Region 14 Education Service Center
National Cooperative Purchasing Alliance (NCPA)
Request for Proposal # 44-22

Strategic Management Consulting Services

Response to Request for Proposal

November 17, 2022

Provided to:

Region 14 Education Service Center
National Cooperative Purchasing Alliance (NCPA)

via Bonfire portal: ncpa.bonfirehub.com

Provided by:

Guidehouse Inc.
Raveen Rao
Partner
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Taxpayer Identification Number (TIN): 36-4094854
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guidehouse.com

2022-692

November 17, 2022

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Subject: Response to Request for Proposal | Request for Proposal # 44-22
Strategic Management Consulting Services

Guidehouse Inc. is pleased to submit to National Cooperative Purchasing Alliance (hereafter "NCPA"), via solicitation from Region 14 Education Service Center (hereafter "Region 14 ESC") our proposal to deliver strategic management consulting services while helping vendors and public agencies to reduce and save costs. Our response is comprised of a Technical Proposal (Volume I) and a Price Proposal (Volume II). We are confident that you will find that our proposal offers the best value solution to NCPA members.

We have done exactly this type of strategic management consulting before and our PMO services are unmatched. Our company's roots are based on decades of experience bringing operational efficiencies, data analysis, stakeholder engagement, and process improvement and implementation to governments. We have navigated thousands of engagements with a variety of states and local governments to solve problems, hold vendors accountable, and keep projects on schedule and on-budget. Our team has worked with numerous government agencies to analyze and evaluate core business functions and processes and to identify recommendations for standardization and efficiencies. For each opportunity, we will take a holistic approach to reviewing operations across people, processes, and supporting technologies. We understand the interconnected levers that underpin the work states and local governments do and will be able to hit the ground running with proven methodologies, templates, and approaches As evidenced by our qualifications and references, our methodology for PMO services is time-tested and will provide the stabilization needed for a successful project.

Guidehouse was the first and only professional services firm to receive the Malcolm Baldrige National Quality Award, the nation's highest presidential honor for performance excellence. Our consulting practice blends public sector depth and expertise with commercial leading practices. We focus on bringing top–tier talent to government entities to solve their most pressing problems. Guidehouse has the skill and analytical expertise of the strategy houses coupled with the state–specific knowledge and rate structure of a locally–based consulting firm. From creating politically viable strategies and navigating internal buy-in to executing major project management, we have deep state and local experience in delivering high-quality and impactful services.

Guidehouse is a leading global provider of consulting services to the public and commercial markets with broad capabilities in management, technology, and risk consulting. We help clients address their toughest challenges and navigate significant regulatory pressures. Our proposal highlights the services we think will generally be aligned to the needs of NCPA members, but we bring deep expertise in many issue areas and have proven methodologies across our capabilities. Our team is ready and able to help NCPA members build solutions that drive meaningful changes for students, staff, and communities. Our team is equipped to navigate problems, identify solutions, and support you with critical initiatives.

Across a range of advisory, consulting, outsourcing, and digital services, we create scalable, innovative solutions that help our clients outwit complexity and position them for future growth and success. Our company has more than 15,000 professionals in over 50 locations globally. Guidehouse is a Veritas Capital portfolio company, led by seasoned professionals with proven and diverse expertise in traditional and emerging technologies, markets, and agenda-setting issues driving national and global economies. For more information, please visit www.guidehouse.com Guidehouse appreciates the opportunity to be considered for this important project and, if selected, will provide NCPA with a team of professionals committed to your success. If you have any questions about our response, please contact Associate – Contracts, Virginia Boyd, at (512) 402-3954 or (slgcontracts@guidehouse.com) or me at (630) 650-1034 or (rrao@guidehouse.com).

Sincerely,

Raveen Rao
Partner

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TAB 1
MASTER AGREEMENT - GENERAL TERMS AND CONDITIONS

Customer Support
The vendor shall provide timely and accurate technical advice and sales support. The vendor shall respond to such requests within one (1) working day after receipt of the request.

Disclosures
Respondent affirms that he/she has not given, offered to give, nor intends to give at any time hereafter any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor or service to a public servant in connection with this contract.

The respondent affirms that, to the best of his/her knowledge, the offer has been arrived at independently, and is submitted without collusion with anyone to obtain information or gain any favoritism that would in any way limit competition or give an unfair advantage over other vendors in the award of this contract.

Renewal of Contract
Unless otherwise stated, all contracts are for a period of three (3) years with an option to renew for up to five (5) additional one-year terms or any combination of time equally not more than 5 years if agreed to by Region 14 ESC and the vendor.

Funding Out Clause
Any/all contracts exceeding one (1) year shall include a standard “funding out” clause. A contract for the acquisition, including lease, of real or personal property is a commitment of the entity’s current revenue only, provided the contract contains either or both of the following provisions:

Retains to the entity the continuing right to terminate the contract at the expiration of each budget period during the term of the contract and is conditioned on a best efforts attempt by the entity to obtain appropriate funds for payment of the contract.

Shipments (if applicable)
The awarded vendor shall ship ordered products within seven (7) working days for goods available and within four (4) to six (6) weeks for specialty items after the receipt of the order unless modified. If a product cannot be shipped within that time, the awarded vendor shall notify the entity placing the order as to why the product has not shipped and shall provide an estimated shipping date. At this point the participating entity may cancel the order if estimated shipping time is not acceptable.

Tax Exempt Status
Since this is a national contract, knowing the tax laws in each state is the sole responsibility of the vendor.

Payments
The entity using the contract will make payments directly to the awarded vendor or their affiliates (distributors/business partners/resellers) as long as written request and approval by NCPA is provided to the awarded vendor.

