8/4/14	Mon 6/1/15
34	Administrative	216 days	Mon 8/4/14	Mon 6/1/15
35	Communication and Governance Plan			

**EXHIBIT D
PROPOSED WORK BREAKDOWN SCHEDULE**

TIS Consultant Services				
ID	Task Name	Duration	Start	Finish
36	Project Plans			
37	Change Management Plan			
38	Risk Management Plan			
39	Records Management and Retention Schedule			
40	Meeting Agendas, Minutes, and Presentations			
41	Deliverables Review and Approval Meetings			
42	Weekly Time-tracking Reports			
43	Weekly Status Reports			
44	Monthly Issues Reports			
45	Screening and Evaluation	90 days	Mon 8/4/14	Fri 12/5/14
46	Final TIS RFP			
47	Final Steering Committee Plan			
48	Pre-proposal conference meeting response recommendations			
49	Q&A response reviews and recommendations			
50	Proposal reviews and non-binding recommendations on short list solution providers			
51	Short list solution providers demonstration recommendations			
52	Review and non-binding recommendations on short list Solution Providers' Fit-gap Documentation			
53	Selection and Contract Award	126 days	Mon 12/8/14	Mon 6/1/15
54	Final Strategic Plan			
55	Final Resource and Organization Plan			
56	Final Technology Roadmap			
57	Final Data and Integration Plans			
58	Final Consolidation, Storage, and Cost-benefit Plans			
59	Contract review, negotiation assistance, and non-binding recommendations			
60	Audit and Protest Support Documentation			
61	Final Award Package, Budget Request Proposals, and Presentations			
62	Optional Phase IV: Solution Implementation	1507 days	Mon 3/3/14	Tue 12/10/19
63	Administrative	200 days	Mon 3/3/14	Fri 12/5/14
64	Communication and Governance Plan			
65	Project Plans			
66	Change Management Plan			
67	Risk Management Plan			
68	Records Management and Retention Schedule			
69	Meeting Agendas, Minutes, and Presentations			
70	Deliverables Review and Approval Meetings			
71	Weekly Time-tracking Reports			

**EXHIBIT D
PROPOSED WORK BREAKDOWN SCHEDULE**

TIS Consultant Services				
ID	Task Name	Duration	Start	Finish
72	Weekly Status Reports			
73	Monthly Issues Reports			
74	Pre-implementation Planning	200 days	Mon 3/3/14	Fri 12/5/14
75	Data Analysis Scoping			
76	Review Records Management and Retention Schedule			
77	Review Arizona Revised Statutes governing data			
78	Review Pre-implementation Plan			
79	Review Database Documentation			
80	Review Architecture Documentation			
81	Install and Configure Data Cleansing Tool			
82	Recommendations			
83	Conduct Data Analysis			
84	Data Profiling			
85	Data Quality Definition			
86	Draft revised Pre-implementation Plan			
87	Identify Data Sources for Integration or Decommission			
88	Identify Data for Cleansing			
89	Conduct Training			
90	Records Management and Retention Schedule recommendations			
91	Data Analysis and Cleansing Recommendations			
92	Data Cleansing Tool Training Plan and Documentation			
93	Conduct Data Cleansing Tool Training to Treasurer's IT Employees			
94	Transition to Treasurer's IT Employees			
95	Final Pre-implementation Plan			
96	Final Logical ETL Design			
97	Transition to Treasurer's IT Employees			
98	Implementation	1160 days	Wed 7/1/15	Tue 12/10/19
99	Project Initiation Tasks			
100	Project Implementation Tasks			
101	Decommission Legacy System Tasks			
102	Project Close-out Tasks			
103	Oracle Premier and Extended Support Complete			Tue 12/10/19

