

SERIAL 13140 RFP OET INTERNAL SYSTEMS/PROCESS STUDY

DATE OF LAST REVISION: April 16, 2015

CONTRACT END DATE: June 30, 2016

CONTRACT PERIOD THROUGH JUNE 30, ~~2015~~ 2016

TO: All Departments
FROM: Office of Procurement Services
SUBJECT: Contract for **OET INTERNAL SYSTEMS/PROCESS STUDY**

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 **June 12, 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
Steven Scales, OET



CONTRACT PURSUANT TO RFP

SERIAL 13140-RFP

This Contract is entered into this 12th day of June, 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 consultant services.

1.0 CONTRACT TERM:

- 1.1 This Contract is for a term of one (1) year, beginning on the 12th day of June, 2014 and ending the 30th day of June, ~~2015~~ **2016**.
- 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 four (4) years, or other specified length options not exceeding a total of five (5) years (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, each party ("Indemnifying Party") shall defend, indemnify, and hold harmless the other party, its agents, representatives, officers, directors, officials, and employees ("Indemnitees") from and against all claims, actions and proceedings ("Claims"), and any resulting settlement amounts, damages, costs, losses and expenses, including, but not limited to, reasonable attorney fees, court costs, expert witness fees, and the cost of appellate proceedings, ("Claim Costs"), for any death, bodily injury or tangible, physical property damage to the extent relating to, arising out of, or alleged to have resulted from the negligent or intentionally wrongful acts, errors, omissions, mistakes or malfeasance of the Indemnifying Party, as well as any person or entity Indemnitee may be legally liable relating to the performance of this Contract. 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 attributable to bodily injury, sickness, disease, death, or injury to, impairment, or destruction of property, including loss of use resulting therefrom, 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.

- 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 or willful misconduct of any Indemnatee.
- 6.1.4 Notwithstanding anything else herein to the contrary, the liability of the Contractor on account of any actions, damages, claims, liabilities, costs, expenses or losses in any way arising out of or relating to the services performed under the Contract or any Purchase Order issued thereunder shall be limited to the amount of fees paid or owing to Contractor under the Contract or Purchase Order giving rise to the action(s), damage(s), claim(s), liability(ies), cost(s), expense(s), and/or loss(es). In no event shall Contractor be liable for consequential, special, indirect, incidental, punitive or exemplary damages, costs, expenses or losses (including, without limitation, lost profits and opportunity costs). This section shall apply regardless of the form of action, damage, claim, liability, cost, expense or loss asserted, whether in contract, statute, tort (including, but not limited to negligence) or otherwise.

6.2 **INSURANCE REQUIREMENTS:**

- 6.2.1 Contractor, at Contractor'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. Contractor 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 and Errors and Omissions, shall name County, its agents, representatives, officers, directors, officials and employees as Additional Insured.
- 6.2.7 The policies required hereunder, except Workers' Compensation and Errors and Omissions, 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 \$2,000,000 General Aggregate Limit. 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 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 \$100,000 for each accident, \$100,000 disease for each employee, and \$500,000 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, VA 22314
Attn: Contracts Department

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. The Contractor shall be entitled to receive just and equitable compensation for work in progress, work completed and materials accepted before the effective date of the termination.

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 Office of Procurement Services 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 the Office of Procurement Services 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 Project Schedule

**EXHIBIT A
PRICING**

SERIAL 13140-RFP
 NIGP CODE: 91829, 91832
 COMPANY NAME: Grant Thornton LLP
 DOING BUSINESS AS (DBA) NAME: N/A
 MAILING ADDRESS: Grant Thornton LLP Global Public Sector
 333 John Carlyle Street, Suite 500
 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: Shiva Verma
 REPRESENTATIVE PHONE NUMBER: 703-373-8740
 REPRESENTATIVE E-MAIL: shiva.verma@us.gt.com

WILL ALLOW OTHER GOVERNMENTAL ENTITIES TO PURCHASE FROM THIS CONTRACT: YES
 [X]
 WILL ACCEPT PROCUREMENT CARD FOR PAYMENT: [X]

PAYMENT TERMS: [X] NET 30 DAYS

1.0 PRICING:

1.1 Professional Services	\$ 358,137.82	Not to Exceed
1.1.1 Travel Related Expenses per Exhibit 3	\$ 9,520.00	Not to Exceed
Total	\$ 367,657.82	Not to Exceed

1.2 Labor Rates for Optional Services (list as needed):

No.	Name	Role	Rate
1.2.1	Shiva Verma	Engagement Partner	\$183.71
1.2.2	Graeme Finley	Engagement Director	\$183.71
1.2.3	Steve Stevens	Project Manager	\$152.15
1.2.4	Eric Dixon	Process & Cost Analyst	\$152.15
1.2.5	Craig Thurmond	Enterprise Architect	\$183.71
1.2.6	TBD	Business Analyst	\$95.00
1.2.7	Todd Sturner	Senior Business Analyst	\$125.00

Based on the identified tasks in the solicitation, the vendor is required to submit a break out of the total number of hours by weeks, tasks and personnel with their submission (project staffing plan). Please also provide an excel spreadsheet to include job title(s) and professional services hourly rates to support the NTE rate AND optional requirements.

Note: Milestones and payment plan to be negotiated prior to contract award

Invoice per accepted deliverable as defined in Exhibit A-1.

EXHIBIT A-1
DELIVERABLE PRICING DOCUMENT

2.0 Milestone and Deliverable Hour Breakout

2.1 Project Plan (Due: 6/30/2014)	Role	Hourly Rate	Total Hours	Total Price
	Engagement Partner	\$ 183.27	2	\$ 299
	Engagement Director	\$ 183.27	5	\$ 904
	Project Manager	\$ 152.15	40	\$ 6,120
	Process & Cost Analyst	\$ 152.15	40	\$ 6,120
	Senior Business Analyst	\$ 125.00	40	\$ 5,028
	Business Analyst	\$ 95.00	-	\$ 0
	Enterprise Architect	\$ 183.27	2	\$ 300
	Totals		129	\$18,772.24

2.2 Discover (As-Is) Document (Due: 9/19/2014)	Role	Hourly Rate	Total Hours	Total Price
	Engagement Partner	\$183.27	7	\$1,193
	Engagement Director	\$183.27	20	\$3,618
	Project Manager	\$152.15	168	\$25,625
	Process & Cost Analyst	\$152.15	168	\$25,625
	Senior Business Analyst	\$125.00	168	\$21,053
	Business Analyst	\$95.00	-	\$0
	Enterprise Architect	\$183.27	7	\$1,201
	Totals		538	\$78,315.13

2.3 Design Document (Due: 11/5/2014)	Role	Hourly Rate	Total Hours	Total Price
	Engagement Partner	\$183.27	7	\$1,193
	Engagement Director	\$183.27	20	\$3,618
	Project Manager	\$152.15	168	\$25,625
	Process & Cost Analyst	\$152.15	168	\$25,625
	Senior Business Analyst	\$125.00	168	\$21,053
	Business Analyst	\$95.00	-	\$0
	Enterprise Architect	\$183.27	7	\$1,201
	Totals		538	\$78,315.13

2.4 Plan Document (Due: 12/31/2014)	Role	Hourly Rate	Total Hours	Total Price
	Engagement Partner	\$ 183.27	7	\$1,193
	Engagement Director	\$ 183.27	20	\$3,618
	Project Manager	\$ 152.15	168	\$25,625
	Process & Cost Analyst	\$ 152.15	168	\$25,625
	Senior Business Analyst	\$ 125.00	168	\$21,053
	Business Analyst	\$ 95.00	-	\$0
	Enterprise Architect	\$ 183.27	7	\$1,201
	Totals		538	\$78,315.13

	Role	Hourly Rate	Total Hours	Total Price
2.5 Measure Document (Due: 1/9/2015)	Engagement Partner	\$ 183.27	7	\$1,193
	Engagement Director	\$ 183.27	20	\$3,618
	Project Manager	\$ 152.15	168	\$25,625
	Process & Cost Analyst	\$ 152.15	168	\$25,625
	Senior Business Analyst	\$ 125.00	168	\$21,053
	Business Analyst	\$ 95.00	-	\$0
	Enterprise Architect	\$ 183.27	7	\$1,201
	Totals		538	\$78,315.13

	Role	Hourly Rate	Total Hours	Total Price
2.6 Master Documents & Roadmap (Due: 1/9/2015)	Engagement Partner	\$ 183.27	2	\$398
	Engagement Director	\$ 183.27	7	\$1,206
	Project Manager	\$ 152.15	56	\$8,542
	Process & Cost Analyst	\$ 152.15	56	\$8,542
	Senior Business Analyst	\$ 125.00	56	\$7,018
	Business Analyst	\$ 95.00	-	\$0
	Enterprise Architect	\$ 183.27	2	\$400
	Totals		179	\$26,105

PRICING SHEET: NIGP CODE 91829, 91832

Terms: NET 30

Vendor Number: 2011002191 0

Certificates of Insurance Required

Contract Period: To cover the period ending **June 30, 2015 2016.**

**EXHIBIT B
SCOPE OF WORK**

1.0 INTENT:

Maricopa County (MC) is requesting consulting services to analyze and recommend improvements for the Office of Enterprise Technology’s (OET) current internal operational systems utilized for the capture, tracking, and management of IT related work orders, trouble tickets, service requests, assets, source control and related financial information. Analysis should include recommendations for improving all supporting operational processes, including but not limited to the assignment, communication, monitoring, measuring, time management, charge back, asset tracking, and reporting of tasks related to the fulfillment of the original request. OET’s requests for service can include, but are not limited to, the following types of requests: work orders, operational requests, maintenance requests, VIP requests, ad hoc requests, production support, break-fix, and project related tasks. OET’s assets include, but are not limited to: source code, documents, phones, computers, network equipment, wireless radios, software and mobile devices. These requests and assets span all of the enterprise technology domains OET supports, such as software, hardware, infrastructure, networking, configuration, wireless/radio and telephony. MC also requests that the recommended improvements derived through this analysis support the accurate measuring of service metrics, including key performance indicators (KPIs) and benchmarks, and communicate this information through management dashboards.

The purpose of this contract is for the Contractor to conduct the in-depth analysis of the current systems and processes and develop recommendations for efficiency improvements through the streamlining and alignment of operational processes with supporting technologies. Although this project is not mandated by law, court case or regulation, it is intended to yield significant savings for OET through reduction in IT operational and management costs as well as better allocation of limited human resources, resulting in a lower total cost of ownership (TCO).

2.0 SCOPE OF WORK:

2.1 REQUIREMENT:

The Contractor shall thoroughly analyze OET’s organizational structure, service request processes, change management processes, asset and configuration management processes, and the supporting IT management systems to identify efficiency gains through process and system improvements. The Contractor shall provide improvement recommendations in the form of detailed process, design and planning documentation for both process and system changes leading to optimal management of customer service requests that leverages, incorporates and applies industry standard methodologies, maturity models, and frameworks such as ITIL, ISO 20000 and COBIT. Deliverables for this requirement include, but are not limited to the following items.

<p>2.1.1 2.1.1.1</p>	<p>DELIVERABLES: The Vendor shall analyze and demonstrate a solid understanding of the current and informal “As-Is” processes and how each system in the process is utilized. To do this, the Vendor shall study and diagram the existing process to the extent needed that will allow identification of process gaps and points of inefficiency. This document will assist in communicating the delta between the current “As-Is” and the recommended “To-Be” models resulting from this study.</p>	<p>2.1.1, 2.1.3.3.1, 2.1.4, 2.1.5, 2.1.5.2, 2.1.6.1</p>
<p>2.1.1.2</p>	<p>The Vendor will conduct a comprehensive analysis of the functionality OET is leveraging in each system currently in use, for use in the requirements gathering effort.</p>	<p>2.1, 2.1.3, 2.1.3.3, 2.1.3.3.1, 2.1.4, 2.4.1.2, 2.1.4.3.1,</p>
<p>2.1.1.3</p>	<p>The Vendor shall produce a requirements document detailing the mandatory and optional requirements OET has relating to IT service management. This will include, but is not limited to, all the higher level solution requirements detailed in section 2.8 of this Contract. Requirements shall be documented in a testable and measurable form</p>	<p>2.1.5, 2.1.5.3, 2.1.5.3.1</p>

	and traceable to the solutions proposed.	
2.1.1.4	The Vendor shall produce recommendations for the improved processes with supporting detail through comprehensive documentation. This documentation shall communicate the possible pathways, e.g., enhancement, break-fix, production support, project request, VIP request, emergency changes, ad hoc, training item, work order, and the steps a service request must go through from initial intake to closure, and identify the entities and the decision points involved with each step in the process. This document shall show how the proposed solution relates back to industry standard practices, e.g., ITIL, ISO 20000, and COBIT. The recommendation shall also demonstrate how CSC representatives can easily monitor and maintain master ownership of tasks that have been assigned outside of CSC.	2.1.5, 2.1.5.2, 2.1.5.3.1
2.1.1.5	The Vendor shall produce recommendations for an improved change management and asset management process in regards to the facilitation of the initial change request, the required approvals by the right people, change impact and risk identification, proper change notification to the right stakeholders, defined communication protocols, and post change notification or back out planning.	1.0, 2.0, 2.1, 2.1.2.2, 2.1.3.2, 2.1.4.1, 2.1.4.2, 2.1.5, 2.1.5.3, 2.1.5.3.1, 2.1.6.2, 2.2
2.1.1.6	The Vendor shall produce documentation detailing the service levels, benchmarks, and KPI metrics the proposed solution would yield in comparison to industry standards. This would include but not be limited to the following common service desk metrics: Cost per Contact, Customer Satisfaction, Agent Utilization, First Contact Resolution Rate, First Level Resolution Rate, Agent Satisfaction, and Aggregate Service Desk Performance.	2.1.5, 2.1.5.3.1
2.1.1.7	The Vendor shall produce recommendations with supporting documentation identifying the products and features required to support the improved processes, and how they will be integrated into and utilized to facilitate the process. This documentation shall include details for the specific products and features, as well as the system requirements, configuration and customization recommendations supporting OET's requirements. If multiple systems are recommended, the Vendor shall document how the systems will integrate to ease manual efforts, remain in sync, and facilitate OET's reporting needs.	2.1.5, 2.1.5.2, 2.1.5.3.1
2.1.1.8	The Vendor shall provide a project plan detailing the transitional tasks associated with migrating from the "As-Is" to the recommended "To-Be" model. This project plan shall include all major milestones, supporting tasks, dependencies, needed resources and timeframes.	2.1.6, 2.1.6.3.1
2.1.1.9	The Vendor shall identify and document possible risks in all areas of the recommended solution and its implementation plan with weighting, probability, impact, and mitigation strategies identified.	2.1.6, 2.1.6.2
2.1.1.10	The Vendor shall produce ROI, TCO, and financial benefit analysis reports broken down over 10 years showing both the total costs and savings the recommend solution would yield over maintaining the current systems and processes.	2.1.1, 2.1.7.2, 2.1.6.3.1,
2.1.1.11	The Vendor shall provide recommendations for a data conversion strategy, if one is found to be necessary, to populate any new IT management systems that are part of the recommended solution with the tickets and master data from the legacy systems.	2.1.5, 2.1.5.1.1, 2.1.5.3.1
2.1.1.12	The Vendor shall analyze and provide recommendations for system monitoring processes and tools as they relate to ITSM for Fault Tolerance, Performance, and Security at various layers of the OSI model.	2.1.5, 2.1.5.3, 2.1.5.3.1
2.1.1.13	The Vendor shall produce a pricing matrix for the recommended solution. This pricing shall include annual licensing costs and initial purchase costs for any new products or hardware required, and any infrastructure improvement costs to support the system requirements.	2.1.7, 2.1.7.3.1