Adding Authorized Distributors/Dealers
Awarded vendors may submit a list of distributors/partners/resellers to sell under their contract throughout the life of the contract. Vendor must receive written approval from NCPA before such distributors/partners/resellers considered authorized.

Purchase orders and payment can only be made to awarded vendor or distributors/ business partners/resellers previously approved by NCPA.

Pricing provided to members by added distributors or dealers must also be less than or equal to the pricing offered by the awarded contract holder.

All distributors/partners/resellers are required to abide by the Terms and Conditions of the vendor's agreement with NCPA.

Pricing
All pricing submitted shall include the administrative fee to be remitted to NCPA by the awarded vendor. It is the awarded vendor’s responsibility to keep all pricing up to date and on file with NCPA.

All deliveries shall be freight prepaid, F.O.B. destination and shall be included in all pricing offered unless otherwise clearly stated in writing

Warranty
Proposal should address the following warranty information:

- Applicable warranty and/or guarantees of equipment and installations including any conditions and response time for repair and/or replacement of any components during the warranty period.
- Availability of replacement parts
- Life expectancy of equipment under normal use
- Detailed information as to proposed return policy on all equipment

Products: Vendor shall provide equipment, materials and products that are new unless otherwise specified, of good quality and free of defects
Construction: Vendor shall perform services in a good and workmanlike manner and in accordance with industry standards for the service provided.

Safety
Vendors performing services shall comply with occupational safety and health rules and regulations. Also all vendors and subcontractors shall be held responsible for the safety of their employees and any conditions that may cause injury or damage to persons or property.

Permits
Since this is a national contract, knowing the permit laws in each state is the sole responsibility of the vendor.

Indemnity
The awarded vendor shall protect, indemnify, and hold harmless Region 14 ESC and its participants, administrators, employees and agents against all claims, damages, losses and expenses arising out of or resulting from the actions of the vendor, vendor employees or vendor subcontractors in the preparation of the solicitation and the later execution of the contract.

Franchise Tax
The respondent hereby certifies that he/she is not currently delinquent in the payment of any franchise taxes.

Supplemental Agreements
The entity participating in this contract and awarded vendor may enter into a separate supplemental agreement to further define the level of service requirements over and above the minimum defined in this contract i.e. invoice requirements, ordering requirements, specialized delivery, etc. Any supplemental agreement developed as a result of this contract is exclusively between the participating entity and awarded vendor.

Certificates of Insurance
Certificates of insurance shall be delivered to the Public Agency prior to commencement of work. The insurance company shall be licensed in the applicable state in which work is being conducted. The awarded vendor shall give the participating entity a minimum of ten (10) days notice prior to any modifications or cancellation of policies. The awarded vendor shall require all subcontractors performing any work to maintain coverage as specified.

Legal Obligations
It is the Respondent's responsibility to be aware of and comply with all local, state, and federal laws governing the sale of products/services identified in this RFP and any awarded contract and shall comply with all while fulfilling the RFP. Applicable laws and regulation must be followed even if not specifically identified herein.

Protest
A protest of an award or proposed award must be filed in writing within ten (10) days from the date of the official award notification and must be received by 5:00 pm CST. Protests shall be filed with Region 14 ESC and shall include the following:

- Name, address and telephone number of protester
- Original signature of protester or its representative
- Identification of the solicitation by RFP number
- Detailed statement of legal and factual grounds including copies of relevant documents and the form of relief requested

Any protest review and action shall be considered final with no further formalities being considered.

Force Majeure
If by reason of Force Majeure, either party hereto shall be rendered unable wholly or in part to carry out its obligations under this Agreement then such party shall give notice and full particulars of Force Majeure in writing to the other party within a reasonable time after occurrence of the event or cause relied upon, and the obligation of the party giving such notice, so far as it is affected by such Force Majeure, shall be suspended during the continuance of the inability then claimed, except as hereinafter provided, but for no longer period, and such party shall endeavor to remove or overcome such inability with all reasonable dispatch.

The term Force Majeure as employed herein, shall mean acts of God, strikes, lockouts, or other industrial disturbances, act of public enemy, orders and regulation of any kind of government of the United States or any civil or military authority; insurrections; riots; epidemics; pandemic; landslides; lighting; earthquake; fires; hurricanes; storms; floods; washouts; droughts; arrests; restraint of government and people; civil disturbances; explosions, breakage or accidents to machinery, pipelines or canals, or other causes not reasonably within the control of the party claiming such inability. It is understood and agreed that the settlement of strikes and lockouts shall be entirely within the discretion of the party having the difficulty, and that the above requirement that any Force Majeure shall be remedied with all reasonable dispatch shall not require the settlement of strikes and lockouts by acceding to the demands of the opposing party or parties when such settlement is unfavorable in the judgment of the party having the difficulty

Prevailing Wage
It shall be the responsibility of the Vendor to comply, when applicable, with the prevailing wage legislation in effect in the jurisdiction of the purchaser. It shall further be the responsibility of the Vendor to monitor the prevailing wage rates as established by the appropriate department of labor for any increase in rates during the term of this contract and adjust wage rates accordingly.

Termination
Either party may cancel this contract in whole or in part by providing written notice. The cancellation will take effect 30 business days after the other party receives the notice of cancellation. After the 30th business day all work will cease following completion of final purchase order.

Open Records Policy
Because Region 14 ESC is a governmental entity responses submitted are subject to release as public information after contracts are executed. If a vendor believes that its response, or parts of its response, may be exempted from disclosure, the vendor must specify page-by-page and line-by-line the parts of the response, which it believes, are exempt. In addition, the respondent must specify which exception(s) are applicable and provide detailed reasons to substantiate the exception(s).