**EXHIBIT D
PROPOSED WORK BREAKDOWN STRUCTURE**

NEW EXHIBIT D EFFECTIVE 02/18/15

Task Name	Duration	Start	Finish
New TIS Project 5 Year Plan	1127 days	Tue 3/4/14	Fri 7/6/18
Pre-Procurement - COMPLETE	108 days	Tue 3/4/14	Mon 8/4/14
Procurement	375.5 days	Tue 3/4/14	Thu 8/20/15
Administrative	216 days	Mon 8/4/14	Mon 6/8/15
Update Communication and Governance Plan	2 days	Mon 8/4/14	Tue 8/5/14
Update Project Plans	2 days	Mon 8/4/14	Tue 8/5/14
Update Change Management Plan	2 days	Wed 8/6/14	Thu 8/7/14
Update Risk Management Plan	2 days	Wed 8/6/14	Thu 8/7/14
Update Records Management and Retention Schedule	10 days	Fri 8/8/14	Thu 8/21/14
Meeting Agendas, Minutes, and Presentations	216 days	Mon 8/4/14	Mon 6/8/15
Deliverables Review and Approval Meetings	216 days	Mon 8/4/14	Mon 6/8/15
Weekly Time-tracking Reports	216 days	Mon 8/4/14	Mon 6/8/15
Weekly Status Reports	216 days	Mon 8/4/14	Mon 6/8/15
Monthly Issues Reports	216 days	Mon 8/4/14	Mon 6/8/15
Draft Solicitation	117 days	Tue 3/4/14	Fri 8/15/14
Contact OPS Regarding Need, Send Draft SOW	1 day	Tue 3/4/14	Tue 3/4/14
Create Draft Solicitation	108 days	Wed 3/5/14	Tue 8/5/14
Evaluation Team Selected	1 day	Mon 8/4/14	Mon 8/4/14
OPS Review and Feedback	10 days	Mon 8/4/14	Fri 8/15/14
Group Approval of Draft, Timeline and Budget	1 day	Fri 8/15/14	Fri 8/15/14
Milestone: Group Approval of RFP Draft, Timeline and Budget	1 day	Fri 8/15/14	Fri 8/15/14
Advertise Solicitation in Bid Sync	136 days	Tue 3/4/14	Fri 9/12/14
Finalize RFP	7 days	Wed 8/20/14	Thu 8/28/14
All Documentation to OPS	1 day	Wed 8/20/14	Wed 8/20/14
OPS Review and Feedback	2 days	Thu 8/21/14	Fri 8/22/14
Finalize RFP	1 day	Mon 8/25/14	Mon 8/25/14
Approval Letter: RFP Receipt and Milestones	1 day	Tue 8/26/14	Tue 8/26/14
Final RFP to OPS	1 day	Wed 8/27/14	Wed 8/27/14
Incorporate MCTO Changes and Finalize RFP	1 day	Thu 8/28/14	Thu 8/28/14
Milestone: Finalized RFP	0 days	Thu 8/28/14	Thu 8/28/14
Additional Preparation	16.25 days	Wed 8/20/14	Fri 9/12/14
Procurement Kickoff: Stakeholder Expectations	0.25 days	Wed 8/20/14	Wed 8/20/14
Finalize Advisors/SMEs	16 days	Wed 8/20/14	Fri 9/12/14
Finalize Procurement Schedule	7 days	Thu 8/21/14	Fri 8/29/14
Setup Secure FTP Site (if needed)	1 day	Mon 9/8/14	Mon 9/8/14
OPS Creation of Bid Sync Solicitation Portal	1 day	Mon 8/25/14	Mon 8/25/14
Notify Newspaper of Solicitation	1 day	Thu 8/28/14	Thu 8/28/14
Advertise Solicitation in Bid Sync	1 day	Thu 9/4/14	Thu 9/4/14