	It shall also include, but not be limited to: professional service costs, implementation costs, setup and configuration costs, maintenance costs, and support costs over a 10 year period. This pricing matrix shall leverage County buying power and identify possible economies of scale by way of re-using existing County technology and/or finding enterprise licensing agreement possibilities to reduce costs.	
2.1.1.14	The Vendor shall work with OET to identify, quantify, and document to the best degree possible the indirect or “soft” savings resulting from the implementation of the proposed solution where process and staff efficiencies are to be realized, i.e., the technician doesn’t have to close tickets in 3 systems.	2.1.1., 2.1.7
2.1.1.15	The Vendor shall provide executive level presentation material effectively communicating the recommendation, highlighting the efficiency gains and savings to be realized through the implementation of the recommended solution.	2.1.7, 2.1.7.2, 2.1.7.3.1
2.1.1.16	The Vendor may produce other documents, not specifically identified in this Contract, that add value to the overall recommendation.	2.1.2, 2.1.2.3.1, 2.1.3.3.1, 2.1.5.3.1, 2.1.6.3.1, 2.1.7.3.1
2.2	MANDATORY REQUIREMENT: The Vendor shall develop a detailed project plan with specific/measurable deliverables (using Microsoft Project), team member responsibilities, and a timetable for each option recommended. The Vendor will review the findings with the OET project team for input, acceptance, and signoff.	2.1.2, 2.1.2.2.2, 2.1.2.3.2, 2.1.3.1.1, 2.1.4
2.3	MANDATORY REQUIREMENT: Before beginning actual work, the Vendor shall produce a work breakdown structure and project plan to complete the work specified in this Contract with resources, dependencies of tasks and the critical path identified. It is anticipated that this work break down will include the following phases: kickoff, discovery, analysis, design, and recommendation presentation. However, MC is open to recommendations for alternative approaches and phases to complete this initiative.	2.1.2, 2.1.2.3.2
2.4	MANDATORY REQUIREMENT: The Vendor shall provide weekly status reports to the project team to ensure direction and project progress in context of the approved project plan. Reports shall contain, at a minimum, tasks completed for the reporting period, tasks scheduled to be completed for the next reporting period, issues/risks realized, and completion percentage to-date. OET will conduct periodic reviews of the draft deliverables to validate progress and provide comment.	2.1.2, 2.1.2.2.1, 2.1.2.3.2
2.5	MANDATORY REQUIREMENT: The Vendor shall work with OET, and other MC departments and individuals as directed by OET, in order to understand the current operations of the County and its support processes, systems, and challenges.	2.1.2, 2.1.2.1, 2.1.2.2.1, 2.1.3, 2.1.3.2.1, 2.1.4, 2.4.1.2.1, 2.1.5, 2.1.5.2.1, 2.1.6, 2.1.6.2.1, 2.1.7, 2.1.7.1.1, 2.1.7.3.1, 2.2
2.6	MANDATORY REQUIREMENT: The Vendor shall provide the computing devices necessary to perform the work required of this initiative. MC will not provide PC’s to the Vendor employees assigned to the project.	2.1.2, 2.1.2.1.1
2.7	MANDATORY REQUIREMENT: The Vendor shall frequently review their findings and recommendations with the OET project team for input, acceptance, and signoff.	2.1.2.2, 2.1.2.2.1, 2.1.3, 2.1.2.1, 2.1.3.2.1, 2.1.4.1, 2.4.1.2.1, 2.1.5, 2.1.6, 2.1.6.2.1, 2.1.7, 2.1.7.1.1
2.8	MANDATORY REQUIREMENT: All proposed recommendations developed through this initiative shall take into consideration and	2.1, 2.1.2, 2.1.2.1.1, 2.1.2.2, 2.1.3,

<p>strive to meet the following business goals and requirements related to this initiative. However, the following goals and requirements in this section (2.8) should not be viewed as statements that limit solution possibilities as OET is open to discussion on these topics and innovative ideas.</p> <p>The purpose of this project is to significantly improve OET’s IT service management processes and tooling, thereby reducing management and operational expenses leading to a lower TCO, improved employee satisfaction, and improved customer service. The focus is reducing the number of systems in place and reducing the resource burden brought on by a lack of defined processes and having to manage multiple systems manually. All proposed solutions must show significant business efficiency gains, process simplification, and a lower TCO to be considered viable.</p> <p>The proposed solution shall define, support, and meet industry standard and OET specific (defined through the study) service level benchmarks, key performance indicators (KPI), and performance metrics and demonstrate how the proposed solution would compare to industry standards.</p> <p>The proposed solution shall leverage, incorporate and apply industry standard IT and Government methodologies and practices such as ITIL, ISO 20000 and COBIT.</p> <p>The proposed solution shall allow all OET teams to interact around a given service request with seamless collaboration and cooperation, leveraging a multitude of communication methods such as work logs, notes, email, instant messaging, phone calls, presence, remote desktop, social features, digital white boarding and other methods.</p> <p>The proposed solution shall allow for multiple initiation pathways for service requests and work orders such as email, phone call, self-service, verbal and walk-in.</p> <p>The proposed solution shall consider allowing OET to provide access to the recommended system as a service to other County Departments, meaning they could use it to manage their own internal helpdesk operations.</p> <p>The proposed solution shall provide functionality for easy searching of tickets including but not limited to: ticket ID, department, requestor, type, assigned staff, team, status, aging, etc.</p> <p>The proposed solution shall provide mobile access to OET employees as well as a customer facing portal for OET clients offering capabilities including, but not limited to: self-help guidance for common tasks, frequently asked questions by service area, submitting tickets, monitoring the status and progression of tickets, commenting on tickets, editing tickets, SLA threshold notification, and viewing of invoices.</p> <p>The proposed solution shall provide functionality for the tracking and monitoring of the service request including staff assignment/re-assignment, status, work log, notes, and final resolution description.</p> <p>The proposed solution shall provide functionality for customer notification through several media, e.g., email, text messaging, and</p>	<p>2.1.3.1.1, 2.1.4, 2.1.4.1.1, 2.1.5, 2.1.5.1.1, 2.1.5.3.1, 2.6.1, 2.1.6.1.1, 2.1.7, 2.1.7.1.1, 6.0</p>
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system notification upon ticket updates with the ability to turn this off if needed.

The proposed solution shall provide functionality that allows CSC staff to easily shepherd tasks through to completion regardless of who the task is assigned to outside of CSC. This feature is intended to prevent the hand off and forget about scenario that is common today, resulting in stagnant tickets that sit untouched and breach service level agreements (SLAs).

The proposed solution shall provide functionality for an improved change management process with related workflow steps such as: change request initiation, change request notification, customer coordination, multi-level approval, completion notification, and post implementation review.

The proposed solution shall provide functionality for reporting capabilities including, but not limited to, ticket aging, ticket statistics, performance management, financial management, and staff work loads. This would include both automated batch reporting and on demand user reports. In addition, OET desires the ability to gain access to the data in the system(s) for Ad-Hoc reporting purposes and extract, transform, and load (ETL) processing into county business intelligence data warehouses. This data would be used for performance management and data mining. Specific reporting needs shall be defined through the requirements gathering portion of the study.

The proposed solution shall include functionality for financial calculation and charge back of services rendered and the associated billing. This feature must support any new service portfolio cost allocation models resulting from the parallel initiative described in the Contract. These features include, but are not limited to: the tracking of fees associated to services and staff, staff labor effort on a given request, service time frames, levels of service, allocation of costs, set up and modification of fee structures, regular and recurring carrier costs, billing, and invoicing per department at some regular frequency.

The proposed solution shall include a knowledge base (KB) function with search ability to quickly identify previous solutions that can be leveraged to promote quicker resolution or recurring issues. OET desires a proactive, system automated, KB search capability that will present KB search results to the CSC agent upon viewing the ticket.

The proposed solution shall include strategies and functionality for system integration or processes that ease the cross system issues experienced by staff today as noted in this Contract and discovered through the study. Although OET understands getting to a single system is unlikely, the proposed solution shall strive to reduce the number of systems to the greatest extent possible while still providing maximized management efficiency and a high quality of service to OET customers.

The proposed solution shall offer asset tracking capability. OET's assets include but are not limited to: source code, documents, phones, computers, network equipment, wireless radios, software and mobile devices. The proposed solution will describe how the asset tracking features can be leveraged to improve OET's internal processes, specifically addressing the change control issues noted in the current

	<p>environment section of this Contract.</p> <p>The proposed solution and systems shall provide for ITFM (as it relates to service requests, staff, and assets) and provide processes and/or features that allow simplified integration with the County's current financial system. (Details of the County's financial system will be discussed once the Vendor is onsite)</p> <p>The proposed solution shall take into consideration leveraging current technologies, the county's buying power, and where possible identify economies of scale through system reuse and enterprise licensing agreements.</p> <p>The systems proposed within the recommended solution shall provide Application Programmer Interfaces (API), giving OET the flexibility to write proprietary code using the APIs for integration purposes moving forward.</p> <p>The proposed solution shall align with and support all information required for the newly proposed cost allocation and charge back models identified through that parallel initiative.</p> <p>The proposed solution shall consider the needed points of integration and possible impacts with the MC Unify project including VoIP phones, desktop video, chat-messaging and presence technologies. The proposed solution shall leverage the rich communication features offered by the MC Unify initiative.</p> <p>The solution shall consider the current data center co-location project that OET is engaged in and how it may affect or be affected by this Contract initiative.</p> <p>The proposed solution shall clearly demonstrate that it will not introduce new risks to the integrity, confidentiality, and availability of MC information assets or resources, e.g., the solution should not break the integrity of the 911 integration, or introduce new vulnerabilities.</p> <p>The proposed solution shall provide comprehensive system administration and management that allows for rapid, efficient, and cost-effective configuration changes as OET continues to refine its processes post Contract engagement, i.e., OET needs the ability to modify the system to allow for process change.</p> <p>The solution shall demonstrate the capability of integrating with existing OET technologies as well as permit integration with future technology changes.</p> <p>The proposed solution shall include a detailed plan for a complete on-site implementation and project management support.</p> <p>The proposed solution shall provide thorough, on-site support training to IT staff. This shall include all aspects of managing the supporting systems and fully educating staff on new processes. Training hours, number of trainers, who will be trained, and the training strategy shall be determined through the study in cooperation with OET.</p> <p>The proposed solution shall include methodologies to ensure updates can occur easily to any systems supporting the overall process as part of regular maintenance with minimal end user impact.</p>	
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	<p>The proposed solution shall provide technical documentation for support staff including but not limited to system overviews, FAQ, common trouble shooting steps, design specifications, flowcharts, and file layouts.</p> <p>The proposed solution shall provide a complete set of user manuals for all software used in the proposed solution.</p> <p>The proposed solution shall strive to greatly minimize or eliminate the need for scheduled downtime currently required for updating and patching virtualized servers and, in the future, virtual desktops.</p>	
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2.1.1 Introduction

As depicted in Figure 1 below Grant Thornton will apply a holistic mindset (people, process, and technology) throughout this project to achieve OET’s desired outcomes. We will provide local project management, IT Service Management (ITSM) expertise, and cost accounting expertise. However, the local team will also draw on our entire organization, as needed, to deliver a best-in-class solution for the OET and MC.



Figure 1. Grant Thornton’s five Stage Process to Realize OET’s Vision

Figure 1 above presents the five stage process that we will follow to conduct the project. Each of these stages - Initiate, Discover, Recommend, Plan, and Measure - are described below in greater detail. Each stage will progressively build on the prior stages to recommend a solution and plan that will realize OET’s vision.

It is very important that key OET staff participate throughout the project both to provide input to our team and for our team to transfer knowledge to OET. Knowing the heavy workload of some OET staff members, we understand this additional workload could pose a risk to both the project schedule and operational duties. Grant Thornton has sequenced the project schedule to smooth out the workload in order to mitigate this risk.

To achieve this workload prioritization, we will be placing the targeted OET processes into three focus groups. The three focus groups were carefully chosen to represent processes that are either being supported by the same systems or that are dependent on prior focus group.

The focus groups are as follows:

- **Request Management and Incident Management** will comprise the first focus group. These two processes are closely related, typically share the same tool (system), and are the first processes necessary for OET to overcome service silos. Our solution for this focus group will solve issues for all “ticketing” processes and systems.
- **Configuration and Asset Management and Cost Accounting and partial Financial Management** will be the second focus group. These processes are required in order for OET to realign its services to better meet the needs of MC. In addition Change Management is dependent on these processes. Our solution for this focus group will improve the granularity of OET service blocks and allow cost tracking of activities resulting in better business decisions.

- *Change Management, partial Service Level Management and partial Service Catalog Management in support of the current study* will be the third focus group. These processes are necessary to maintain operational stability as well as to implement the current study. Our solution for this focus group will solve issues for mitigating operational risk and for improving management through measurement (e.g., metrics, key performance indicators, dashboards etc.).

We will start work on the first focus group immediately, start work on the second focus group two weeks after the first, and then start work on the third focus group two weeks after the second. In addition to smoothing out the workload impact to OET staff, this approach has the added benefit of presenting solutions to gaps impacting the Service Catalog in the order they are needed by OET.