The determination of whether information is confidential and not subject to disclosure is the duty of the Office of Attorney General (OAG). Region 14 ESC must provide the OAG sufficient information to render an opinion and therefore, vague and general claims to confidentiality by the respondent are not acceptable. Region 14 ESC must comply with the opinions of the OAG. Region14 ESC assumes no responsibility for asserting legal arguments on behalf of any vendor. Respondent are advised to consult with their legal counsel concerning disclosure issues resulting from this procurement process and to take precautions to safeguard trade secrets and other proprietary information.

PROCESS

Region 14 ESC will evaluate proposals in accordance with, and subject to, the relevant statutes, ordinances, rules, and regulations that govern its procurement practices. NCPA will assist Region 14 ESC in evaluating proposals. Award(s) will be made to the prospective vendor whose response is determined to be the most advantageous to Region 14 ESC, NCPA, and its participating agencies. To qualify for evaluation, response must have been submitted on time, and satisfy all mandatory requirements identified in this document.

Contract Administration
The contract will be administered by Region 14 ESC. The National Program will be administered by NCPA on behalf of Region 14 ESC.

Contract Term
The contract term will be for three (3) year starting from the date of the award. The contract may be renewed for up to five (5) additional one-year terms or any combination of time equally not more than 5 years.

It should be noted that maintenance/service agreements may be issued for up to (5) years under this contract even if the contract only lasts for the initial term of the contract. NCPA will monitor any maintenance agreements for the term of the agreement provided they are signed prior to the termination or expiration of this contract.

Contract Waiver
Any waiver of any provision of this contract shall be in writing and shall be signed by the duly authorized agent of Region 14 ESC. The waiver by either party of any term or condition of this contract shall not be deemed to constitute waiver thereof nor a waiver of any further or additional right that such party may hold under this contract.

Price Increases
Should it become necessary, price increase requests may be submitted at any point during the term of the contract by written amendment. Included with the request must be documentation and/or formal cost justification for these changes. Requests will be formally reviewed, and if justified, the amendment will be approved.

Products and Services Additions
New Products and/or Services may be added to the resulting contract at any time during the term by written amendment, to the extent that those products and/or services are within the scope of this RFP.

Competitive Range
It may be necessary for Region 14 ESC to establish a competitive range. Responses not in the competitive range are unacceptable and do not receive further award consideration.

Deviations and Exceptions
Deviations or exceptions stipulated in response may result in disqualification. It is the intent of Region 14 ESC to award a vendor's complete line of products and/or services, when possible.

Estimated Quantities
While no minimum volume is guaranteed, the estimated (but not limited to) annual volume for Products and Services purchased under the proposed Master Agreement is $1 billion dollars annually. This estimate is based on the anticipated volume of Region 14 ESC and current sales within the NCPA program.

Evaluation
Region 14 ESC will review and evaluate all responses in accordance with, and subject to, the relevant statutes, ordinances, rules and regulations that govern its procurement practices. NCPA will assist the lead agency in evaluating proposals. Recommendations for contract awards will be based on multiple factors, each factor being assigned a point value based on its importance.

Formation of Contract
A response to this solicitation is an offer to contract with Region 14 ESC based upon the terms, conditions, scope of work, and specifications contained in this request. A solicitation does not become a contract until it is accepted by Region 14 ESC. The prospective vendor must submit a signed Signature Form with the response thus, eliminating the need for a formal signing process. Contract award letter issued by Region 14 ESC is the counter-signature document establishing acceptance of the contract.

NCPA Administrative Agreement
The vendor will be required to enter and execute the National Cooperative Purchasing Alliance Administration Agreement with NCPA upon award with Region 14 ESC. The agreement establishes the requirements of the vendor with respect to a nationwide contract effort.

Clarifications/Discussions
Region 14 ESC may request additional information or clarification from any of the respondents after review of the proposals received for the sole purpose of elimination minor irregularities, informalities, or apparent clerical mistakes in the proposal. Clarification does not give respondent an opportunity to revise or modify its proposal, except to the extent that correction of apparent clerical mistakes results in a revision. After the initial receipt of proposals, Region 14 ESC reserves the right to conduct discussions with those respondent's whose proposals are determined to be reasonably susceptible of being selected for award. Discussions occur when oral or written communications between Region 14 ESC and respondent's are conducted for the purpose clarifications involving information essential for determining the acceptability of a proposal or that provides respondent an opportunity to revise or modify its proposal. Region 14 ESC will not assist respondent bring its proposal up to the level of other proposals through discussions. Region 14 ESC will not indicate to respondent a cost or price that it must meet to neither obtain further consideration nor will it provide any information about other respondents' proposals or prices.

Multiple Awards
Multiple Contracts may be awarded as a result of the solicitation. Multiple Awards will ensure that any ensuing contracts fulfill current and future requirements of the diverse and large number of participating public agencies.

Past Performance
Past performance is relevant information regarding a vendor's actions under previously awarded contracts; including the administrative aspects of performance; the vendor's history of reasonable and cooperative behavior and commitment to customer satisfaction; and generally, the vendor's businesslike concern for the interests of the customer.

EVALUATION CRITERIA

Pricing (40 points)
Electronic Price Lists

- Products, Services, Warranties, etc. price list
- Prices listed will be used to establish both the extent of a vendor’s product lines, services, warranties, etc. available from a particular bidder and the pricing per item.

Ability to Provide and Perform the Required Services for the Contract (25 points)

- Product Delivery within participating entities specified parameters
- Number of line items delivered complete within the normal delivery time as a percentage of line items ordered.
- Vendor’s ability to perform towards above requirements and desired specifications.
- Past Cooperative Program Performance
- Quantity of line items available that are commonly purchased by the entity.
- Quality of line items available compared to normal participating entity standards.