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Milestone: Solicitation Advertised in Bid Sync	0 days	Thu 9/4/14	Thu 9/4/14
Host Pre-Bid Conference	140 days	Tue 3/4/14	Thu 9/18/14
Book BOS Conference Room	1 day	Thu 8/28/14	Thu 8/28/14
Setup Webinar (1000 lines)	1 day	Fri 8/29/14	Fri 8/29/14
Develop Agenda for Pre-Bid	2 days	Fri 9/5/14	Mon 9/8/14
Review Pre-Bid Agenda/Finalize Plan	1 day	Wed 9/10/14	Wed 9/10/14
Practice Run for Pre-Bid Webinar	1 day	Thu 9/11/14	Thu 9/11/14
Pre-Bid Conference	1 day	Thu 9/18/14	Thu 9/18/14
Milestone: Pre-Bid Conference Held	0 days	Thu 9/18/14	Thu 9/18/14
Respond to Written Questions	155 days	Tue 3/4/14	Thu 10/9/14
Setup SharePoint for Project Team RFP Questions/Answers	5 days	Mon 9/8/14	Fri 9/12/14
Schedule Review Meetings	0.25 days	Fri 9/12/14	Fri 9/12/14
Send Questions to Project Team Daily	15 days	Fri 9/5/14	Thu 9/25/14
Milestone: Written Questions Due	0 days	Thu 9/25/14	Thu 9/25/14
Assign Questions to Appropriate Team Members	16 days	Fri 9/5/14	Fri 9/26/14
Complete Question Forms (MS Word)	25 days	Fri 9/5/14	Thu 10/9/14
Conduct Review Meetings	15 days	Fri 9/12/14	Thu 10/2/14
Approve Responses	4 days	Fri 10/3/14	Wed 10/8/14
Milestone: Responses to Written Questions Due	0 days	Thu 10/9/14	Thu 10/9/14
Deliverable: Q&A response and Pre-proposal conference support	0 days	Tue 9/30/14	Tue 9/30/14
Issue Addendum	6 days	Thu 10/2/14	Thu 10/9/14
Draft Addendum	5 days	Thu 10/2/14	Wed 10/8/14
Approve Addendum	1 day	Thu 10/9/14	Thu 10/9/14
Milestone: Addendum Issued	0 days	Thu 10/9/14	Thu 10/9/14
Receive Proposals	64 days	Fri 9/12/14	Fri 12/12/14
Preparation for Evaluation	63 days	Fri 9/12/14	Fri 12/12/14
Finalize Score Sheets and Weights	4 days	Fri 9/12/14	Wed 9/17/14
Finalize Backfill Arrangements	4 days	Fri 9/12/14	Wed 9/17/14
Create Scripts for Respondent Demos	10 days	Fri 10/10/14	Thu 10/23/14
Create Test Cases for Sandbox	5 days	Fri 10/24/14	Thu 10/30/14
Deliver Score Sheets and Weights to OPS	0.13 days	Fri 10/31/14	Fri 10/31/14
Deliverable: Demonstration Script Support	0 days	Fri 12/12/14	Fri 12/12/14
TouchPoint Meeting with Evaluation Team	0.13 days	Fri 10/31/14	Fri 10/31/14
Solicitation Response Opening	0.5 days	Wed 12/17/14	Wed 12/17/14
Milestone: Proposals Due/Opened	0 days	Mon 12/15/14	Mon 12/15/14
Preliminary Review of Responses and Scoring	32.75 days	Wed 12/17/14	Wed 2/4/15
OPS Due Diligence	0.5 days	Wed 12/17/14	Wed 12/17/14
Conduct Initial Review of Paper Responses and Pricing	1 day	Thu 12/18/14	Thu 12/18/14
Issue Determinations of Non-Responsibility	1 day	Fri 12/19/14	Fri 12/19/14
Collect NDAs	1 day	Fri 1/9/15	Fri 1/9/15
Kickoff Meeting: Evaluation Team, SMEs and Advisors	0.25 days	Fri 1/9/15	Fri 1/9/15