As highlighted above, Grant Thornton will take each focus group through our 5-stage process to organize the effort and enable systematic progress. This approach is based on a simple business premise, namely that we must initiate the effort with an achievement-oriented project plan, establish business goals first and foremost, then conduct an analysis whose focus and resourcing levels are consistent with the goals, followed by targeted recommendations and results that are part of an overall performance feedback loop.

In the discussion below, we examine each of the stages in turn, looking at activities along with their inputs and outputs, setting the stage for a discussion of deliverables and delivery dates. Afterward, we further clarify each of the deliverables from the Scope of Work defined in Section 2.0 of the Contract.

We propose to collect the outputs for each stage into *deliverable packages*. Each package consists of deliverables that are specified by the Contract, as well as additional deliverables that we have added as a part of our proven approach to ITSM. The latter are essentially stepping stones to the end-results desired by OET and, in our view, must be produced to realize the results anticipated from our work. In each case, they are open to discussion and validation by OET in the early stages of the project. The following table maps each of our deliverable packages to the Contract Deliverable Requirements and Outputs, demonstrates that our proposed solution addresses all the requirements of the Contract.

Project Stage	Deliverable Package	Objective	Contract Deliverable Requirements and Outputs
Initiate	<ul style="list-style-type: none"> • Project Plan 	To introduce the team, refine our plan, confirm expectations and determine any immediate needs.	2.2, 2.3, 2.4, 2.5, 2.6, 2.8, 2.1.1.16
Discover	<ul style="list-style-type: none"> • As-Is Document • System Functionality Document 	To develop a clear understanding of the current state of target processes, technology, and people. To document that current state for analysis and planning.	2.5, 2.7, 2.8, 2.1.1.1
Analyze & Recommend	<ul style="list-style-type: none"> • Design Package (includes analysis section) • Requirements Specification 	Analysis to identify issues and opportunities associated with priorities; facilitate consensus about what to do first and why; an independent yet integrated focus on process areas through strong collaborative decision-making. Then gather business and technical requirements then recommend solutions and options that reduce the number of systems, improve employee satisfaction, simplify processes, increase efficiency, reduce TCO, reduce operational expenses, and reduce manual processing.	2.5, 2.7, 2.8, 2.1.1.3, 2.1.1.4, 2.1.1.5, 2.1.1.6, 2.1.1.7, 2.1.1.11, 2.1.1.12, 2.1.1.2

Project Stage	Deliverable Package	Objective	Contract Deliverable Requirements and Outputs
Plan	<ul style="list-style-type: none"> Transition Plan Risk Management Plan 	<p>To develop a clear transition plan for successful implementation of the recommended solution.</p> <p>Organizational readiness, acquisition, build, test, release, and acceptance criteria will be defined as well as a schedule.</p>	2.5, 2.7, 2.8, 2.1.1.8, 2.1.1.9
Measure	<ul style="list-style-type: none"> Business Case Roadmap 	<p>To provide a concise quantitative analysis and business case for the recommended solution to include a pricing matrix which includes total costs of ownership (TCO), component costs, and Return on investment (ROI), as well as key assumptions such as indirect, intangible or “soft savings” that would realize efficiencies.</p>	2.5, 2.7, 2.8, 2.1.1.10, 2.1.1.13, 2.1.1.14, 2.1.1.15

2.1.2 Stage 1: Initiate

The following table presents an overview of the objectives, inputs, activities, and outputs of the Initiate stage.

Legend: ▲ Mandatory Requirement ◆ Deliverable

Stage 1: Initiate			
Process		Objective	
		<p>To introduce the team, refine our plan, confirm expectations and determine any immediate needs</p>	
		Standard/Guideline/Framework/Methodology	
<ul style="list-style-type: none"> Project Management Body of Knowledge (PMOK) methodology IT Service Management (ITSM) framework Balanced Scorecard framework 			
Input	Activity	Output	
<ul style="list-style-type: none"> Kick-off presentation Contract Requirements Requested Documents Initial Project Plan <p>▲ Provide computing devices</p> <p>▲ Take into consideration and strive to meet the business goals and requirements related to this initiative</p>	<ul style="list-style-type: none"> Conduct kick-off meeting Identify OET stakeholders ▲ Work with OET, and other MC departments and individuals as directed Vet the Project Plan Obtain needed documents Focused ITSM training 	<p>▲ Project Plan</p> <ul style="list-style-type: none"> Risk Quality Communications Staffing <p>▲ Work Breakdown Structure</p> <p>▲ Weekly Status Reports</p> <p>◆ Other Documents</p> <ul style="list-style-type: none"> Project Charter Draft Strategy Map for OET strategic goals and objectives 	

2.1.2.1: Inputs

During the Initiate stage, Grant Thornton seeks to start the project on a solid footing. The inputs to this stage include:

- ***Kick-off presentation:*** This presentation will be used by the team to confirm expectations by reaffirming project goals, schedule, deliverables, and to introduce our team to stakeholders. Contact information will be shared while OET resources and needs (such as work area or security badges) are identified.
- ***Contract Requirements:*** provides the project scope, deliverables, and expectations.
- ***Requested Documents:*** The documents requested from OET in section 3.0 of this proposal will be used to vet the Project Plan.
- ***Initial Project Plan:*** Grant Thornton will provide an initial (draft) project plan which will include the criteria in section 2.2 of the Contract. The initial project plan will be vetted with OET PMO leadership during the days following the kickoff meeting. The initial (draft) project schedule for the project is shown in Figure 2 below. As introduced above, our proposed schedule includes three focus groups that will each move through our 5-stage process and that will culminate in an integrated suite of recommendations, a project plan, and a cost benefit analysis for a new OET ITSM solution.

2.1.2.1.1: Mandatory Input Requirements

Provide computing devices: We understand that OET will not provide Personal Computers (PC) to the Grant Thornton team assigned to this project. The Grant Thornton team currently on-site at OET demonstrates that we comply with this requirement. The team proposed currently has the necessary computing devices to perform the work for this initiative. The team will come prepared on day one of the project with a Grant Thornton issued laptop, mobile phone that provides access to corporate email and a MiFi device to deliver wireless internet service. In addition, Grant Thornton has an office in Phoenix to ensure the team has the necessary tools to execute the work. Grant Thornton recognizes that having access to the team through various methods is important for successful delivery. The devices Grant Thornton provides to the team will increase communication, productivity, timeliness and overall service to OET. During the kick-off, Grant Thornton will confirm with OET that the computing devices provided meet the requirements for initiative and also identify if there are any specific instructions or considerations.

Grant Thornton has a highly mobile workforce that depends heavily on laptop computers. A substantial amount of the client deliverables are prepared using PC-based applications residing on employee laptops. All laptops are configured with automatic data backup software, which securely copies laptop contents to an offsite location at frequent intervals each day. The backup software ensures recovery of data if the laptop is lost, stolen, or damaged. In the event of laptop theft, Grant Thornton has the capability to trace the laptop to assist with its retrieval. All Grant Thornton workstations (desktops and laptops) are protected with virus scanning, firewall, and host intrusion detection software and secured with Microsoft Active Directory passwords. All client data on workstations are encrypted using Federal Information Processing Standards (FIPS) 140-2 compliant technology. Each workstation is updated regularly with vendor-supplied (and Grant Thornton approved) software updates and virus signature files.

NOTE: Although the Grant Thornton team members will have their own computing devices, our team will need access to the processes and to the OET systems supporting those processes and OET Exchange accounts to streamline scheduling.

Take into consideration and strive to meet the business goals and requirements related to this initiative:

Grant Thornton will validate that all proposed recommendations shall take into consideration and strive to meet the business goals and requirements related to this initiative as identified in the Contract. Throughout all phases of the project, we will continuously review the proposed recommendations and document the alignment to the strategic business goals of this initiative and then look at all of the proposed recommendations holistically to promote achievement of the planned strategic business goals.

2.1.2.2: Activities

Taking the inputs described above, we will perform the following activities during the Initiate stage:

- ***Project Start: the project will start June 16, 2014.***
- ***Conduct kick-off meeting:*** At kickoff, we will have a kickoff presentation for all stakeholders. This presentation will include:
 - Project purpose and goals – a reaffirmation of goals for all stakeholders;
 - Project team and contact information – introduce the team;
 - Project phases – High level description of outcome and deliverables for each stage;
 - Proposed project and delivery schedule –subject to adjustment by vetting process; and
 - Next Steps – The next steps in the initiation stage.

- **Identify OET stakeholders:** The PMO will identify key OET staff who will participate in the project. An OET staff member should take the role of Process Owner and/or manager for each target process. This person will play a key role in designing and implementing the process solution. They will be responsible for managing the new process once operational. Inclusion of the Process Owners at this point will have a measurable impact on their process knowledge and process management skills.

In addition to OET, the PMO will help to identify any other relevant MC departments and individuals needed to understand the current operations of the County and its support processes, systems, and challenges during the Discovery stage. However, the project team will work with OET to identify additional MC departments and individuals as the project progresses.

Throughout the project, the entire project team (Grant Thornton and OET participants) will frequently review findings and recommendations for input, acceptance, and signoff. To this end, Grant Thornton’s project manager is local to Maricopa County to encourage on-site daily informal contact with PMO leadership.
- **Vet the Project Plan:** Grant Thornton will work with the OET PMO to confirm OET resources and to review the draft project plan. Once vetted, we will present the Project Plan for acceptance. The project Plan will be submitted by June 30, 2014.
- **Obtain needed documents:** This is also the time to collect the list of documents needed from OET mentioned in section 3.0 of this document. This material will be reviewed by the Grant Thornton team to help vet the project plan.
- **Focused ITSM training:** Grant Thornton will demonstrate ITSM best practice techniques using hands-on activities throughout this project. All 5 stages of our approach will end with a lessons-learned session to demonstrate and educate the OET participants on best practice as well as to improve their participation in the initiation stage of subsequent focus groups. In addition, during the Initiate stage we will provide ITSM roles and responsibilities training for the OET process owners.

To maximize success, we propose the following principles for managing the production and delivery of project deliverables.

Deliverable Management Principle	Implication
1. Given the complexity of IT operational processes and systems, we believe it is important to focus deliverables on OET business goals and to understand all project activities, deliverables etc. in terms of their contribution to the desired business end state.	<ul style="list-style-type: none"> • Deliverables must be well structured to allow for transparent mapping of content to goals • Significant effort should not be invested without knowing how it contributes to the end result
2. Deliverables structure, length and style will promote self-service, ease of communication and understanding, as well as longer-term maintenance.	<ul style="list-style-type: none"> • Deliverables should be as short and simple as possible, consistent with meeting their purpose. • Should be modular in nature, lending themselves to ease of review and modification.
3. Deliverables should be seen as electronic assets stored in the most appropriate system solution, to facilitate access and use (integrated if possible with on-line training services).	<ul style="list-style-type: none"> • Deliverable should be seen as an integral part of the on-line OET ITSM solution (s) • Deliverables should be seen as future training artifacts and change management aids.
4. Project management reviews of deliverables produced for OET process should be conducted by knowledgeable OET experts who can express OET needs for deliverable quality in the context of the project and ongoing operations.	<ul style="list-style-type: none"> • Overall OET project should be designed to make such experts available and to support improved operational process quality.

2.1.2.2.1: Mandatory Activity Requirements

Work with OET, and other MC departments and individuals as directed: Grant Thornton will work OET and other MC departments and individuals to understand the current operations and other support processes, systems and challenges. Because OET is a central service organization that delivers applications and services that enable core business processes and operations, stakeholders are critical to project success because they can significantly influence the development and outcome. During the initiation phase of the project, Grant Thornton will work with OET to identify the stakeholders that are impacted by or can influence the project in order to understand their

environment, challenges, needs and expectations as well as determine how best to engage and communicate with them. Because we are currently working with OET on another project, our team understands that OET’s service model is a hybrid of the internal, shared service, and federated models. These are OET customers and such work will help the team to optimize OET’s processes and make roadmap recommendations. Figure 3 below summarizes our overall communication approach. This approach is further referenced in sections 2.5 (Provide weekly status reports), and 2.8 (Frequently review findings and recommendations with the OET project team) of our proposal.

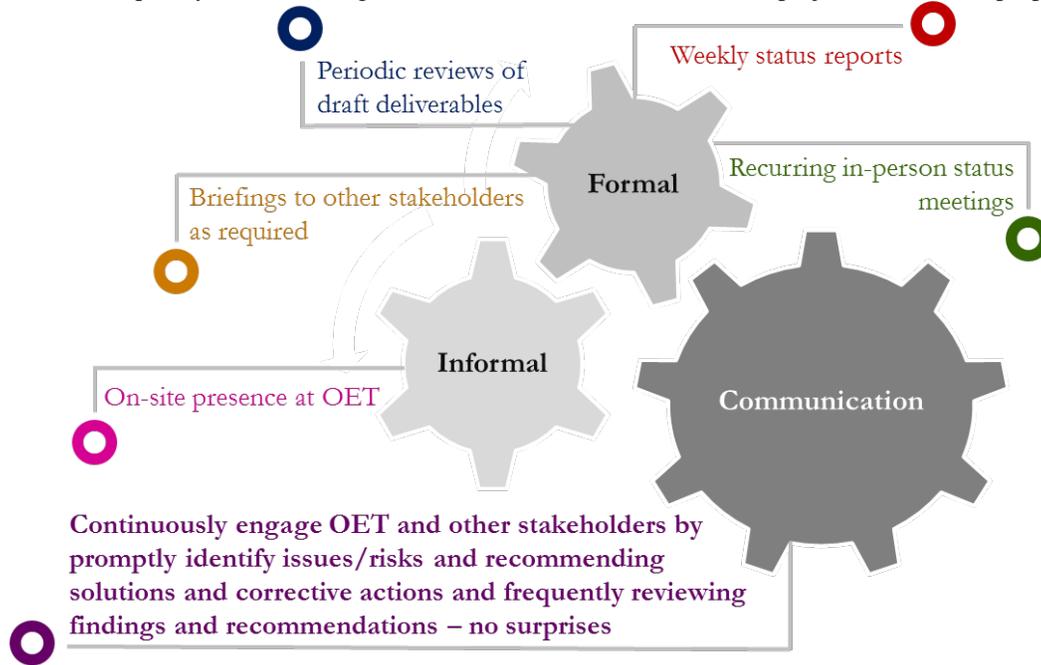


Figure 3. Grant Thornton Communication Approach

2.1.2.3: Outputs

Each stage of the project will have deliverables. During the Initiate stage, our team will work with OET to produce the deliverables described below.