References and Experience (20 points)

- A minimum of ten (10) customer references for product and/or services of similar scope dating within past 3 years
- Respondent Reputation in marketplace
- Past Experience working with public sector.
- Exhibited understanding of cooperative purchasing

Value Added Products/Services Description, (8 points)

- Additional Products/Services related to the scope of RFP
- Marketing and Training
- Minority and Women Business Enterprise (MWBE) and (HUB) Participation
- Customer Service

Technology for Supporting the Program (7 points)

- Electronic on-line catalog, order entry use by and suitability for the entity’s needs
- Quality of vendor’s on-line resources for NCPA members.
- Specifications and features offered by respondent’s products and/or services

SIGNATURE FORM

The undersigned hereby proposes and agrees to furnish goods and/or services in strict compliance with the terms, specifications and conditions at the prices proposed within response unless noted in writing. The undersigned further certifies that he/she is an officer of the company and has authority to negotiate and bind the company named below and has not prepared this bid in collusion with any other Respondent and that the contents of this proposal as to prices, terms or conditions of said bid have not been communicated by the undersigned nor by any employee or agent to any person engaged in this type of business prior to the official opening of this proposal.

Prices are guaranteed: **120 days**

Guidehouse Inc.
Company Name

1676 International Drive, Suite 800
Address

Mclean	VA	22102
City	State	Zip

312-212-6188	
Telephone Number	Fax Number

rrao@guidehouse.com
Email Address

Raveen Rao	Partner
Printed Name	Position

Authorized Signature

Proposed Exceptions to Terms and Conditions

EXCEPTIONS

Submission of this proposal is not an indication of Guidehouse's willingness to be bound by all of the terms presented in the National Cooperative Purchasing Alliance / Region 14 Education Service Center (the "Client") Request for Proposal for ERP Software and Implementation Services (the "RFP"). This proposal in response to the Client's RFP does not constitute a contract to perform services and cannot be used to award a unilateral agreement. Final acceptance of this engagement by Guidehouse is contingent upon successful completion of Guidehouse's acceptance procedures. Any engagement arising out of this proposal will be subject to negotiation of a mutually satisfactory vendor contract including modifications to certain RFP terms and conditions, and including our standard terms and conditions and fees and billing rates established therein.

Given our past history of successfully negotiating mutually agreeable terms with similar public sector agencies, we do not anticipate any difficulty in reaching a contractual agreement that will enable us to provide the professional services which you are requesting, while protecting the interests of both parties.

Guidehouse respectfully requests the Client consider modifying the following terms and conditions in any resultant contract:

TAB 1 – MASTER AGREEMENT GENERAL TERMS AND CONDITIONS

Indemnity and Limitation of Liability

The awarded vendor shall ~~protect,~~ indemnify~~, and hold harmless~~ Region 14 ESC and its participants, administrators, employees and agents against all third-party claims, damages, losses and expenses for (a) death or bodily injury, (b) damage to real or tangible property, or (c) United States intellectual property right infringement, and arising out of or resulting from the actions of the vendor, vendor employees or vendor subcontractors in the preparation of the solicitation and the later execution of the contract.

Notwithstanding any term herein, and except to the extent finally determined to be prohibited by law, the awarded vendor's aggregate liability for all claims, losses, liabilities, or damages in connection with this agreement or its subject matter, whether as a result of breach of contract, tort (including negligence), or otherwise, regardless of the theory of liability asserted, is limited to no more than the total amount of fees paid to awarded vendor for the particular service giving rise to the liability under the applicable purchase order or task order. In addition, awarded vendor will not be liable for any lost profits, consequential, indirect, punitive, exemplary, or special damages. Also, awarded vendor shall have no liability arising from or relating to any third-party hardware, software, information, or materials selected or supplied by the Public Agency.

Guidehouse respectfully requests the Client consider adding the following terms and conditions in any resultant contract:

Intellectual Property and Guidehouse Deliverables: Upon full payment of all amounts due Guidehouse in connection with this Agreement, all rights, title and interest in any information and items, including summaries, documents, reports, and portions thereof it provides to Public Agency (the "Guidehouse Deliverables") will become Public Agency's sole and exclusive property for use in connection with the professional services set forth in this Agreement, subject to the exceptions set forth below. Guidehouse shall retain sole and exclusive ownership of all rights, title and interest in its work papers, proprietary information, processes, methodologies, know-how, and software, including such information as existed prior to the delivery of the Services and, to the extent such information is of general application, anything that it may discover, create, or develop during provision of the Services ("Guidehouse Property"). To the extent the Guidehouse Deliverables contain Guidehouse Property; Public Agency is granted a non-exclusive, non-assignable, royalty-free license to use it in connection with the subject of this Agreement. Without the prior written consent of Guidehouse, in no event shall Guidehouse's name be mentioned nor shall Guidehouse Deliverables be disclosed, referenced, used in connection with any offering documents or shared with any third party, except (a) as required by law; (b) as required by any government or regulatory agency with supervisory authority over Public Agency; and (c) Public Agency's legal advisors and auditors. It is strictly prohibited for the Guidehouse Deliverables to be disclosed, referenced, filed, or distributed in connection with the purchase or sale of securities, and in connection with any financing or business transaction.

Tab 2 – NCPA Administration Agreement

TAB 2
NCPA ADMINISTRATION AGREEMENT

This Administration Agreement is made as of December 1, 2022, by and between National Cooperative Purchasing Alliance ("NCPA") and Guidehouse Inc. ("Vendor").