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Milestone: Kickoff Meeting	0 days	Fri 1/9/15	Fri 1/9/15
Evaluation Committee Meetings	10 days	Fri 1/9/15	Fri 1/23/15
Reference Check Questions Due	1 day	Thu 1/22/15	Fri 1/23/15
Reference Checks Completed	5 days	Fri 1/23/15	Fri 1/30/15
Follow Up/Clarification Questions sent to Respondents	5 days	Fri 1/23/15	Fri 1/30/15
Milestone: Scoring Meeting	0 days	Fri 1/23/15	Fri 1/23/15
TouchPoint Meetings with Respondents	5 days	Wed 1/28/15	Wed 2/4/15
2nd Round Evaluation	81 days	Fri 1/30/15	Fri 5/22/15
Respondent Presentations (Demo and Sandbox)	21 days	Fri 1/30/15	Fri 2/27/15
Demo and Sandbox (Respondent 1)	21 days	Fri 1/30/15	Fri 2/27/15
Invitation to selected Respondent to Scripted Demo and Computer Lab	2 days	Fri 1/30/15	Mon 2/2/15
MCTO Agenda for Respondent Presentation Sent	1 day	Mon 2/9/15	Mon 2/9/15
Mandatory Conference to Discuss Demo	1 day	Mon 2/16/15	Mon 2/16/15
Respondent Presentation of Team Approach	0.5 days	Mon 2/23/15	Mon 2/23/15
Respondent Demo	2 days	Mon 2/23/15	Wed 2/25/15
Respondent Sandbox	2.25 days	Wed 2/25/15	Fri 2/27/15
Evaluation Team/Respondent Q&A	0.25 days	Fri 2/27/15	Fri 2/27/15
Milestone: Complete Scripted Demos/Sandbox	0 days	Fri 2/27/15	Fri 2/27/15
Deliverable: Sandbox Support	0 days	Fri 2/27/15	Fri 2/27/15
Scoring Meetings	4 days	Mon 3/2/15	Thu 3/5/15
Review and Finalize Evaluations	4 days	Mon 3/2/15	Thu 3/5/15
Obtain Respondent Clarifications as Needed	4 days	Mon 3/2/15	Thu 3/5/15
Identification of Preferred Bidder	1 day	Fri 3/6/15	Fri 3/6/15
Milestone: Identify Preferred Bidder	0 days	Fri 3/6/15	Fri 3/6/15
Deliverable: Subject Matter Expertise support to Evaluation	0 days	Fri 3/6/15	Fri 3/6/15
Gap Analysis	56 days	Fri 3/6/15	Fri 5/22/15
Group meeting to discuss GAP Process and Rules	1 day	Fri 3/6/15	Fri 3/6/15
Develop confidential discussion agenda for GAP Analysis	9 days	Mon 3/9/15	Thu 3/19/15
Fit-Gap Invitation and Agenda to Preferred Vendor	1 day	Mon 4/6/15	Mon 4/6/15
Milestone: Send Fit-Gap Invitation	0 days	Mon 4/6/15	Mon 4/6/15
Respondent Feedback to MCTO on Fit-Gap Agenda	1 day	Mon 4/13/15	Mon 4/13/15
Mandatory Conference to Discuss Fit-Gap	1 day	Mon 4/20/15	Mon 4/20/15
Fit-Gap Collaboration with Respondent/MCTO	4 days	Tue 4/21/15	Fri 4/24/15
Deliverable: Final Technology Vision	0 days	Fri 5/22/15	Fri 5/22/15
Fit-Gap	20 days	Mon 4/27/15	Fri 5/22/15
Milestone: Complete Gap Analysis	0 days	Fri 5/22/15	Fri 5/22/15
Deliverable: Fit-Gap Support	0 days	Fri 5/22/15	Fri 5/22/15
Finalize Vendor Selection	63.5 days	Mon 5/25/15	Thu 8/20/15
Request Best and Final Offer (BAFO)	0.25 days	Mon 5/25/15	Mon 5/25/15
Receive Best and Final Offer	1 day	Mon 6/8/15	Mon 6/8/15
Milestone: Receive BAFO	0 days	Mon 6/8/15	Mon 6/8/15
Evaluate BAFO for Responsiveness to Requirements	5 days	Mon 6/8/15	Fri 6/12/15
Draft Contract Negotiations (BAFO Revisions as Needed)	5 days	Mon 6/8/15	Fri 6/12/15
Draft Contract to Legal	5 days	Mon 6/15/15	Fri 6/19/15

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Present Draft Contract to Respondent	0.25 days	Mon 6/22/15	Mon 6/22/15
Selected Respondent Contract Signature	0.25 days	Mon 6/29/15	Mon 6/29/15
Deliverable: Contract review, negotiation assistance	0 days	Mon 6/29/15	Mon 6/29/15
Create Contract Award Package	9 days	Mon 6/29/15	Fri 7/10/15
Contract Reviews	9 days	Mon 6/29/15	Fri 7/10/15
Milestone: Approval of Draft Contract by MCTO	0 days	Fri 7/10/15	Fri 7/10/15
Milestone: Briefing with Chiefs of Staff and OMB	0 days	Fri 7/10/15	Fri 7/10/15
Submit Package for Informal Legal and Risk Review	15 days	Mon 6/29/15	Mon 7/20/15
Submit Package for Informal BOS Approval	15 days	Mon 6/29/15	Mon 7/20/15
Milestone: Informal Meeting with BOS (Mon)	0 days	Mon 7/20/15	Mon 7/20/15
Recommend Package for Formal Review	0.25 days	Mon 7/20/15	Mon 7/20/15
Put Contract on BOS Agenda	0.25 days	Mon 7/20/15	Mon 7/20/15
Put Funding on BOS Agenda	0.25 days	Mon 7/20/15	Mon 7/20/15
Formal BOS Approval	1 day	Tue 8/4/15	Wed 8/5/15
Milestone: Formal Meeting with BOS (Wed)	0 days	Wed 8/5/15	Wed 8/5/15
Milestone: Project Readiness Effort Completed	0 days	Wed 8/5/15	Wed 8/5/15
Milestone: Contract Award	0 days	Wed 8/5/15	Wed 8/5/15
Post Award Meeting	1 day	Wed 8/19/15	Thu 8/20/15
Deliverable: Final Award Package, Budget Request Proposals, and Presentations	0 days	Wed 8/5/15	Wed 8/5/15
Pre-Implementation	462 days	Tue 3/4/14	Fri 12/18/15
Start Pre-Implementation	0 days	Tue 2/24/15	Tue 2/24/15
Project Management	171 days	Mon 2/9/15	Mon 10/5/15
Administrative	171 days	Mon 2/9/15	Mon 10/5/15
Meeting Agendas, Minutes, and Presentations	171 days	Mon 2/9/15	Mon 10/5/15
Deliverables Review and Approval Meetings	171 days	Mon 2/9/15	Mon 10/5/15
Weekly Time-tracking Reports	171 days	Mon 2/9/15	Mon 10/5/15
Weekly Status Reports	171 days	Mon 2/9/15	Mon 10/5/15
Monthly Issues Reports	171 days	Mon 2/9/15	Mon 10/5/15
Update Project Schedule with Support Task Activities	171 days	Mon 2/9/15	Mon 10/5/15
Develop Templates	171 days	Mon 2/9/15	Mon 10/5/15
Meeting Management	171 days	Mon 2/9/15	Mon 10/5/15
Steering Committee Meetings	171 days	Mon 2/9/15	Mon 10/5/15
Advisory and SME Meetings	171 days	Mon 2/9/15	Mon 10/5/15
Quarterly Updates	171 days	Mon 2/9/15	Mon 10/5/15
Status Meetings	171 days	Mon 2/9/15	Mon 10/5/15
Maintain TIS Consultant SharePoint Site	171 days	Mon 2/9/15	Mon 10/5/15
Maintain Administrative SharePoint Site	171 days	Mon 2/9/15	Mon 10/5/15
Participate in creating budget packet requests and attend briefings	171 days	Mon 2/9/15	Mon 10/5/15
Data Quality Analysis - COMPLETE	127 days	Tue 3/4/14	Fri 8/29/14
Data Quality Remediation	214 days	Tue 2/24/15	Fri 12/18/15
Plan	214 days	Tue 2/24/15	Fri 12/18/15
Review DQA Documentation	5 days	Tue 2/24/15	Mon 3/2/15
Software Analysis	25 days	Tue 3/3/15	Mon 4/6/15
Determine Deep Dive Focus Areas	10 days	Tue 3/3/15	Mon 3/16/15