2.1.2.3.1: Deliverables

Other Documents:

- **Project Charter:** In keeping with PMBoK methodology, we will work with the OET PMO to produce a Project Charter in OET’s format. The project Plan will submitted by June 30, 2014.
- **Draft Strategy Map for OET strategic goals and objectives:** Grant Thornton will create a graphical representation OET’s vision and strategy to demonstrate the alignment of the project to the vision, and to use as a tool during the project to focus attention on the most critical and relevant activities.

2.1.2.3.2: Mandatory Deliverable Requirements

Project Plan: Grant Thornton and OET’s PMO will work together to vet the project plan¹. The plan will be consistent with PMBoK standards and guidelines and will includes project risk management, quality control, communications, and staffing plans. The plan work breakdown, all resources, dependencies, scheduling and critical path will be reviewed. Examples of content contained within the plan include:

- **Project risk:** Our risk management plan will describe anticipated major difficulties, problem areas, and potential recommended approaches for their resolution. It will also describe how risk management will be structured and performed throughout the stages of the project lifecycle so that risks are mitigated, transferred, accepted, or avoided as appropriate. The risk management plan will identify the process for identifying, qualifying, quantifying, and documenting risks. It will identify the structure of the Risk Register, a central means of listing and describing each identified risk and its status. For each risk identified our plan will address weight, probability, impact, and mitigation strategies for that risk.

¹ Our team will be using MS Project 2010 (ref 13140-Contract section 2.2) as well as MS Word.

- **Quality control:** Our quality control plan will describe how we will collect and manage the requirements associated with each deliverable and the means by which the quality of the deliverable will be measured and accepted. We will include an inspection plan that provides correctness, completeness, and timeliness criteria that are quantifiable and measurable;
- **Communication:** Our communication management plan will describes the project's communication and coordination needs between Grant Thornton and OET. For each communication need (e.g., status reports, meeting minutes), we will identify the person responsible for communicating information, the person or groups who will receive the information, the medium used to convey the information, and the frequency of the communication; and
- **Staffing:** Our staffing management plan will identify project roles and their responsibilities, key personnel needed to conduct the work and produce all required deliverables, the allocation of key personnel to project roles, the organization of staff (e.g., organization chart, reporting chain), and a confirmation of OET's substitution policies should substitution become necessary.

Our Project Plan will be a formal, controlled document that defines how the project will be managed, executed, and controlled. The Project Plan will have two components: a Microsoft Project schedule that contains the project schedule and a Microsoft Word document that contains PMBoK component plans described above.

We will begin creating our project schedule by defining the Work Breakdown Structure (WBS) of the project: a deliverable-oriented hierarchical decomposition of the work to be executed by the project team to accomplish the objectives laid out by the SOW. We will decompose tasks to a level such that no one task takes longer than one week so as to optimize the accuracy of the cost, duration, and resource estimates associated with each task.

We will then identify and document the specific activities necessary to complete the tasks outlined in the WBS and any appropriate milestones. For each activity, we will determine what resources (e.g., equipment, personnel) are required to complete, the duration of the activity, and the sequencing (e.g., predecessor activities, successor activities, necessary conditions for starting and finishing) and the task dependencies.

We will then develop the project schedule using Microsoft Project. The schedule will reflect the tasks of the WBS, the activities necessary to complete the tasks, the start and finish dates of each activity, and the resources assigned to each activity. Also identified will be any meetings, teleconferences, travel and site visits, project documentation submissions and revisions, milestones, and deliverables.

Weekly Status Reports: Grant Thornton will provide weekly status reports to the OET project team that demonstrates the direction and progress made against the approved project plan. The weekly status report will provide information on the tasks completed from the previous week and tasks scheduled for completion during the current week as well as the percentage completed to-date. We will highlight any issues or risks realized and recommend solutions/corrective actions. Grant Thornton understands the importance of consistent and effective communication and our approach is to provide OET with recurring in-person status meetings; periodic reviews of draft deliverables; and briefings to other stakeholders as required in order for OET to validate progress and provide an opportunity for comments.

2.1.3 Stage 2: Discover

The following table presents an overview of the objectives, activities, and output of the Discover stage.

Legend: ▲ Mandatory Requirement ◆ Deliverable

Stage 2: Discover			
Process	Objective		
	<p>To develop a clear understanding of the current state of target processes, technology, and people. To document that current state for analysis and planning.</p> <table border="1" style="width: 100%; background-color: #d3d3d3;"> <tr> <th style="background-color: #d3d3d3;">Standard/Guideline/Framework/Methodology</th> </tr> <tr> <td> <ul style="list-style-type: none"> • ITIL/COBIT and related process standards and best practices • Budget framework </td> </tr> </table>	Standard/Guideline/Framework/Methodology	<ul style="list-style-type: none"> • ITIL/COBIT and related process standards and best practices • Budget framework
Standard/Guideline/Framework/Methodology			
<ul style="list-style-type: none"> • ITIL/COBIT and related process standards and best practices • Budget framework 			

Input	Activity	Output
<ul style="list-style-type: none"> ▪ Budget ▪ Requested Documents ▪ Relevant strategies, architectures and existing plans/environment descriptions ▪ Cultural and organizational considerations ▲ Take into consideration and strive to meet the business goals and requirements related to this initiative 	<ul style="list-style-type: none"> ▪ Execute project management and communication plans ▪ Facilitate roles and responsibilities of process owner(s) ▪ Conduct interviews as needed to validate information gathered and gain additional insights ▪ Process mapping workshops ▪ Conduct facilitated workshop to validate findings and plans. ▲ Work with OET, and other MC departments and individuals as directed ▲ Review findings and recommendations with OET 	<ul style="list-style-type: none"> ◆ “As-Is” Document ◆ System Functionality Document ▪ ISO 20000 Worksheet

2.1.3.1: Inputs

All available known information (derived from requested documents) about the existing processes and systems will be reviewed by us and our team will formulate a discovery strategy to gather missing information through techniques such as staff interviews, examining systems and data, identifying system vendor resources and reviewing all relevant policies and records. Special attention will be paid to problem areas described during interviews. Work already done for OET has helped us to understand “As-Is” systems and the issues that process and system improvements will face. Specific materials we will review include:

- **Budget:** The budget will be used during this stage to document operational costs of the existing systems for input to the Measurement stage.
- **Requested Documents:** The documents requested from OET in section 3.0 of this proposal will be used to formulate a discovery strategy using known gaps.
- **Relevant strategies, architectures, and existing plans/environment descriptions:** Should an architectural vision and strategy already exist we will use it to help develop our discovery strategy.
- **Cultural and organizational considerations:** We will use OET’s organizational chart to identify staff to interview.

2.1.3.1.1: Mandatory Requirements

Take into consideration and strive to meet the business goals and requirements related to this initiative: During this stage we will be focused getting the details needed to define the current state of processes and systems. During Discovery, we will be guided by OET business goals and requirements as defined in the Contract as well as what we can capture during the Initiate stage.

2.1.3.2: Activities

During the Discovery stage we will organize project scope according to the three focus groups introduced in subsection 2.1.1 above. Each focus group will go through Discovery. The Request Management and Incident Management focus group will start first followed by the Configuration and Asset Management and Cost Accounting focus-group and then followed by the Change Management focus group. While we expect gaps in existing system documentation, our team will attempt to acquire documentation by contacting vendors. Review and feedback from project participants and key OET staff will be requested to insure the information gathered for the scope of the process is as comprehensive as possible. Activities during this stage include:

- **Execute project management and communication plans:** Our team will start following the approved project plan at the start of the Discovery stage. This includes the communications plan that outlines meetings and checkpoints.

- **Facilitate roles and responsibilities of process owner(s):** This is where we will introduce the OET process owner to an IT Infrastructure Library (ITIL) perspective on the existing processes they are currently responsible for. Each process owner will be given a description of their role and participant roles as defined by ITIL v3. They will also learn what characteristics are usually expected in the systems that support their process.
- **Conduct interviews as needed to validate information gathered and to gain additional insights:** OET process owners will assist our team in conducting interviews and other discovery activities outlined below.
- **Process mapping workshops:** Our team, with the OET process owners, will identify potential process participants and conduct workshops to map out processes. Conflicting views of processes often surface during these workshops. The conflicts will be documented and viewed as a problem to be resolved during the Recommendation stage. However, the OET process manager may also identify a potential fix to the problem and we will document the fix during the workshop.
- **Conduct facilitated workshop to validate findings and plans:** Once a focus-group is documented, we will facilitate a workshop to validate what we have found.

2.1.3.2.1: Mandatory Requirements

Work with OET, and other MC departments and individuals as directed: As illustrated above, we will be holding workshops that include all identified process participants. In addition, we will hold regular meetings with OET PMO leadership and the process owner to make sure we are working with all relevant departments and individuals.

Review findings and recommendations with OET: On a consistent basis throughout all phases of the project, Grant Thornton will review findings and recommendations with the OET project team for input, acceptance, and signoff. We will also document lessons learned (what is working well and what could be improved) and where applicable identify the root causes and recommended solutions. Additionally, we will facilitate lessons learned sessions with the OET staff in order to disseminate information that has been identified to date. The purpose is to improve the outcome of the project as well as focus on the future vision by transferring this knowledge to the OET staff.

2.1.3.3: Outputs

The output from the Discover stage will include both As-Is Process documentation and a System Functionality Document as deliverables. In addition, we will also include an ISO 20000 worksheet indicating any relevant section(s) of the standard that the existing processes and systems meet.

2.1.3.3.1: Deliverables

“As-Is” Document: Grant Thornton understands the importance of analyzing “As-Is” environments to identify process gaps and points of inefficiency in order to assist in communicating the delta between current environment and recommended solution. The “As-Is” can be challenging for reasons such as incomplete documentation, lack of qualified experts, obsolete technologies, unplanned customization etc. Therefore, we will focus initially on the direct business contributions of “As-Is” systems and their business impact on customers. We often find that this perspective helps us to quickly uncover their full role and importance. For systems not visible to customers, this is more difficult, but the same principle applies, with customer impact often being limited to data changes in other systems.

Processes for each sub-project will be documented and 2med as well as mapped to standard ITSM frameworks. The relative importance of business impacts will be considered. All inputs, outputs, processing, weak areas, and data integrity concerns will be identified. System owners and responsibilities for processes, data, and systems will also be determined. We consider identifying owners to be very important since the active stewardship and governance of systems and data is critical to OET’s success.

We have also done large-scale current assessments for a variety of agencies such as the United States Postal Office (USPTO), National Nuclear Security Administration (NNSA), Department of Interior (DOI) and Department of Commerce (DOC). In each case, we focus a lot of effort initially on understanding the business impact of current systems, which helps us to justify or reject proposed changes.

System Functionality Document: In addition to documenting as-is processes, we will also document the existing systems being used by OET to support these processes. We will document major functions supported, data stores and database management system, application and supporting software, and hardware and network infrastructure.

Other Documents:

- ISO 20000 Worksheet:** For the processes being investigated, our team will provide the ITSM process roles & responsibilities during the discovery stage to the OET staff member chosen to be process owner. Our team will use process diagram templates² as well as an ISO 20000 worksheet to document the “As-Is” process and supporting system. A key characteristic on which we will focus will be the architecture of each process and system (tool) and the functionality being leveraged by OET as a required input for the Analysis stage. The “As-Is” Document and the System Functionality Document will be used as input to the Analysis stage as well as the Plan stage. The team will need **to be** kept informed of any changes to the “As-Is” processes and tools (systems) to ensure accurate project documentation and deliverables.

A partial example of the ISO 20000 Assessment Worksheet

ISO 20000 Assessment Worksheet				
Clause Number	Clause Name	Description	Finding	Notes
5.2	Plan new or changed services	Identify the service requirements for the new or changed services	5.2	
5.2	Plan new or changed services	New or changed services shall be planned to fulfil the service requirements	5.2	
5.2	Plan new or changed services	New or changed services shall be agreed with the customer and interested parties.	5.2	
5.2	Plan new or changed services	Planning shall consider the potential financial, organizational, and technical impact of delivering the new or changed services	5.2	
5.2	Plan new or changed services	The service provider shall also consider the potential impact of the new or changed services on the SMS	5.2	

2.1.4 NOTE: This section was merged into 2.1.5.

2.1.5 Stage 3: Recommend

The following table presents an overview of the objectives, activities, and output of the Recommend stage.

Legend: ▲ Mandatory Requirement ◆ Deliverable

Stage 4: Recommend		
Process	Activity	Objective
	<p>To gather business and technical requirements then design solutions and options that Reduce the number of systems, improve employee satisfaction, simplify processes, increase efficiency, reduce TCO, reduce operational expenses, and reduce manual processing.</p> <p>Standard/Guideline/Framework/Methodology</p> <ul style="list-style-type: none"> ITIL v3 process best practices ISO 20000 Standard CMMI 	
Input	Activity	Output

² This is the same technique used to gather information for the Service Catalog.

- Output from Discover Stage
 - Available vendor documentation for existing systems
 - OET input and guidance provided through interviews etc.
 - Cultural and organizational considerations
 - ▲ Take into consideration and strive to meet the business goals and requirements related to this initiative
 - Classify major processes at CMMI level (see level definitions and diagram below)
 - Analyze how functionality is used in systems (tools) and develop requirements
 - Analyze system design characteristics such as security, capacity, availability, and IT
 - Gather business and technical requirements
 - Develop governance definition (policy, scope, roles and responsibilities, RACI)
 - Develop diagrams showing process flow and touch points
 - Develop high level work instructions for a specified technical skill level
 - Define measurements (metrics, KPIs) along with process controls
 - Conduct lessons learned session
 - Develop recommendations identifying the products and features required to support the improved processes, and how they will be integrated into and utilized to facilitate the process
 - ▲ Work with OET, and other MC departments and individuals as directed
 - ▲ Review findings and recommendations with OET
- Design Package:**
- ◆ Analysis Section
 - CMMI maturity assessment
 - ITIL process assessment
 - System functionality report (including design observations)
 - Integration assessment
 - Prioritized issues and opportunities
 - ◆ Recommended Processes Improvements
 - ◆ Recommended Change Management and Asset Management Process Improvements
 - ◆ Recommended Products and Features
 - ◆ Service Levels, Benchmarks, KPI Metrics and Comparison to Industry standards
 - Governance policy
 - Target process diagrams
- Requirements Specifications:**
- ◆ IT Service Management Mandatory and Optional Requirements Document
 - ◆ Data Conversion Strategy Recommendations
 - ◆ Recommended System Monitoring Process and Tool Improvements

2.1.5.1: Inputs

Grant Thornton understands that service management requirements are not always the same as functional requirements. To be meaningful, services must support the ongoing IT management needs and commitments of OET staff and must appeal to OET customers. Therefore, our approach combines the conventional regard for the testability, measurability, and traceability of requirements with an appreciation for the priorities of a service organization (e.g. managing customer expectations and addressing issues that related in the eyes of the customers though perhaps not functionally). We are also aware that service performance must always be weighed against cost and resource availability.