Recitals

WHEREAS, Region 14 ESC has entered into a certain Master Agreement dated December 1, 2022, referenced as Contract Number 14-13, by and between Region 14 ESC and Vendor, as may be amended from time to time in accordance with the terms thereof (the "Master Agreement"), for the purchase of Strategic Management Consulting Services;

WHEREAS, said Master Agreement provides that any state, city, special district, local government, school district, private K-12 school, technical or vocational school, higher education institution, other government agency or nonprofit organization (hereinafter referred to as "public agency" or collectively, "public agencies") may purchase products and services at the prices indicated in the Master Agreement;

WHEREAS, NCPA has the administrative and legal capacity to administer purchases under the Master Agreement to public agencies;

WHEREAS, NCPA serves as the administrative agent for Region 14 ESC in connection with other master agreements offered by NCPA

WHEREAS, Region 14 ESC desires NCPA to proceed with administration of the Master Agreement;

WHEREAS, NCPA and Vendor desire to enter into this Agreement to make available the Master Agreement to public agencies on a national basis;

NOW, THEREFORE, in consideration of the payments to be made hereunder and the mutual covenants contained in this Agreement, NCPA and Vendor hereby agree as follows:

General Terms and Conditions

- The Master Agreement, attached hereto as Exhibit 1 and incorporated herein by reference as though fully set forth herein, and the terms and conditions contained therein shall apply to this Administration Agreement except as expressly changed or modified by this Administration Agreement.
- NCPA shall be afforded all of the rights, privileges and indemnifications afforded to Region 14 ESC under the Master Agreement, and such rights, privileges and indemnifications shall accrue and apply with equal effect to NCPA under this Administration Agreement including, but not limited to, Contractor's obligation to provide appropriate insurance and certain indemnifications to Region 14 ESC.

- Contractor shall perform all duties, responsibilities and obligations required under the Master Agreement in the time and manner specified by the Master Agreement.
- NCPA shall perform all of its duties, responsibilities, and obligations as administrator of purchases under the Master Agreement as set forth herein, and Contractor acknowledges that NCPA shall act in the capacity of administrator of purchases under the Master Agreement.
- With respect to any purchases made by Region 14 ESC or any Participating Agency pursuant to the Master Agreement, NCPA (a) shall not be construed as a dealer, re-marketer, representative, partner, or agent of any type of Contractor, Region 14 ESC, or such Participating Agency, (b) shall not be obligated, liable or responsible (i) for any orders made by Region 14 ESC, any Participating Agency or any employee of Region 14 ESC or Participating Agency under the Master Agreement, or (ii) for any payments required to be made with respect to such order, and (c) shall not be obligated, liable or responsible for any failure by the Participating Agency to (i) comply with procedures or requirements of applicable law, or (ii) obtain the due authorization and approval necessary to purchase under the Master Agreement. NCPA makes no representations or guaranties with respect to any minimum purchases required to be made by Region 14 ESC, any Participating Agency, or any employee of Region 14 ESC or Participating Agency under this Administration Agreement or the Master Agreement.
- With respect to any supplemental agreement entered into between a Participating Agency and Contractor pursuant to the Master Agreement, NCPA, its agents, members and employees shall not be made party to any claim for breach of such agreement.
- This Administration Agreement supersedes any and all other agreements, either oral or in writing, between the parties hereto with respect to the subject matter hereof, and no other agreement, statement, or promise relating to the subject matter of this Administrative Agreement which is not contained herein shall be valid or binding.
- Contractor agrees to allow NCPA to use their name and logo within website, marketing materials and advertisement. Any use of NCPA name and logo or any form of publicity regarding this Administration Agreement or the Master Agreement by Contractor must have prior approval from NCPA.
- If any action at law or in equity is brought to enforce or interpret the provisions of this Administration Agreement or to recover any administrative fee and accrued interest, the prevailing party shall be entitled to reasonable attorney's fees and costs in addition to any other relief to which such party may be entitled.
- Neither this Administration Agreement nor any rights or obligations hereunder shall be assignable by Contractor without prior written consent of NCPA, provided, however, that the Contractor may, without such written consent, assign this Administration Agreement and its rights and delegate its obligations hereunder in connection with the transfer or sale of all or substantially all of its assets or business related to this Administration Agreement, or in the event of its merger, consolidation, change in control or similar transaction. Any permitted assignee shall assume all assigned obligations of its assignor under this Administration Agreement.
- This Administration Agreement and NCPA's rights and obligations hereunder may be assigned at NCPA's sole discretion, to an existing or newly established legal entity that has the authority and capacity to perform NCPA's obligations hereunder.

Term of Agreement

This Agreement shall be in effect so long as the Master Agreement remains in effect, provided, however, that the obligation to pay all amounts owed by Vendor to NCPA through the termination of this Agreement and all indemnifications afforded by Vendor to NCPA shall survive the term of this Agreement.

Fees and Reporting

The awarded vendor shall electronically provide NCPA with a detailed quarterly report showing the dollar volume of all sales under the contract for the previous quarter. Reports are due on the fifteenth (15th) day after the close of the previous quarter. It is the responsibility of the awarded vendor to collect and compile all sales under the contract from participating members and submit one (1) report. The report shall include at least the following information as listed in the example below:

Entity Name	Zip Code	State	PO or Job #	Sale Amount

Total ____________

Each quarter NCPA will invoice the vendor based on the total of sale amount(s) reported. From the invoice the vendor shall pay to NCPA an administrative fee based upon the tiered fee schedule below. Vendor's annual sales shall be measured on a calendar year basis. Deadline for term of payment will be included in the invoice NCPA provides.