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Prioritize Deep Dive Focus Areas	5 days	Tue 3/17/15	Mon 3/23/15
Database Review & Catalog Code	5 days	Tue 3/24/15	Mon 3/30/15
Schedule Deep Dive Activities & Determine Roles/Responsibilities	5 days	Tue 3/31/15	Mon 4/6/15
Data Remediation	25 days	Tue 3/3/15	Mon 4/6/15
Review Analysis Toolset	5 days	Tue 3/3/15	Mon 3/9/15
Define Remediation Process	10 days	Tue 3/10/15	Mon 3/23/15
Prioritize Data Issues	5 days	Tue 3/24/15	Mon 3/30/15
Schedule Remediation Waves & Activities	5 days	Tue 3/31/15	Mon 4/6/15
Deliverable: Data Deep Dive & Remediation Plan	9 days	Tue 4/7/15	Fri 4/17/15
Review Draft	5 days	Tue 4/7/15	Mon 4/13/15
Incorporate Feedback	3 days	Tue 4/14/15	Thu 4/16/15
Approve Final Draft	1 day	Fri 4/17/15	Fri 4/17/15
Software Analysis	178 days	Tue 4/14/15	Thu 12/17/15
Sprint 1	20 days	Tue 4/14/15	Mon 5/11/15
Sprint 2	30 days	Tue 5/12/15	Mon 6/22/15
Deliverable: Preliminary Data Deep Dive Report	9 days	Tue 6/23/15	Fri 7/3/15
Review Draft	5 days	Tue 6/23/15	Mon 6/29/15
Incorporate Feedback	3 days	Tue 6/30/15	Thu 7/2/15
Approve Final Draft	1 day	Fri 7/3/15	Fri 7/3/15
Sprint 3	50 days	Mon 7/6/15	Fri 9/11/15
Sprint 4	60 days	Mon 9/14/15	Fri 12/4/15
Deliverable: Final Data Deep Dive Report	9 days	Mon 12/7/15	Thu 12/17/15
Review Draft	5 days	Mon 12/7/15	Fri 12/11/15
Incorporate Feedback	3 days	Mon 12/14/15	Wed 12/16/15
Approve Final Draft	1 day	Thu 12/17/15	Thu 12/17/15
Data Remediation	175 days	Mon 4/20/15	Fri 12/18/15
Remediation Wave 1	56 days	Mon 4/20/15	Mon 7/6/15
Analyze Wave 1	5 days	Mon 4/20/15	Fri 4/24/15
Execute Wave 1	45 days	Mon 4/20/15	Fri 6/19/15
Execute Data Clean Up	25 days	Mon 4/27/15	Fri 5/29/15
Execute Application Fixes	25 days	Mon 4/27/15	Fri 5/29/15
QA/Confirm Wave 1	12 days	Mon 6/1/15	Tue 6/16/15
Close Wave 1	5 days	Wed 6/17/15	Tue 6/23/15
Deliverable: Preliminary Data Remediation Report	9 days	Wed 6/24/15	Mon 7/6/15
Review Draft	5 days	Wed 6/24/15	Tue 6/30/15
Incorporate Feedback	3 days	Wed 7/1/15	Fri 7/3/15
Approve Final Draft	1 day	Mon 7/6/15	Mon 7/6/15
Remediation Wave 2	71 days	Mon 6/22/15	Mon 9/28/15
Analyze Wave 2	5 days	Mon 6/22/15	Fri 6/26/15
Execute Wave 2	40 days	Mon 6/29/15	Fri 8/21/15
Execute Data Clean Up	40 days	Mon 6/29/15	Fri 8/21/15
Execute Application Fixes	40 days	Mon 6/29/15	Fri 8/21/15
QA/Confirm Wave 2	12 days	Mon 8/24/15	Tue 9/8/15