Two examples from our previous work are particularly relevant to the points made above. Our support of the ServiceNow implementation at the US Department of Commerce - including its featured self-service capability - has reminded us that, simply because the package can do it, the receiving organization may not

benefit from it, because success is built on people, process, and technology considerations. For example, the ineffective sponsoring of customer priorities in system configuration and setup can still result in missing things that are really important to the customer.

Similarly, at the US Department of Interior (DOI) we supported the cultural transformation of the CIO organization from a technically focused group to an IT service management organization. This involved setting out new strategic and organizational goals in project charters, and refining IT strategic goals and outcomes so that that really meant something to customers across DOI. This is necessary for any ITSM effort, as the priority is always managing IT services in a way that puts people and business needs first.

The primary inputs we will leverage in this stage are the following:

- **“As-Is” Document:** This will be a primary input documenting the current environment and will be used for every activity in this stage.
- **ISO 20000 Worksheet:** Our team will use the ISO worksheet to assist in classifying the Capability Maturity Model Integration (CMMI) level of each process. The worksheet will also serve as a reference later in the project when our team maps current state and recommendations to the ISO 20000 standard.
- **Detailed OET system and process information:** The majority of this information will be in the “As-Is” Document. However, we will also capture Change Management information for the systems being investigated for inclusion in the Analysis.
- **Requirements from Contract section 2.8 vetted by the Analyze stage:** The requirements presented in the referenced section of Contract will be input to the appropriate focus group.
- **Available vendor documentation for existing systems:** Is needed to determine if there is an option to upgrade or integrate existing systems.
- **OET input and guidance provided through interviews etc.:** Our team is familiar with OET processes and tools. However, OET is using those tools every day. We will leverage their insight into requirements and solutions that consider their needs.
- **Cultural and organizational considerations:** ITSM is new to OET and the current staff may not fully understand all that is required to implement best practices. Our solution must consider this as well as the MC users that are serviced by the solution. Additionally, during this stage we will analyze OET’s organizational structure to consider changes that would create gains in process efficiency.

2.1.5.1.1: Mandatory Requirements

Take into consideration and strive to meet the business goals and requirements related to this initiative:

During this stage we will be performing the analysis to determine how the existing systems or processes are being leveraged by OET. As an example, the 911 emergency location service is a special consideration for design.

This stage also requires that we interview OET customers on customer facing processes and processes with customer touch points.

2.1.5.2: Activities

We will analyze the As-Is documentation in the following ways:

- **Leverage the ISO 20000 worksheet:** We will review the ISO 20000 worksheet as a reference to map the current state to the ISO 20000 standard.
- **Classify major processes at CMMI level:** We will use the ISO 20000 worksheet to establish a basic classification of each in-scope process into a CMMI level (see level definitions below and Figure 4).

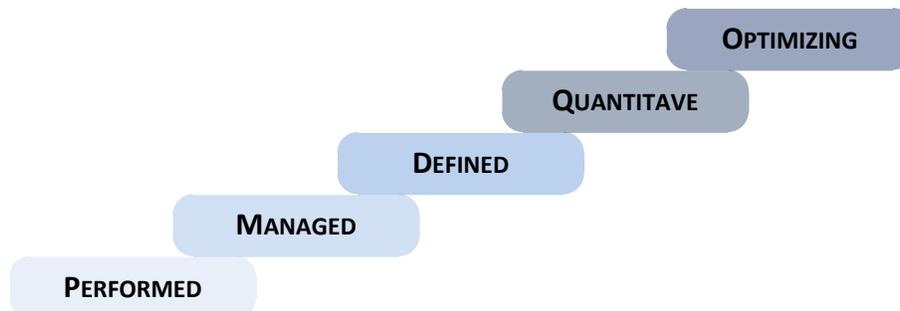


Figure 4. CMMI Levels

- **Performed:** Process is ad-hoc, unpredictable, poorly controlled, and reactive;
 - **Managed:** Process is documented to the point of being repeatable but is reactive;
 - **Defined:** Process is defined as a standard business process and decomposed to work instructions;
 - **Quantitative:** Process is quantitatively managed (measured and controlled) with agreed-upon metrics; and
 - **Optimizing:** Process management includes optimization/improvement.
- **Analyze how functionality is used in systems (tools) and develop requirements:** Functionality of systems (tools) as well as OET use of that functionality will be compared to the relevant requirements from Contract section 2.8 with the designated OET process owner/manager and other key OET staff. We will then assess how well the current process/tool meets those requirements and why each requirement is needed. We will add any additional functionality identified during the analysis for use in the design stage requirements gathering effort. The process documentation from the Discovery stage will be analyzed for inefficiencies such as manually entering the information from another system, manually entering data more than once, synchronization of data and/or events between systems, or how escalation or exceptions are handled.
 - **Analyze system design characteristics such as security, capacity, availability, and IT continuity:** We will check to see if basic design characteristics such as security, capacity, availability, and IT continuity have been addressed.
 - **Analyze integration capabilities of systems (tools) with the Service Management System (SMS):** We will assess the integration capabilities of systems (tools) with the SMS. In addition, we will analyze these capabilities to ascertain what process touch points they support as well as how they might be used during implementation. In addition, we will see if the tool can be “partitioned” to for use by other MC IT organizations.

We anticipate investigating the following systems in detail:

- Symantec Service Desk;
- COMIT;
- MCM;
- TRIWatchDog; and
- Issue Track.

In addition, the following systems will be investigated for touch points:

- SharePoint;
- Team Foundation Server; and
- Voice over Internet Protocol (VoIP) Initiative (MC Unify) – especially for 911 capabilities.

Grant Thornton’s prior on-site work with OET has already touched on the issues raised in the above requirement, giving us a good sense of the challenge and potential solutions. In addition to defining the right pathways and steps a service request must take, we will also focus on ensuring the accountability for responding to same. In turn, this will require individuals or groups to take responsibility for the specific work stream, as well as making sure that supporting process relationships or supplier agreements are in place to enable an effective response.

At the US Department of Commerce, we have been conducting focused process improvement exercises for several years. Even with their ServiceNow self-service implementation, there is still a need to look at how security policies, procurement processes, different locations and training can interfere with service management effectiveness. Often such events as the onboarding of a new support vendor, a business organizational change or a budget reduction can have unexpected consequences that need to be addressed in the ITIL-based processes of the organization.

Our Recommend Stage activities will comprise the following steps:

- **Gather business and technical requirements:** Business and technical requirements will be gathered starting with the list of requirements from section 2.8 of the Contract that has been vetted by the Analyze stage. To gather business requirements for processes that are customer facing or have customer touch points we anticipate interviewing some customers to see what their needs are. The cost allocation requirements for each process will be addressed in the business requirements. Each requirement will be documented as to its source, its purpose, the benefit, characteristics, and the priority of that requirement.

Technical requirements will meet Service Management System (SMS) architecture and will follow current technology strategy for OET. Touch points with other processes require signaling and data flow between

tools. We will document capacity, availability, security, audit trail, continuity, and flexibility to support the process here. OET datacenter staff, process owner/manager, and process participants will all be interviewed as well as participate in workshops to improve quality of gathering process.

- **Develop governance definition (policy, scope, roles and responsibilities, RACI):** **Our** process design will include the Governance definitions to include:
 - Policy – OET policy must be defined for the process so staff use the new process and do not fall into old habits,
 - Scope – must be defined so staff know under what conditions the process is used,
 - Roles and responsibilities – so staff know what is expected of them,
 - RACI – stands for Responsible, Accountable, Coordinate, and Informed. This provides a quick reference so process participants quickly understand their role in the process.

As illustrated in the example RACI chart below, each process owner will have a role to fill which will be activity driven and defined in this stage.

Activity	Incident Manager	Request Fulfillment Manager	CIO
Setting strategic direction of new ITSM plan with the team	I	I	R A
Design and build the service measurement framework	C I	C I	R A
Determine performance measures/metrics	C	C	A
Gathers performance measures/metrics	R A	R	I
Processes and analyzes performance measures/metrics	R A	R	I
Prepares service reports	R A	R	I
Presents reports to management	R	C	R A
Review periodic incident trends	C	C	I
Perform root cause analysis	C	C	I
Determine cost control objectives	C I	C I	R A

Legend:

R Responsible	A Accountable	C Coordinate	I Informed
--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

- Develop diagrams showing process flow and touch points: Diagrams that will show process flow and touch points will be developed with the OET process manager that takes all of the business requirements into

consideration. Touch points for processes should directly map to technical communication requirements between systems.

- **Develop high level instructions for a specified role:** Each of the steps in the process diagrams will include high level work instructions that include the skill level and knowledge domain of the role required to execute that step. For example, level 3 technical support will require someone who has had training on the target service.
- **Define measurements (metrics, KPIs) along with process controls:** Our team recognizes that OET has requested the solution provide CMMI level 4 processes that are quantitatively managed. Measurements may change over time but our team will provide an initial set of measurements that include metrics and KPIs. A design requirement will be that the solution must be able to report these measurements. In addition, the OET process owner will play a key role in helping to select measurements. The measurement choices will be previewed by OET management to confirm alignment with strategic goals.
- **Conduct lessons learned session:** During the entire project we will conduct lessons learned sessions so our team can adapt to OET's environment and so knowledge is transferred to the OET process manager. In this stage we will have two sessions: one for process design and the second for specifying tool requirements and selection.

At this point we will have a **checkpoint** review of the process design with OET and adjust if necessary.

- ***Develop recommendations identifying the products and features required to support the improved processes, and how they will be integrated into and utilized to facilitate the process:*** Once the processes have gone through the design process, the systems (tools) to be used to support those processes will go through a selection/design process that focuses on architecture, feature set, and ability of tools to communicate at process touchpoints. Overall goals will include a consolidation of systems as well as unified and automated process support that provides the outcomes desired from this project. If the existing tool meets the specifications, it will be retained. If a new tool or system must be acquired, specifications for that tool will be produced. Specification shall include type and class of product, features, system supporting requirements, configuration or customization recommendations to better support OET's requirements. Every effort will be made to insure risks associated system integration are mitigated. The solution architecture will define how systems/tools communicate with each other for signal, control, and data exchange. Should the recommended solution require an existing system be retired or changed, a data structure conversion strategy will be defined. Several things will be looked related to data conversion: 1) do we have to convert the data; 2) is the data worth migrating over to a new system; 3) what is the quality of the data; 4) should the data be groomed before migration; 4) what extract, transform and load process should the implementation team focus on.

2.1.5.2.1: Mandatory Requirements

Work with OET, and other MC departments and individuals as directed: As illustrated above, we will be holding workshops that include all identified process participants. In addition, we will hold regular meetings with OET PMO leadership and the process owner to make sure we are working with all relevant departments and individuals.

2.1.5.3: Outputs

The output from this stage will be a design package that will include several documents. The first of these documents is the Requirements Document. Two types of requirements will be documented: business and technical. The business requirements are driven from OET staff, customers, and policy. The technical requirements are usually driven by the architecture necessary to support the business requirements. The requirements will be in a testable and measurable form and traceable to the solutions proposed.

All of the three focus-groups will go through the Recommend stage. Recommendation for Change Management and Asset Management Process Improvements as well as System Monitoring Process and Tools will be determined during the third focus group. All the artifacts created during this stage (requirements document, recommended solution design, data migration strategy) will be in the Process Design Package and reviewed with OET. Upon acceptance, that document will be used as input to the Plan stage.

2.1.5.3.1: Deliverables

- ***Design Package:*** The Process Design Package will include recommendations with supporting detail as identified in the above requirement. In addition, the recommendation will show what ISO 20000

requirements implementation will satisfy and include possible pathways and the entities and decision points involved with each step in the process

- **Analysis Section:** will include the following components:
 - **CMMI maturity classification:** As described above. This will serve to qualify processes and system as to whether they can meet project goals.
 - **ITIL process assessment:** The ISO 20000 checklist will be used to provide a standard against which the current environment and proposed solution are being measured.
 - **System functionality (including design observations):** This will be a key input to the design activity for solution requirements.
 - **Integration assessment:** This will be used to see if the existing systems can be leveraged in the proposed solution through integration.
 - **Prioritized issues and opportunities:** This will help us weigh the importance of the above toward the proposed solution.
- **Recommended Processes Improvements:** Grant Thornton knows that ITSM improvements tend to be temporary unless backed up by effective governance as described in the activities section of this stage. We will produce recommendations to address all issues and weaknesses revealed in our Discover process. We encourage clients focus on the key principles of good management, reducing inconsistency and therefore maintenance and acquisition cost. Supporting process management, policies, and ownership can all make a difference in this area.
 - **Governance policy:** As described in the activities section, policy has an important role in making the process change permanent. We will include a draft policy in the design document.
 - **Target process diagrams:** Our team will include process maps in the recommended solution.
- **Recommended Change Management and Asset Management Process Improvements:** The Configuration Management Database (CMDB) defines the production environment that changes are applied to. It is common practice to combine the asset management database into the CMDB. The Change Management process is dependent on the CMDB in order to assess dependencies to mitigate risk associated with the change. The Configuration and Asset Management process in the second focus area will assign owners to Configuration Items and the Change Management process will clearly define roles and responsibilities for all participants. The process design package for Change Management will clearly articulate all of the criteria mentioned in Section 2.1.1.5 of the Contract and will make recommendations to improve the Change Management process and tool. The Configuration and Asset Management design package will recommend improvements to both Configuration and Asset Management processes and tools.
- **Recommended Products and Features:** Grant Thornton understands the importance of simple and integrated system support for OET ITSM processes. However, there may be reasons to retain some existing systems and special requirements that are not necessarily addressed by Commercial-Off-the-Shelf (COTS) solutions. An earlier requirement that asks for a comprehensive assessment of all IT support systems is the first important step. Once the process role, functions and users are known for each system, then we can begin to analyze the cost and benefit of moving to something new. We will carefully define the operational scope of each support system, verify that handoffs and integration points are addressed, and confirm that consistent, overall OET reporting is enabled to support operational excellence.

A number of the points made above in discussing the requirements process are also relevant here. The Process Design package will include criteria from section 2.1.1.7 of the Contract. In addition, the SMS architecture will be defined and included in the design requirements section in each package. An important part of our work will involve assessing the degree of customization of the current systems. If it is significant or even extreme, we will have to understand the feasibility of making a change and how much it will cost, as opposed to simplifying or making changes in the process design to accommodate a standard solution.