Annual Sales Through Contract	Administrative Fee
0 - $30,000,000	2%
$30,000,001 - $50,000,000	1.5%
$50,000,001+	1%

Supplier shall maintain an accounting of all purchases made by Public Agencies under the Master Agreement. NCPA and Region 14 ESC reserve the right to audit the accounting for a period of four (4) years from the date NCPA receives the accounting. In the event of such an audit, the requested materials shall be provided at the location designated by Region 14 ESC or NCPA. In the event such audit reveals an under reporting of Contract Sales and a resulting underpayment of administrative fees, Vendor shall promptly pay NCPA the amount of such underpayment, together with interest on such amount and shall be obligated to reimburse NCPA's costs and expenses for such audit.

ACKNOWLEDGMENT OF CONTRACTOR REQUIREMENTS

National Cooperative Purchasing Alliance	Guidehouse, Inc.
Organization	Vendor Name
Matthew Mackel	Raveen Rao
Name	Name
Director, Business Development	Partner
Title	Title
PO Box 701273	1676 International Dr., Suite 800
Address	Address
Houston, TX 77270	McLean, VA 22102
Address	Address
Signature	Signature
December 1, 2022	11/18/2022
Date	Date

Tab 3 – Vendor Questionnaire

TAB 3
VENDOR QUESTIONAIRE

Please provide responses to the following questions that address your company's operations, organization, structure, and processes for providing products and services.

Locations Covered

- Bidder must indicate any and all locations where products and services can be offered.
- Please indicate the price co-efficient for each location if it varies.

☑ **All 50 States & District of Columbia**
(Selecting this box is equal to checking all boxes below)

☐ Alabama	☐ Illinois	☐ Montana	☐ Rhode Island
☐ Alaska	☐ Indiana	☐ Nebraska	☐ South Carolina
☐ Arizona	☐ Iowa	☐ Nevada	☐ South Dakota
☐ Arkansas	☐ Kansas	☐ New Hampshire	☐ Tennessee
☐ California	☐ Massachusetts	☐ New Jersey	☐ Texas
☐ Colorado	☐ Michigan	☐ New Mexico	☐ Utah
☐ Connecticut	☐ Minnesota	☐ New York	☐ Vermont
☐ Delaware	☐ Mississippi	☐ North Carolina	☐ Virginia
☐ D.C.	☐ Missouri	☐ North Dakota	☐ Washington
☐ Florida	☐ Kentucky	☐ Ohio	☐ West Virginia
☐ Georgia	☐ Louisiana	☐ Oklahoma	☐ Wisconsin
☐ Hawaii	☐ Maine	☐ Oregon	☐ Wyoming
☐ Idaho	☐ Maryland	☐ Pennsylvania	

☑ **All U.S. Territories and Outlying Areas**
(Selecting this box is equal to checking all boxes below)

☐ American Somoa	☐ Northern Marina Island
☐ Federated States of Micrones	☐ Puerto Rico
☐ Guam	☐ U.S. Virgin Islands
☐ Midway Islands	

☑ **All Canada Provinces and Territories** (Selecting this box is equal to checking all boxes below)	
☐ Alberta	☐ Prince Edward Island
☐ British Columbia	☐ Quebec
☐ Manitoba	☐ Saskatchewan
☐ New Brunswick	☐ Northwest Territories
☐ Newfoundland and Labrador	☐ Nunavut
☐ Nova Scotia	☐ Yukon
☐ Ontario	

If awarded a Master Agreement, will your company extend the terms offered in your Proposal to public agencies in Canada? If no or maybe, please explain.

☒ Yes ☐ Maybe ☐ No

If awarded a Master Agreement, will your company extend the terms offered in your Proposal to private sector customers?

These services are N/A to private sector customers

☐ Yes ☐ Maybe ☒ No

Minority and Women Business Enterprise (MWBE) and (HUB) Participation
It is the policy of some entities participating in NCPA to involve minority and women business enterprises (MWBE) and historically underutilized businesses (HUB) in the purchase of goods and services. Respondents shall indicate below whether or not they are an M/WBE or HUB certified.

☐ Minority/Women Business Enterprise
Respondent Certifies that this firm
a Minority / Women Business Enterprise

☐ Historically Underutilized Business
Respondent Certifies that this firm is a
Historically Underutilized Business

Small Business, MWBE and HUB Growth
If Proposer is a Large, National or Multinational Organization/Corporation, what programs are in place that partners or supports the growth of small and MWEB and HUB business? If yes, please describe.

☐ N/A, we are a recognized small, MWEB or HUB organization

☐ No, we do not have any programs in place.

☐ Yes, we have programs in place.

Residency
Responding Company's principal place of business is in the city of Mclean,
State of Virginia.

Felony Conviction Notice
Please Check Applicable Box (If the 3rd box is checked, a detailed explanation of the names and convictions must be attached):

☐ A publicly held corporation; therefore, this reporting requirement is not applicable.

☑ Is not owned or operated by anyone who has been convicted of a felony.

☐ Is owned or operated by the following individual(s) who has/have been convicted of a felony

Distribution Channel
Which best describes your company's position in the distribution channel:

☐ Manufacturer Direct ☐ Certified education/government reseller

☐ Authorized Distributor ☐ Manufacturer marketing through reseller

☐ Value-added reseller ☑ Other: Consultant

Processing Contact Information

Contact Person	Job Goddard
Title	Contracts Associate
Company	Guidehouse Inc.
Address	1676 International Drive, Suite 800
City/State/Zip	Mclean, VA, 22102
Phone	401-239-9275
Email	slgcontracts@guidehouse.com

Pricing Information
In addition to the current typical unit pricing furnished herein, the Vendor agrees to offer all future product introductions at prices that are proportionate to Contract Pricing. If answer is no, attach a statement detailing how pricing for NCPA participants would be calculated for future product introductions.