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Close Wave 2	5 days	Wed 9/9/15	Tue 9/15/15
Deliverable: Secondary Data Remediation Report	9 days	Wed 9/16/15	Mon 9/28/15
Review Draft	5 days	Wed 9/16/15	Tue 9/22/15
Incorporate Feedback	3 days	Wed 9/23/15	Fri 9/25/15
Approve Final Draft	1 day	Mon 9/28/15	Mon 9/28/15
Remediation Wave 3	90 days	Mon 8/17/15	Fri 12/18/15
Analyze Wave 3	5 days	Mon 8/24/15	Fri 8/28/15
Execute Wave 3	60 days	Mon 8/17/15	Fri 11/6/15
Execute Data Clean Up	60 days	Mon 8/31/15	Fri 11/20/15
Execute Application Fixes	54 days	Mon 8/31/15	Thu 11/12/15
QA/Confirm Wave 3	12 days	Fri 11/13/15	Mon 11/30/15
Close Wave 3	5 days	Tue 12/1/15	Mon 12/7/15
Deliverable: Final Data Remediation Report	9 days	Tue 12/8/15	Fri 12/18/15
Review Draft	5 days	Tue 12/8/15	Mon 12/14/15
Incorporate Feedback	3 days	Tue 12/15/15	Thu 12/17/15
Approve Final Draft	1 day	Fri 12/18/15	Fri 12/18/15
Solution Implementation	656 days	Fri 1/1/16	Fri 7/6/18

EXHIBIT D PROPOSED WORK BREAKDOWN STRUCTURE

REVISION TO EXHIBIT D EFFECTIVE 04/20/16

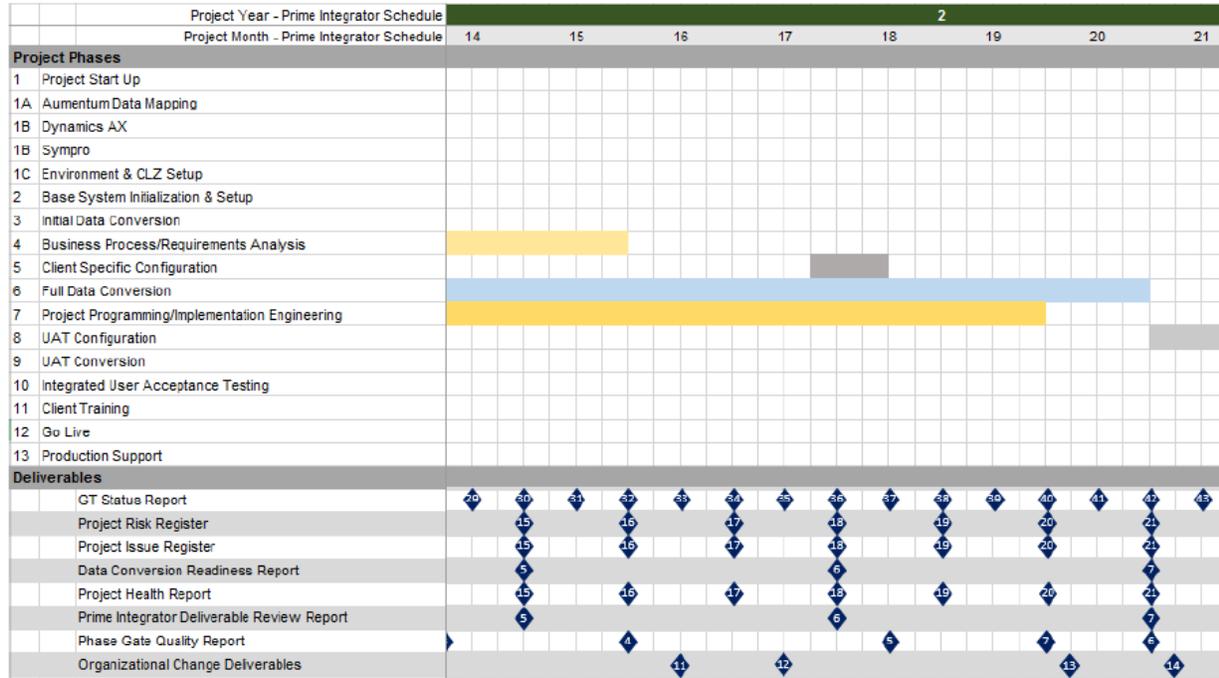
The Work Breakdown Structure below includes all deliverables outlined in Exhibit A. It is split into four images below for readability. The full spreadsheet is also included as an embedded document.