- **Service Levels, Benchmarks, KPI Metrics and Comparison to Industry standards:** Grant Thornton accepts that all of the artifacts and parameters identified in this requirement are critical to success and they are an integral part of the solution that we develop. We will also apply SMART performance management thinking to the metrics themselves, making sure they are Simple, Measurable, Attainable, Realistic, and Timely. Metrics are very important, but they often work even better if they are an integral part of the operational processes in question, rather than being seen as an audit tool. Examples include: cost per contact, contact resolution rate, first level resolution rate, agent satisfaction and aggregate service desk

performance. Finally, in addition to producing documentation, we will investigate and encourage the use of real-time performance dashboards and similar tools to communicate service levels, benchmarks and KPI metrics on a real-time basis.

▪ **Requirements Specifications:**

- **IT Service Management Mandatory and Optional Requirements Document:** We will use service scenarios and use cases to clarify what the specific requirements are (i.e. by focusing on situations, processes, or data that services would benefit from greatly). Self-service scenarios are often among the most valuable to organizations such as OET because they allow for a radical simplification or elimination of efforts by OET. Whereas IT groups often tend to be organized by technical focus (e.g. desk top, network, application and infrastructure) service management needs and problems often span such different groups and Service Management (SM) solutions have to reflect this reality. Often, a matrix organization becomes the most effective way of providing truly excellent service quality. We will create a multi-part Process Design Package that will include business, process, technical, and architectural requirements. The requirements detailed in Section 2.8 of the Contract will be included in the Design Package or an agreed to exemption will be documented during the design process. The requirements will in a format that is testable, measurable and traceable.
- **Data Conversion Strategy Recommendations:** We understand the importance of data conversion recommendations when moving to a new ITSM support platform. We will follow best practices and clarify costs and benefits early. Vendors often ignore data conversion until the last minute, which may cause problems. Grant Thornton will provide a recommended solution for each tool (system) that requires transition, presenting a high-level data conversion strategy as necessary to populate any new IT management systems that are part of the recommended solution with the tickets and master data from the legacy systems. In addition, the transition plan will include a retirement strategy for the old system. The primary objective of a data conversion strategy will be to identify the overall approach to be used to convert the required master and transactional data from legacy systems to the new solution.

Grant Thornton has significant experience with data conversion based on major ERP projects in the Federal and state government and private sectors. Above all, it is important to know the data volumes and as-is characteristics before starting the project, so that realistic estimates can be developed for budgets and timelines.

▪ **Other Documents:**

- **Recommendations for OET’s organizational structure:** We will analyze the OET organization structure and include any recommendations for changes to improve efficiency as part of the design package. OET’s organizational structure in the solution. Our holistic approach considers process, technology, and people so OET staff and how they are organized are an important consideration.
- **Recommendations for supporting IT management systems:** Recommendations for supporting management system are included in the design package; however, we will also make address other processes and management system through the roadmap portion of the Measurement stage deliverable.

2.1.6 Stage 4: Plan

The following table presents an overview of the objectives, activities, and output of the Plan stage.

Legend: ▲ Mandatory Requirement ◆ Deliverable

Stage 5: Plan	
Process	Objective
<p>Measure 5</p> <p>1 Initiate</p> <p>2 Discover</p> <p>3 Recommend</p> <p>Plan 4</p>	<p>To develop a clear transition plan for successful implementation of the recommended solution. Organizational readiness, acquisition, build, test, release, and acceptance criteria will be defined as well as a schedule.</p> <p style="background-color: #d9d9d9; padding: 5px;">Standard/Guideline/Framework/Methodology</p>

- ITIL Transition Stage Planning
- PMBOK

Input	Activity	Output
<ul style="list-style-type: none"> ▪ Design package ◆ “As-Is” Document ▲ Take into consideration and strive to meet the business goals and requirements related to this initiative 	<ul style="list-style-type: none"> ▪ Gap analysis of future state (solution design) versus current state (“As-Is”) to determine implementation plan. ▪ Organizational readiness assessment for solution rollout. ▪ Identification of risks and constraints (budget, schedules, resources) <ul style="list-style-type: none"> ▲ Work with OET, and other MC departments and individuals as directed ▲ Review findings and recommendations with OET 	<p>Implementation Plan</p> <ul style="list-style-type: none"> ◆ Project Plan (Migrating from the “As-Is” to the “To-Be” Model) ◆ Risk Management Plan ▪ Organizational readiness report

2.1.6.1: Inputs

The Plan stage follows ITSM methods for planning the transition (implementation) of the recommended solution into operation. We outline those steps in the activity section below. The starting point for the transition is the current environment described in the “As-Is” Document and the stopping point is operational acceptance of the solution.

The key inputs to this stage are:

- **Design Package:** The Design Package defines the future state (solution) that is to be transitioned into operation.
- **“As-Is” Document:** The “As-Is” Document defines the current environment from which OET wishes to transition.

2.1.6.1.1: Mandatory Requirements

Take into consideration and strive to meet the business goals and requirements related to this initiative: In addition to technical requirements, during this step we will focus our attention on MC procurement policies and requirements for acquiring the goods and services necessary to implement the solution. In addition, we realize MC must be prepared for any changes to existing customer-facing processes and systems.

2.1.6.2: Activities

We will develop a Transition Plan that will document the steps necessary to go from the existing solution to the new solution. To develop the Transition Plan we will execute the following activities:

- **Gap analysis of future state (solution design) versus current state (“As-Is”) to determine implementation plan:** This plan will be created based on a gap analysis using the “As-Is” Document and the Design Package. The plan will address the following steps:
 - *Procurement of goods and services;*
 - *Building the solution in a “staging area”;*
 - *Testing the solution;*
 - *Packaging the solution for release;*
 - *Testing the release package;*
 - *Change Management registration and approval;*
 - *Scheduling the release;*
 - *Release;*
 - *Acceptance testing;*
 - *Operation;*
 - *Early support; and*
 - *Closure.*

The gap analysis will determine the details that go into each of the above steps. Key OET personnel will have an active role during this stage to add their experience in changing the current production environment. This is especially true for the security and audit knowledge domains as OET will be rolling out new tools that manage the OET production environment. Grant Thornton has expertise in these areas but participation from local security staff will be a critical success factor.

- ***Organizational readiness assessment for solution rollout:*** In addition, several processes are either customer facing or have customer touch points. Therefore it will be necessary to prepare the entire Maricopa County organization to promote successful adoption of the new processes and tools. We will include an assessment of OET preparedness for adopting the new ITSM processes and tools.
- ***Identification of risks and constraints (budget, schedules, resources):*** We will facilitate discussions with OET to identify and analyze the major risks and constraints to a successful transition. Example risk areas include *vendor management and data migration*.

2.1.6.2.1: Mandatory Requirements

Work with OET, and other MC departments and individuals as directed: As indicated above, our team will need to work with OET staff and other MC County departments to: ready the organization throughout the planning process from procurement to operational acceptance.

Review findings and recommendations with OET: At the end of each Stage we review our findings with OET. As previously mentioned, we have weekly formal project meetings and informal conversations to discuss our findings. We will discuss and review our findings weekly and our recommendation as they are delivered.

2.1.6.3: Output

The Transition Plan created during this stage will be presented to and reviewed with OET. Upon acceptance, that document will be used as input to the plan stage. In addition, a lessons-learned session will be performed after acceptance.

2.1.6.3.1: Deliverables

Project Plan (migrating from the “As-Is” to the “To-Be” model): Grant Thornton will provide a project plan detailing the transitional tasks as requested above. The purpose of this plan is to define the tasks necessary to accomplish the transition in a manner that mitigates risks and that addresses the need for adequate capacity and resources to accomplish the solution transition into production. Additional objectives include ensuring that all parties adopt the common framework of standard processes and supporting systems, and to provide clear and comprehensive plans to enable the customer and business change projects to align themselves with service transition plans. The project plan will include the tasks, milestones, supporting tasks, dependencies, resources and timeframes to migrate from As-Is environment to recommended To-Be solution.

The Transition Plan will include criteria from section 2.1.1.8 of the Contract as well as acceptance criteria. The scope of the package includes incorporating design and operation requirements into the transition plans, managing and operating transition planning and support activities, maintaining and integrating service transition plans across the customer, service and contract portfolios; managing service transition progress, changes, issues, risks and deviations; reviewing quality of all service transition, release and deployment plans; managing and operating the transition processes, supporting systems and tools; communications with customers, users and stakeholders; monitoring and improving service transition performance.

Risk Management Plan: We will develop a risk management plan that defines a process for the ongoing management of risk and that analyzes the major know risks to transition success. We identify below some of the major risks likely to be entailed by the target solution and its implementation plan:

- When several, inter-related ITSM processes are addressed by a solution, the weakest of the processes may pose a risk to the overall solution and to other processes that are actually stronger and more mature. Examples include various network and data center processes that are reused by different desktop and/or application resources.
- Business lifecycles that are too short to provide a reasonable implementation timeframe can be a major source of risk to OET. Under such circumstances, it could be preferred to use business outsourcing or cloud services to address the business need, even given the potential added expense.

- Inadequate budget and resources available to complete service design activities to support a successful service transition. This can translate into insufficient time for a proper design and for adequate training of resources.

Other Documents:

- Organizational readiness report: This document will be included to determine how much preparation OET and MC require for the best outcome when the new solution becomes operational

2.1.7 Stage 6: Measure

The following table presents an overview of the objectives, activities, and output of the Measure stage.

Legend: ▲ **Mandatory Requirement** ◆ **Deliverable**

Stage 6: Measure		
Process		Objective
		<p>To provide a concise quantitative analysis and business case for the recommended solution to include a pricing matrix which includes total costs of ownership (TCO), component costs, and Return on investment (ROI), as well as key assumptions such as indirect, intangible or “soft savings” that would realize efficiencies.</p> <p>Standard/Guideline/Framework/Methodology</p> <ul style="list-style-type: none"> ▪ Managing Successful Programs (MSP) -- Benefits Realization methodology ▪ Logic Model framework
Input	Activity	Output
<ul style="list-style-type: none"> ▪ “As-Is” document ▪ Design package ▪ Implementation Plan ▲ Take into consideration and strive to meet the business goals and requirements related to this initiative 	<ul style="list-style-type: none"> ▪ Quantification of the costs of the proposed solution ▪ Quantification of the current “As-Is” costs (baseline) ▪ Quantify benefits of the proposed solution, as well as intangible benefits ▪ Calculate the cost benefit analysis and document assumptions ▪ Prepare the formal business case ▲ Work with OET, and other MC departments and individuals as directed ▲ Review findings and recommendations with OET 	<p>Business Case:</p> <ul style="list-style-type: none"> ◆ Pricing Matrix ◆ Cost Benefit Analysis ◆ Executive Level Presentation <p>Roadmap</p>

2.1.7.1: Inputs

Our final step in the process will be to develop a cost-benefit analysis that quantifies and projects the improvements to OET’s operation and related impact on MC core business processes. The cost benefit analysis and business case will follow the requirements of the Federal Government prescribed cost benefit analysis approach as outlined in OMB Circular A-94 Guidelines and Discount Rates for Benefit-Cost Analysis. We have found this standard to be a useful guideline in a number of cost benefit analyses we have performed for public sector clients.

The major inputs to this stage are the following:

- **“As-Is” Document:** defines the current state and will be used as an aide in gathering information and identifying cost data for the current environment.

- **Design Package:** defines the future state (solution) and will be used as an aide in gathering information and identifying cost data for the future environment.
- **Transition Plan:** defines how OET reaches the future state (solution) and will be used as an aide in gathering information and identifying the cost of building the future environment.

2.1.7.1.1: Mandatory Requirements

Take into consideration and strive to meet the business goals and requirements related to this initiative: The business goals of this project are a main consideration as input to this stage. A special consideration will be given to the impact on the entire MC organization.

2.1.7.2: Activities

Grant Thornton's cost benefit analysis will document current resource, process and services costs (including fixed and variable costs), highlight key measures and forecasts including (1) total cost of ownership (TCO) for the current state and future state, (2) projected return on investment (ROI), and (3) intangible or soft costs to include operational efficiencies, increased customer service and/or decreased risks. All measures and investment analyses will be calculated using the expected system life (10 years per Contract, or a more accurate life if available). All assumptions will be documented so as to inform an optimal investment/ implementation decision. Total costs and savings yielded from the solution recommended will be included in the documentation.

Our cost benefit analysis approach entails the following steps. Most of the current state processes and costs are already captured in the cost model under the current project that Grant Thornton is conducting. Thus, the costs associated with the investment and quantification of benefits will be the most intensive part of this step.

- **Quantification of the current "As-Is" costs (baseline):** A critical part of a cost benefit analysis and business case is the rigor of the data in documenting the baseline current state. Fortunately, OET is conducting a cost allocation model and framework which captures the current processes, resources, services and systems costs including support costs. The current cost model will be used to quantify the current processes and systems.
- **Quantification of the costs of the proposed solution:** We will estimate the one-time and ongoing costs involved in implement the recommended solution. We will leverage existing baseline cost data where applicable and will also use both bottom-up and top-down estimation techniques to project the likely capital investment and operational costs associated with the target state.
- **Quantify benefits of the proposed solution and document intangible benefits:** Calculation of benefits can be challenging. While the current cost model captures current state, FTE and non-FTE costs per process, systems and service, savings and benefits will entail making assumptions as to what current costs are variable and can be discontinued. Additionally, some benefits are intangible and not quantifiable. The most likely benefits of a process improvement and technology insertion is non-personnel consolidation and savings, cycle time improvement, quality of service improvement, and customer satisfaction. We will identify potential quantitative and qualitative savings, vet them with OET management, and leverage the experience of other Grant Thornton clients who have gone through similar transitions to estimate the likely benefits and their relative degree of uncertainty.
- **Calculate the cost benefit analysis and document assumptions:** We will prepare a set of MS-Excel workbooks to reflect the quantitative elements of the cost benefit analysis, and will use the workbooks to estimate the Total Cost of Ownership (TCO) and Return on Investment (ROI) of the recommended solution.
- **Prepare the formal business case:** The final step of the benefit cost analysis is the documentation and formal write up of the business case. We will document the business case in both a Power Point summary and an MS-Excel tool kit to enable changes in assumptions and/or updates to costs and benefits that may impact the calculations. The business case will include formal metrics including total costs of ownership, return on investment as well as identification of intangible benefits.