☒ Yes ☐ No

Pricing submitted includes the required NCPA administrative fee. The NCPA fee is calculated based on the invoice price to the customer.

☒ Yes ☐ No

Tab 4 – Vendor Profile

Please provide the following information about your company:

- Company's official registered name.

  Guidehouse Inc.

- Brief history of your company, including the year it was established.

  Guidehouse LLP originated as the government consulting practice of PricewaterhouseCoopers LLP. Our government and nonprofit consulting practice was formally created in 2005. Guidehouse brings significant experience assisting Federal agencies and state and local governments with projects to implement ServiceNow applications, ensure effective program and project management, and facilitate transformational change. Our clients include the U.S. Department of Homeland Security, Federal Insurance and Mitigation Administration National Flood Insurance Program (NFIP), and New York Housing Authority. This past work provides ETS with a high-value, low risk partner to achieve its goals.

- Company's Dun & Bradstreet (D&B) number.

  Data Universal Numbering System (DUNS): 022582428

- Company's organizational chart of those individuals that would be involved in the contract.

  1676 International Drive, Suite 800, McLean, VA 22102

  A full list of Guidehouse offices can be found at www.guidehouse.com/locations

• Huntsville, AL – 58 • Folsom, CA – 13 • Gardena, CA – 157 • Los Angeles, CA – 29 • Sacramento, CA – 10 • San Francisco, CA – 43 • Boulder, CO – 76 • Denver, CO – 34 • Washington, DC – 776 • Tampa, FL – 30 • Atlanta, GA – 37 • Chamblee, GA – 90	• Chicago, IL – 266 • Fairview Heights, IL – 24 • Indianapolis, IN – 29 • Annapolis Junction, MD – 72 • Boston, MA – 44 • Burlington, MA – 38 • Woburn, MA – 0 • Ann Arbor, MI – 2 • Detroit, MI – 18 • Minneapolis, MN – 12 • Lawrenceville, NJ – 21 • New York, NY – 317 • Charlotte, NC – 18	• Dayton, OH – 38 • Philadelphia, PA – 6 • Mitchell, SD – 166 • Plankinton, SD – 0 • Vermillion, SD – 27 • Austin, TX – 29 • Houston, TX – 12 • Lewisville, TX – 230 • Salt Lake City, UT – 5 • Falls Church, VA – 16 • McLean, VA -- 692

- Corporate office location.
  - ***List the number of sales and services offices for states being bid in solicitation***.

    Guidehouse has 8,769 employees in the U.S. There are 5,338 Guidehouse employees not aligned to the Guidehouse office of their location. There are 3,431 Guidehouse employees aligned with the Guidehouse office in their location, found above.

    Guidehouse has over 15,000 employees with over 50 locations globally. A full list of Guidehouse locations can be found at Guidehouse.com/locations.

  - ***List the names of key contacts at each with title, address, phone and e-mail address***.

    Job Goddard | Contracts Associate | (202) 481-7382 | jgoddard@guidehouse.com
    Raveen Rao, Partner | (630) 650-1034 | rrao@guidehouse.com
    1676 International Drive, Suite 800; McLean, VA 22102
    www.guidehouse.com

- Define your standard terms of payment.

  Net 30

- Who is your competition in the marketplace?

Guidehouse is a leading global provider of consulting services to the public sector and commercial markets, with broad capabilities in management, technology, and risk consulting. We compete with other entities that offer similar services.

Financial Resources Statement

1.0 Guidehouse Financial Resources Statement

1.1 Organization and nature of business

Guidehouse Holding Corporation (collectively with its subsidiaries, "Guidehouse" or the "Company") is a wholly owned subsidiary of Guidehouse Holdings LLC (the "Parent Entity"). Guidehouse Holdings LLC ("Holdings") is owned principally by investment fund entities affiliated with Veritas Capital ("Veritas") and by Guidehouse Management Holdings LLC ("Management Holdings"). Guidehouse Holding Corporation was incorporated in the state of Delaware on February 8, 2018.

Guidehouse helps commercial and public clients address their most important challenges with innovative solutions that advance conventional thinking and create value for their stakeholders, build trust in society and shape a new future.

On May 1, 2018, Guidehouse acquired 100% of the equity interests (the "Transaction") in PricewaterhouseCoopers Public Sector LLP ("PwC Public Sector"). The Company had no operations prior to the Transaction and the Parent Entity has no operations other than its ownership of the Company.

On October 11, 2019, Guidehouse acquired 100% equity interest of Navigant Consulting, Inc. ("Navigant"). Navigant is a specialized, global professional services firm that primarily serves clients in the healthcare, energy, and financial services industries across a range of advisory, consulting, outsourcing and technology/analytics services in the United States ("U.S.") and internationally, incorporated in the state of Delaware on June 6, 1996. Navigant's name was officially changed to Guidehouse Inc. in October of 2019.

Historically, Guidehouse's fiscal year ended on June 30. However, Guidehouse changed its fiscal year-end to December 31, beginning on December 31, 2019.

Guidehouse has offices in various cities within the U.S., Europe, the Middle East and Asia. Guidehouse's customers are primarily located in the United States ("U.S.") and are substantially comprised of major U.S. Government entities, as well as commercial clients including healthcare providers and payers, utility and energy companies, and financial institutions. Guidehouse derived approximately 46% of its revenues from the U.S. Government (including approximately 15% from the U.S. Department of Defense).