Project Months 0-7

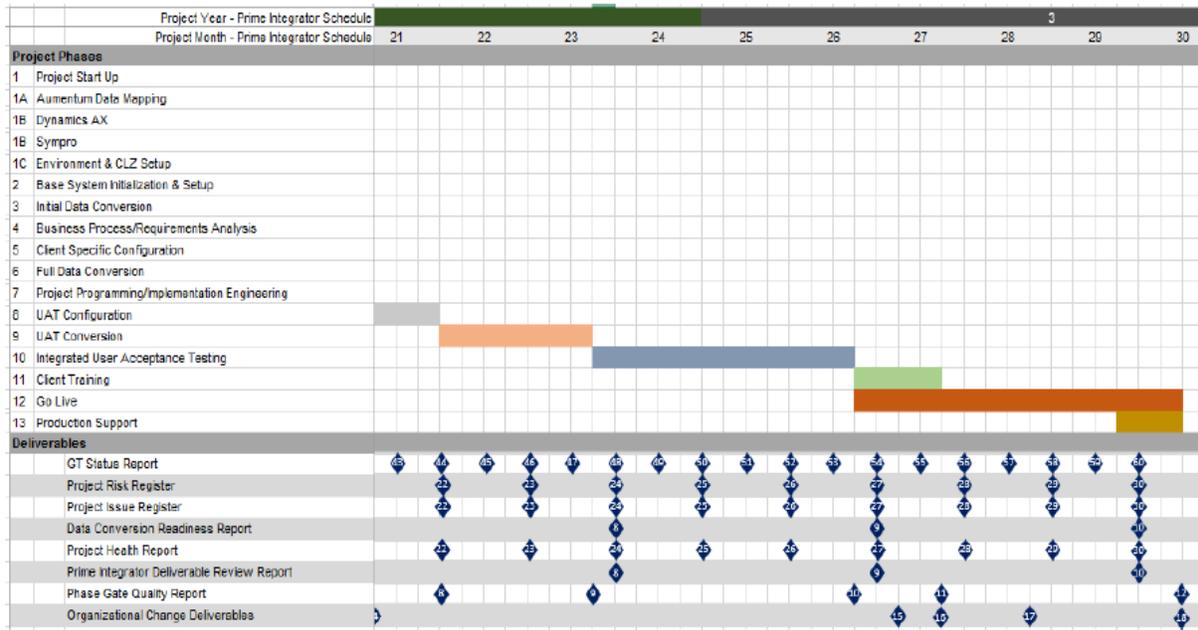
Project Year - Prime Integrator Schedule		0	1	2	3	4	5	6	1							
Project Month - Prime Integrator Schedule		0	1	2	3	4	5	6	7							
Project Phases																
1	Project Start Up															
1A	Aumentum Data Mapping															
1B	Dynamics AX															
1B	Sympro															
1C	Environment & CLZ Setup															
2	Base System Initialization & Setup															
3	Initial Data Conversion															
4	Business Process/Requirements Analysis															
5	Client Specific Configuration															
6	Full Data Conversion															
7	Project Programming/Implementation Engineering															
8	UAT Configuration															
9	UAT Conversion															
10	Integrated User Acceptance Testing															
11	Client Training															
12	Go Live															
13	Production Support															
Deliverables																
	GT Status Report	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
	Project Risk Register		1		2		3		4		5		6		7	
	Project Issue Register		1		2		3		4		5		6		7	
	Data Conversion Readiness Report						1						2			
	Project Health Report		1		2		3		4		5		6		7	
	Prime Integrator Deliverable Review Report						1						2			
	Phase Gate Quality Report								1							
	Organizational Change Deliverables					1					2				3	

*Work to prepare for the implementation phase will be completed in "Month 0", prior to start of work by the prime vendor.