2.1.7.1.1: Mandatory Requirements

Work with OET, and other MC departments and individuals as directed: We have worked closely with the OET PMO and with the Financial Manager for OET in the past and will continue to do so ion this project.

Review findings and recommendations with OET: The deliverables will be reviewed with OET and submitted for acceptance.

2.1.7.3: Outputs

The following documents will be provided as part of the deliverables at the end of this stage. It is important to note that results from all of the focus groups will be combined into a single integrated package during this stage.

2.1.7.3.1: Deliverables

- **Business Case:**

- **Pricing Matrix:** Grant Thornton will produce a pricing matrix to analyze the initial purchase cost and annual licensing and purchasing costs for any recommended new products, tools, or hardware and supporting infrastructure. Also included will be professional service costs, implementation costs, setup and configuration costs, and maintenance and support costs over a 10 year period. We will leverage County buying power, any reuse potential of existing assets, and enterprise licensing opportunities, including opportunities associated with new cloud-based solutions.
- **Cost Benefit Analysis:** The Cost Benefit Analysis will document the one-time and ongoing costs of the transition, and will estimate both the quantifiable and intangible benefits associated with transitioning to the recommended solution. Grant Thornton understands that indirect or soft savings will be an important part of any process and system improvement package, enabling OET to realize savings from process and staff efficiencies, such as eliminating the need to close tickets in three different systems. Grant Thornton will work with OET and County representatives to identify both hard and soft cost savings scenarios that are potentially important to the business case, developing realistic estimates to be included in the business case. We have developed many such estimates in the course of our costing work and are able to present highly professional estimates that will be accepted by financial and compliance authorities. The Cost Benefit Analysis will also include TCO and ROI estimates.
- **Executive Level Presentation:** Grant Thornton has years of experience in developing executive level presentation materials for oversight authorities and other financial stakeholders. We will select extracts of materials referenced above and present them as required to support the business case, financial justification and/or other business need. We will take special care to focus such material on MC business improvements supported by OET process and system improvements.
- **Other Documents:** In addition to the previously mentioned documents, Grant Thornton will produce an ITSM Roadmap that will identify further opportunities to improve OET services to MC. We will include the Roadmap in the Business Case Deliverable.

Roadmap: The roadmap will identify additional areas for process improvement and management systems for OET. These improvement areas will be identified throughout the project and will be evaluated and recommended after review by our ITSM experts.

2.2 Optional Requirement:

When OET is ready to implement the solution, Grant Thornton will work with OET to successfully transition the solution into operation. This typically requires at a high level: project management, procurement, build, test, change management, release, and acceptance.

The implementation may also require management of several vendors and sub-contractors. Grant Thornton is currently performing work similar to this for a number of state and local clients nationally, and is providing a subset of this work for the MC Treasurer's Office.

However, OET's work will be unique in that core OET processes will be changing not just the tools. Since OET processes support MC core business process, it will be necessary to prepare the entire MC organization. A method, such as the Kotter 8-step process (Figure 5), can be used to insure successful adoption of the new process as well as the tool. This is essential for all processes that are customer facing or have customer touch points.

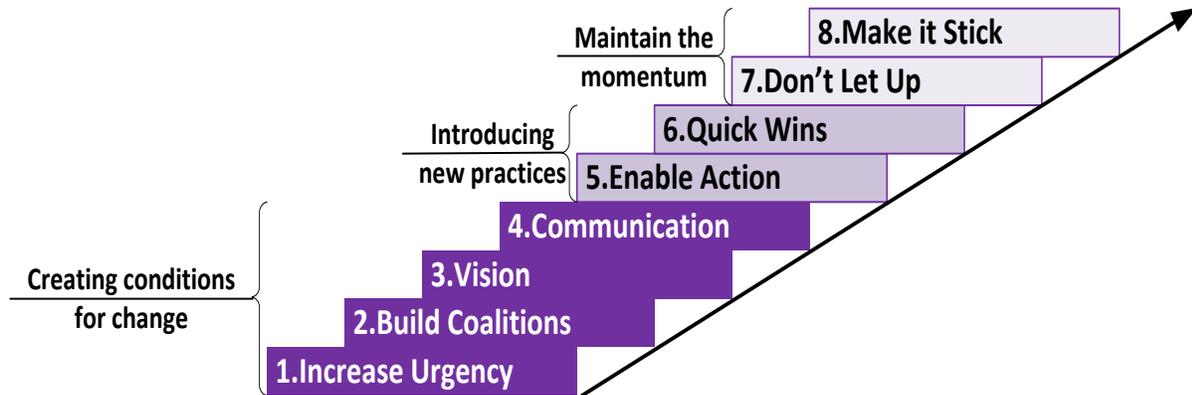


Figure 5. Kotter's 8-Step Process

Grant Thornton would support OET through the change process, and would leverage a framework such as the Kotter 8-step process for leading change to:

- **Step 1: Establish a Sense of Urgency** - Help others see the need for change and they will be convinced of the importance of acting immediately.
- **Step 2: Create the Guiding Coalition** - Assemble a group with enough power to lead the change effort, and encourage the group to work as a team.
- **Step 3: Develop a Change Vision** - Create a vision to help direct the change effort, and develop strategies for achieving that vision.
- **Step 4: Communicate the Vision for Buy-in** - Make sure as many as possible understand and accept the vision and the strategy.
- **Step 5: Empower Broad-based Action** - Remove obstacles to change, change systems or structures that seriously undermine the vision, and encourage risk-taking and nontraditional ideas, activities, and actions.
- **Step 6: Generate Short-term Wins** - Plan for achievements that can easily be made visible, follow-through with those achievements and recognize and reward employees who were involved.
- **Step 7: Never Let Up** - Use increased credibility to change systems, structures, and policies that don't fit the vision, also hire, promote, and develop employees who can implement the vision, and finally reinvigorate the process with new projects, themes, and change agents.
- **Step 8: Incorporate Changes into the Culture** - Articulate the connections between the new behaviors and organizational success, and develop the means to ensure leadership development and succession.

Grant Thornton would already be familiar with the solution design and therefore be the logical choice to oversee the transition of the solution into operation.

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

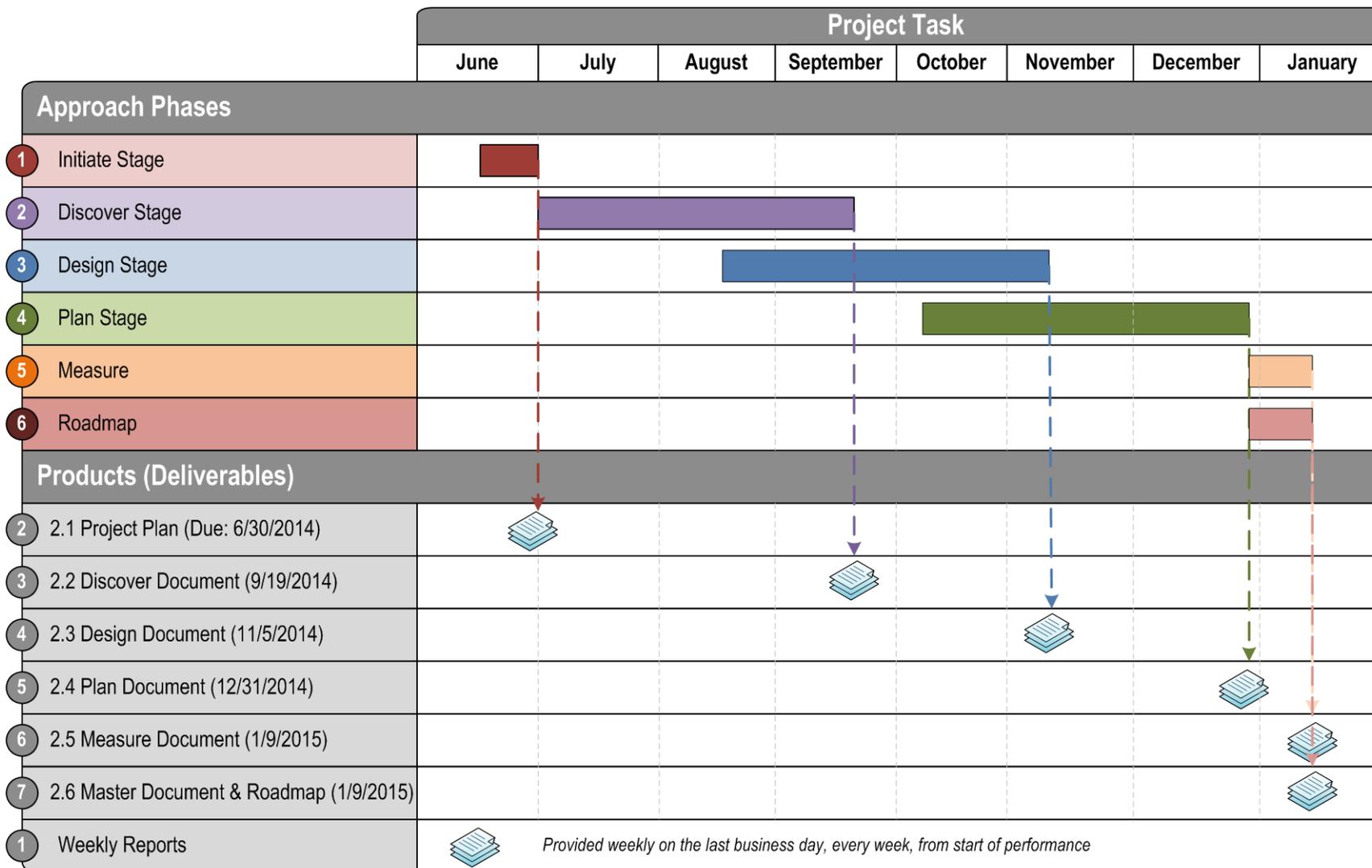
- 1.0 All contract-related travel plans and arrangements shall be prior-approved by the County Contract Administrator.
- 2.0 Lodging, per diem and incidental expenses incurred in performance of Maricopa County/Special District (County) contracts shall be reimbursed based on current U.S. General Services 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 PROJECT SCHEDULE



AMENDMENT No. 1
To
OET INTERNAL SYSTEMS/PROCESS STUDY
Between
Grant Thornton, LLP
&
Maricopa County, Arizona

WHEREAS, Maricopa County, Arizona ("County") and Grant Thornton, LLP and ("Contractor") have entered into a Contract for the purchase of consultant services dated June 12, 2014, County Contract No. 13140-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:

Section 1.0 Contract Term

Both parties agree to exercise the renewal option in Section 1.2 for one (1) year to expire June 30, 2016.

Section 6.12 Additions/Deletions of Service

Both parties agree that the additional scope of work (SOW) as contained herein will be performed by the Contractor and will be payable per approved deliverables by the County. Phase 1 pricing is NOT TO EXCEED \$651,460.53 plus \$10,000 for travel for a Grand Total of \$661,460.53 (This includes the Service Management System (SMS) and Internal Service Fund (ISF) deliverables).

Based on the outcome of the Phase I deliverables both parties will review and approve a SOW for Phase II and III along with agreed upon pricing not to exceed the established labor rates table contained herein.

It is also understood that nothing in this amendment shall revise or modify the Contractor performance requirements under the original SOW in Exhibit B of the contract.

ALL OTHER TERMS AND CONDITIONS REMAIN UNCHANGED.

IN WITNESS WHEREOF, this Amendment is executed on the date set forth below when executed by the Maricopa County Office of Procurement Services.

GRANT THORNTON, LLP



Authorized Signature

SHIVA VERMA, Principal
Printed Name and Title

333 John Carlyle Street, Alexandria VA 22314
Address

4/13/2015
Date

MARICOPA COUNTY:



Chief Procurement Officer

4/14/15

Date

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Federal Congressional Budget Office (CBO). Eric will continue as process and cost analyst on the Implementation Program and provide the critical planning necessary to migrate to a full ISF structure by FY17.

- Todd Sturner, Sr. Business Analyst: Todd brings over 15 years of IT experience and has implemented Service Management Systems (SMS) in state government. He will continue to support the IT Service Management side of the Study implementation. Todd will have a process focus with some SMS development/administrative function. Primary resource for SMS customization, data collection, data mapping, data migration, process modification, testing, management for change of SMS, documentation, turndown of old systems, and CMDB discovery/grooming.
- TBD, Sr. Financial Analyst: The Sr. Financial Analyst will assist in the cost support and ISF tasks as well as the SMS coordination regarding the carrier parsing and customer invoicing functions.
- CostPerform Vendor Support: Minimal support may be required from vendor to develop the most optimal data update and refresh routines, reports and design and management of metrics such as depreciation and capacity.

Labor Rates

The following labor rates are consistent with the current engagement and do not include any escalation through June 30, 2016:

No.	Name	Role	Rate
1.2.1	Shiva Verma	Engagement Partner	\$183.71
1.2.3	Steve Stevens	Project Manager	\$152.15
1.2.4	Eric Dixon	Process & Cost Analyst	\$152.15
1.2.7	Todd Sturner	Senior Business Analyst	\$125.00
1.2.8	TBD	Senior Financial Analyst	\$125.00

PROPOSED LEVEL OF EFFORT AND PRICE

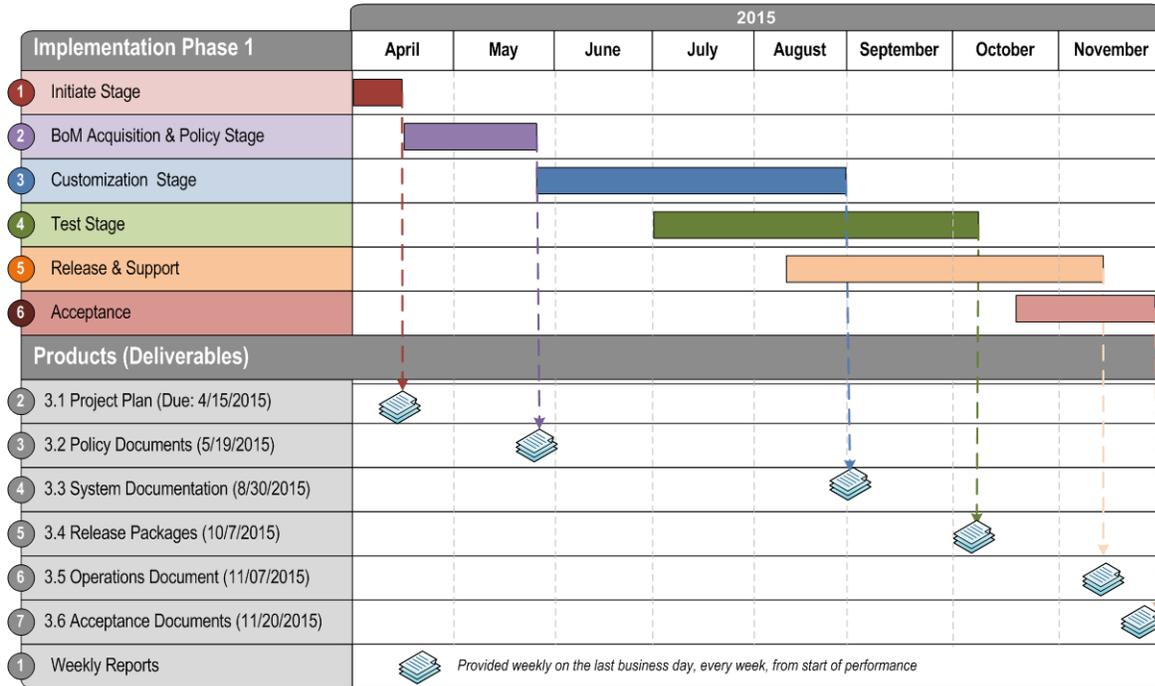
Grant Thornton proposes to perform this work as a fixed price task. The majority of work will be performed at OET or in the Grant Thornton office in Phoenix, Arizona. The following section presents our estimated level of effort, which we will provide at a fixed cost (presented below) inclusive of other direct costs for the project.

Milestone and Deliverable Hour Breakout

The following breakdown of deliverables is by Phase listing the team members, hours, cost, and timing of deliverables.

Phase 1 (February 2015 through September 2015)

This phase will implement Request Fulfillment, Incident Management, and IT Asset management.



Phase 1 Outcome

At the end of Phase 1 the following outcomes are:

1. The Service Management System (SMS) will be in operation with a customer facing portal.
2. The OET wide Request Fulfillment process will be in operation and supported by the new SMS. End users will be able to access self-service request status and a partial Service Catalog in their portal. Process Manager will have dashboard & Metrics.
3. The OET wide Incident Management process will be in operation and supported by the new SMS. End users will be able to access self-service trouble ticket status, knowledge base, and password reset utility in their portal. Process Manager will have dashboard & Metrics.
4. The OET wide Asset Management process will be in operation and supported by the new SMS. End users will be able to see what IT asset & services they have. Process Manager will have dashboard & Metrics.
5. The OET cost model must be updated to reflect the most current fiscal year budget data, cost allocation drivers and IT Service Lines. Additionally, a model update routine must be developed at this stage to enable the Finance Department to regularly update the model. Finally, OET’s new Finance staff and the primary model owner must be trained in the design of the model as well as the use of the CostPerform software. The cost model serves as the basis of the new ISF costing, pricing and chargeback mechanisms

Phase 1 Break-down by Deliverable

Project Kickoff & Plan	Hourly Rate	Total Hours	Total Price
Project Partner	\$ 183.27	4.00	\$ 733.08
Project Manager	\$ 152.15	63.00	\$ 9,585.58
Process & Cost Analyst	\$ 152.15	63.00	\$ 9,585.58
Sr. Business Analyst	\$ 125.00	70.00	\$ 8,750.00
Sr. Financial Analyst	\$ 125.00	.00	\$ 0.00
Totals		200.00	\$ 28,654.24

Kickoff and Project Plan Stage will use the Design Document and Implementation Plan from the Service management Study as well as the Marketing Plan from the Service Catalog project to create a detailed project task breakdown for Phase 1 of implementation.

1.2 Acquisition, Policy, & Role	Hourly Rate	Total Hours	Total Price
Project Partner	\$ 183.27	5.00	\$ 916.35
Project Manager	\$ 152.15	180.00	\$ 27,387.36
Process & Cost Analyst	\$ 152.15	180.00	\$ 27,387.36
Sr. Business Analyst	\$ 125.00	200.00	\$ 25,000.00
Sr. Financial Analyst	\$ 125.00	20.00	\$ 2,500.00
Totals		585.00	\$ \$83,191.07

During this stage the SMS will be acquired; process managers for Request Fulfillment, Incident Management, and Asset Management will be trained; draft policies for these processes will be created; and organizational communications will be developed for Phase 1 of implementation. SMS vendor is expected to provide Train-the-Trainer training. GT will provide role based training for process managers and participants that was specified in the Study documents. This is more important to cultural change and process for overall project success than to technology.

1.3 Phased Customization & Test	Hourly Rate	Total Hours	Total Price
Project Partner	\$ 183.27	13.50	\$ 2,474.15
Project Manager	\$ 152.15	216.00	\$ 32,864.83
Process & Cost Analyst	\$ 152.15	216.00	\$ 32,864.83
Sr. Business Analyst	\$ 125.00	240.00	\$ 30,000.00
Sr. Financial Analyst	\$ 125.00	160.00	\$ 20,000.00
Totals		845.50	\$ 118,203.81

During this stage the SMS will be customized for the three processes, data will be mapped for migration and scripts tested, the organizational structure and financial approvers will be identified for Phase 1 of implementation. Training for OET staff for handling tickets in the new SMS will be done during this stage.

1.4 Phased Data Migration & Release	Hourly Rate	Total Hours	Total Price
Project Partner	\$ 183.27	13.50	\$ 2,474.15
Project Manager	\$ 152.15	216.00	\$ 32,864.83
Process & Cost Analyst	\$ 152.15	216.00	\$ 32,864.83
Sr. Business Analyst	\$ 125.00	240.00	\$ 30,000.00
Sr. Financial Analyst	\$ 125.00	204.00	\$ 25,500.00
Totals		889.50	\$ 123,703.81

During this stage ticketing and asset data from the Symantec Helpdesk, IssueTrak, and TRIWatchDog systems will migrated to new SMS in a phased approach. Communications and training of end users will occur during this stage for Phase 1 of implementation.

1.5 Phased Early Support & Ops	Hourly Rate	Total Hours	Total Price
Project Partner	\$ 183.27	13.50	\$ 2,474.15
Project Manager	\$ 152.15	216.00	\$ 32,864.83
Process & Cost Analyst	\$ 152.15	216.00	\$ 32,864.83
Sr. Business Analyst	\$ 125.00	240.00	\$ 30,000.00
Sr. Financial Analyst	\$ 125.00	165.00	\$ 20,625.00
Totals		850.50	\$ 118,828.81

Services and early adopters for each system will begin to use the new SMS instead of the legacy systems. Early support is provided to both early adopters and OET staff. Adjustments are made to processes and systems as required.

1.6 Acceptance Testing & Sign-Off	Hourly Rate	Total Hours	Total Price
Project Partner	\$ 183.27	13.50	\$ 2,474.15
Project Manager	\$ 152.15	216.00	\$ 32,864.83
Process & Cost Analyst	\$ 152.15	216.00	\$ 32,864.83
Sr. Business Analyst	\$ 125.00	240.00	\$ 30,000.00
Sr. Financial Analyst	\$ 125.00	165.00	\$ 20,625.00
Totals		850.50	\$ 118,828.81

Updates for the three Processes and SMS are finalized. All services, processes, and users are on the new SMS systems. Operations accept and takes operational support. All process managers sign-off.

Phase 1 Grand Total	Hourly Rate	Total Hours	Total Price
Project Partner	\$ 183.27	63.00	\$ 11,546.01
Project Manager	\$ 152.15	1,107.00	\$ 168,432.26
Process & Cost Analyst	\$ 152.15	1,107.00	\$ 168,432.26
Sr. Business Analyst	\$ 125.00	1,230.00	\$ 153,750.00
Sr. Financial Analyst	\$ 125.00	714.00	\$ 89,250.00
Total		4,221.00	\$ 591,410.53
Travel			\$ 5,000.00
Grand Total			\$ 596,410.53

All documentation for each stage and weekly status reports will be in Microsoft Word format with monthly checkpoint meetings in Microsoft PowerPoint format and Project Plan with MS Project work breakdown plan. We approximate there will be \$5,000 in travel during this phase of the project. We will invoice OET for each deliverable following OET acceptance.

ISF Support Break-down by Deliverable

1.7a Project Plan	Hourly Rate	Total Hours	Total Price
Sr. Financial Analyst	\$ 125.00	12.00	\$ 1,500.00
Totals		12.00	\$ 1,500.00

Kickoff and Project Plan step for the ISF workstream will provide the tasks and relationships required to successful design, plan and implement the ISF migration, including updating the cost model, developing a refresh routine for OET to update the model in the future as well as the ongoing cost analysis, price setting and customer invoicing associated with IT service chargeback management.

1.7b Update Cost Model & Refresh Routine	Hourly Rate	Total Hours	Total Price
Sr. Financial Analyst	\$ 125.00	180.00	\$ 22,500.00
CostPerform Vendor	\$ 140.00	20.00	\$ 2,800.00
Totals		200.00	\$ 25,300.00

During this step, our team will rebuild the cost model master import files for actuals, budget or revised financial data, cost driver and customer usage data. Since this is the first refresh of the baseline model (built based on FY14 Adopted), a number of tasks are needed to create a refresh routine so that OET can maintain the model easily in the future.

The team will also update the current model structure and design including modeling RDSA and other new/expanded/modified organizational OET units/offices. Steps in model include adding new objects, symbols and connecting the new objects to resources and outputs. This may also require adjusting drivers and might entail rebalancing the model to assure dollars flow properly through layers to accurately cost IT services and customer usage.

The labor survey will require updating, entering survey into model, developing a routine to regularly update survey (once a year or when major organizational or role changes occur). The deliverable for this task includes:

- Update/refresh time survey to include new organizations and expanded roles as well as new personnel.
- Analyze methods including SMS system features to update this labor survey in the future.

The asset life depreciations and calculations will also require updating to assure the asset life depreciation assumptions are accurate and/or consistent. Ultimately, this step will be coordinated with the new SMS asset and configuration module/ tool. The SMS tool may not be complete at this stage of the cost model, however, in which case a manual or semi-automated procedure will be developed. The deliverable for this task includes: Obtain inventory asset life depreciation schedule from County.

- Coordinate with service owners to update inventory and asset life assumptions.

- Import asset life assumptions into cost model and calculate depreciation for allocation in cost model.

Finally, this stage will include development of an interface or scripts for updating model data (financial, activity and customer drivers). This may require modifying or developing master worksheets for capturing all drivers and developing procedures for assuring data is updated and correct. After data routines and procedures are developed and tested, tailored managed reports will be designed to provide OET managers and customers with IT service cost reports.

1.7c OET Cost Model Desk Top Manual	Hourly Rate	Total Hours	Total Price
Sr. Financial Analyst	\$ 125.00	50.00	\$ 6,250.00
Totals		50.00	\$ 6,250.00

During this step, the team will consolidate all model documentation and operating procedures into one manual. Manual will be key document for OET training and model maintenance and sustenance in the future. The deliverable for this task includes:

Develop official OET Cost Model Desk Top Operations Manual to include overview of model, model design, allocation drivers, update/refresh routines, reports, survey update routines, and model QA/audit procedures. Present and finalize document with OET Finance.

1.7d OET Cost and Pricing Training	Hourly Rate	Total Hours	Total Price
Sr. Financial Analyst	\$ 125.00	30.00	\$ 3,750.00
Totals		30.00	\$ 3,750.00

During this step, the primary task includes developing comprehensive training material and in-class and in-flight sessions. The deliverable for this task includes:

Develop official OET Cost Model Training documents for analysts and executives.

Develop in-class and in-flight training courses - three in-class training and two-in-flight model sessions consisting of approximately 2 hours for each course or session (10 hours of formal training or real time sessions).

Develop book marks for executive lap top for ease of demonstrating the model live (i.e., CIO lap top and peer demonstrations).

1.7e ISF Executive Briefs, Reports & Strategy Support	Hourly Rate	Total Hours	Total Price
Sr. Financial Analyst	\$ 125.00	36.00	\$ 4,500.00
Totals		36.00	\$ 4,500.00

At this stage, OET will have had training and OET can start to run reports and perform analysis with oversight from GT. Additionally, since model is now in OET environment and updated with FY14 Actuals and FY15 Budget, model can support migration of OET to ISF and new pricing (see Part II of ROM below).

Additionally, the team will support OET with Executive Briefs/Pitches and ISF/Pricing communications tool box to help get approval and charter for ISF. Our team will begin the mechanics of posturing OET to operate all services in an ISF structure communications and coordination with County and customer department stakeholders will be necessary.

Next, the team will develop initial pricing using FY15 data to including updating initial Pricing Discussions Worksheets and development of updated IT Service Bundle offering prices and rates.

The migration of OET to ISF will entail major Finance transition and internal communications and awareness including ISF budget support such as development of Budget, Cost and Pricing Calendar with touch points to the new SMS and cost system.

1.7f ISF Policies & Procedures	Hourly Rate	Total Hours	Total Price
Sr. Financial Analyst	\$ 125.00	150.00	\$ 18,750.00
Totals		150.00	\$ 18,750.00

The last step of this stage is to develop written documentation of comprehensive policies and procedures for operating the ISF including all of the sub processes involved and source data and reports particularly those that impact customers.

This step will also include Final Preparation and Migration to ISF, new IT Catalog and Pricing and update to reflect FY17 pricing will be developed using either FY16 Actuals or FY17 Budget data. The team will coordinate with SMS implementation to assure carrier parsing and invoicing solutions are in place.

Our team will design customer invoices based on updated IT Catalog services, and coordinate with the SMS Team to assure solutions are in place and/or updated so that telecommunications bills parsing is performed accurately and that IT service costs are reflected in customer invoices.

1.7 ISF Support Grand Total	Hourly Rate	Total Hours	Total Price
Sr. Financial Analyst	\$ 125.00	458.00	\$ 57,250.00
CostPerform Vendor	\$ 140.00	20.00	\$ 2,800.00
Total		478.00	\$ 60,050.00
Travel			\$ 5,000.00
Grand Total			\$ 65,050.00

All documentation for each stage and weekly status reports will be in Microsoft Word format with monthly checkpoint meetings in Microsoft PowerPoint format and Project Plan with MS Project work breakdown plan. We approximate there will be \$5,000 in travel during this phase of the project. We will invoice OET for each deliverable following OET acceptance.

Program Progress Review

In early September, Phase 1 progress should be reviewed with respect to the program. The program timeline is tight so any acceleration of the timeline will be assessed at this time. In addition, detail for Phase 2 and Phase 3 should be developed and scope/funding finalized to avoid slack periods. Slack periods would greatly increase the risk of missing program milestones.