Months 14-21



Months 21-30



C-73-14-037-7-01

AMENDMENT No. 1
To
TREASURER INFORMATION SYSTEM (TIS) CONSULTANT
SERIAL NO. 13123-RFP
Between
Grant Thornton LLP
&
Maricopa County, Arizona

WHEREAS, Maricopa County, Arizona ("County") and Grant Thornton, LLP ("Contractor or Consultant") have entered into a Contract for a Treasurer Information System (TIS) Consultant dated February 26, 2014 ("Agreement") and effective February 26, 2014 under County Contract No. 13123-RFP.

WHEREAS, County and Contractor have agreed to further modify the Agreement by changing certain terms and conditions;

NOW, THEREFORE, in consideration of the foregoing, and for other good and valuable consideration, receipt of which is hereby acknowledged, the parties hereto agree as follows:

1. Section 6.29.4

Remove the word "Schedule" and replace with "Structure"

2. Exhibit A

Delete Exhibit A in its entirety and replace with the "NEW" attached Exhibit A

3. Exhibit B

Delete Exhibit B in its entirety and replace with the "NEW" attached Exhibit B

4. Exhibit D

Delete Exhibit D in its entirety and replace with the "NEW" attached Exhibit D

ALL OTHER TERMS AND CONDITIONS REMAIN UNCHANGED.

IN WITNESS WHEREOF, this Contract Amendment is executed on the date set forth when executed by Maricopa County.

CONTRACTOR:

G. Finley
Authorized Signature

GRAEME FINLEY MANAGING DIRECTOR
Printed Name and Title

2/11/15
Date

MARICOPA COUNTY:

[Signature]
Chairman, Board of Supervisors

MAR - 9 2015
Date

ATTESTED:

[Signature]
Clerk of the Board 021815

MAR - 9 2015
Date

OFFICE OF TREASURER:

[Signature]
Treasurer

2-18-15
Date

APPROVED AS TO FORM:

[Signature]
Legal Counsel

Finley 24, 2015
Date

C-13-14-037-7-02

AMENDMENT No. 2
To
TREASURER INFORMATION SYSTEM (TIS) CONSULTANT
SERIAL NO. 13123-RFP
Between
Grant Thornton LLP
&
Maricopa County, Arizona

WHEREAS, Maricopa County, Arizona ("County") and Grant Thornton, LLP ("Contractor or Consultant") have entered into a Contract for a Treasurer Information System (TIS) Consultant dated February 26, 2014 ("Agreement") and effective February 26, 2014 under County Contract No. 13123-RFP.

WHEREAS, the parties agreed to Amendment No. 1 effective February 18, 2015 replacing Exhibit A, B and D with a "NEW" Exhibit A, B and D;

WHEREAS, County and Contractor have agreed to further modify the Agreement by changing certain terms and conditions;

NOW, THEREFORE, in consideration of the foregoing, and for other good and valuable consideration, receipt of which is hereby acknowledged, the parties hereto agree as follows:

1. Section 1.1

Renew the contract term for an additional three (3) years, to end on the 28th day of February, 2020.

2. Exhibit A

Delete Exhibit A in its entirety and replace with the "NEW" attached Exhibit A

3. Exhibit B

Delete Exhibit B in its entirety and replace with the "NEW" attached Exhibit B

4. Exhibit D

Revise Exhibit D to reflect the additional work breakdown structure per attached

ALL OTHER TERMS AND CONDITIONS REMAIN UNCHANGED.

IN WITNESS WHEREOF, this Contract Amendment is executed on the date set forth when executed by Maricopa County.

CONTRACTOR:

G. Finley

Authorized Signature

GRAEME FINLEY MANAGING DIRECTOR

Printed Name and Title

4/10/16

Date

MARICOPA COUNTY

[Signature]

Chairman, Board of Supervisors

MAY 09 2016

Date

ATTESTED:

[Signature]

Clerk of the Board

MAY 09 2016

Date 050216

OFFICE OF TREASURER:

[Signature]

Treasurer

5-6-16

Date

APPROVED AS TO FORM:

[Signature]

Deputy County Attorney

May 4, 2016

Date

GRANT THORNTON LLP, 333 JOHN CARLYLE STREET, SUITE 500, ALEXANDRIA, VI 22314

PRICING SHEET: NIGP CODE 91829

Vendor Number: 2011002191 0

Certificates of Insurance Required

Contract Period: To cover the period ending **February 28, 2017 2020.**