Guidehouse Holding Corporation has the following wholly owned subsidiaries (with some exceptions noted):

- Guidehouse Holdings 2 LLC
- Guidehouse LLP
  - Guidehouse Inc.
    - Guidehouse Managed Services LLC
      - Health System Solutions, LLC (60% owned by Guidehouse Inc.)
      - Children's Health Consortium LLC (70% owned by Guidehouse Inc.)
      - Guidehouse Lithuania UAB
    - Guidehouse Energy Services, LLC
    - Guidehouse Germany GmbH
    - Guidehouse Europe Limited
      - Guidehouse Europe Limited, London, Zurich Branch

- Guidehouse Europe Limited, French Branch
- Navigant Europe Limited, Abu Dhabi Branch
- Navigant Europe Limited, Dubai Branch

- Guidehouse Canada Ltd.
- Guidehouse International LLC
  - Guidehouse International LLC, South Africa
- Guidehouse India Private Limited
- Guidehouse Tanzania LLC
  - Guidehouse Tanzania LLC, Tanzania Branch
- Navigant Consulting, Inc., Korea Branch
- Guidehouse Investments B.V.
  - Guidehouse Netherlands B.V.
  - Guidehouse Netherlands B.V., Belgium Branch
  - Guidehouse Energy Germany GmbH
  - Guidehouse WTTS B.V.
- Guidehouse Inc., Puerto Rico Branch
- Taurian Consulting LLC (49% owned by Guidehouse Inc.)
- FedInnov8 Consulting LLC (49% owned by Guidehouse Inc.)

As a private company, our policy is to strictly refrain from issuing financial statements or any detailed financial information to external parties.

Guidehouse has the necessary financial capacity, working capital, and other resources to perform this contract without assistance from any outside sources.

1.2 Financial Statement Information

Guidehouse's total fee revenues, exclude any cost reimbursable amounts that are considered revenue for financial statement purposes but do not generate income for the business.

Guidehouse has a fiscal year of Jan - Dec.

- LTM Period Ended June 30, 2021- $1,717 million
- Quarter Ended June 30, 2021 - $478 million
- Quarter Ended March 31, 2021 - $432 million
- Year Ended December 30, 2020 - $1,554 million
- Year Ended December 31, 2019 - $1,433 million (pro forma)

The business generates positive cash and is very profitable on an EBITDA (Earnings before interest, tax, depreciation and amortization) basis. Guidehouse has had financial audits conducted in the following periods – Fiscal Year ended June 30, 2016, Fiscal Year ended June 30, 2017, an audit for the stub period May 1, 2018 – June 30, 2018 that represents the Veritas investment period for its fiscal year 2018, Fiscal Year ended June 30, 2019, and the stub period from July 1 2019 – December 31, 2019. Guidehouse subsequently operates on a fiscal year from January through

Royal Bank of Canada
200 Vesey Street – 12th Floor
New York, NY 10281
Telephone (212) 428-6200
Fax (212) 428-6460

August 24, 2021

Re: Guidehouse LLP ("Guidehouse")

To whom it may concern:

At the request of Mr. Ali Izadpanah, Treasurer for Guidehouse, we provide this letter regarding Royal Bank of Canada's ("Royal Bank") banking relationship with Guidehouse.

As of the date of this letter, RBC has a banking relationship with Guidehouse in good standing which began in May 2018. RBC, on its own and as agent for a group of lender institutions, makes available to Guidehouse a multi-year committed borrowing facility for operating requirements. This credit facility size is in the low nine-figure dollar range and is unutilized as of today. Guidehouse has met all of its obligations in connection with the borrowing facility and with our banking relationship generally. We hold the senior management of Guidehouse in high regard.

Please be advised that these representations are as of the date hereof and Royal Bank in no way bears any responsibility to update this letter beyond this date.

Very Truly Yours,

Sean Hakimi
Vice President

cc:
Ali Izadpanah, Guidehouse

- What differentiates your company from competitors?

We have the best team and the flexibility and bench strength to scale to meet the needs of a variety of projects. As you know from working with us, we always bring our best talent to help you solve your most important problems. Our team of professionals brings extensive operational experience, as well as experience with state and local governments and a national track record of success. Our bench strength includes staff members with Certified Change Management Professionals (CCMPs) and Project Management Professionals (PMPs) credentials that can work with a variety of agencies to support varied needs, including the facilitation of discussions on diverse issues, create consensus, and hold stakeholders accountable to move projects forward through a collaborative approach. We bring the best team change management and project management experience.

We deliver exceptional results. As a leading provider of management consulting services to public sector clients across the United States, we are proud of our track record of successful service and our reputation for delivering exceptional results and building trust with our clients. We are a proud recipient of the Malcolm Baldrige National Quality Award. This Presidential accolade is reserved for organizations that demonstrate performance excellence through innovation, improvement, and visionary leadership. **We are the only large professional services firm to achieve this recognition**. Our exceptional standards of quality will be driven in our approach.

- Describe how your company will market this contract if awarded.

Guidehouse will market our NCPA award in three different ways. First, we will market it internally to all Guidehouse Account Executives and Senior Staff nationally by mentioning it at all-hands meetings and explaining the potential impact to them. Similarly, we will also send out email blasts explaining the impact this contract vehicle will have to their business. Second, we will promote this contract vehicle in our ongoing discussions with current and potential government clients. Given the fact many already often do business with NCPA, it is critical we make them aware that Guidehouse is now on this contract, and they can utilize us when going after business. Third, we will add this information to our general marketing material, such as our website, marketing whitepapers, and marketing collateral. Guidehouse has already been marketing that our intent is to be on the NCPA contract as soon as possible.

- Describe how you intend to introduce NCPA to your company.

Guidehouse is already a participant in the NCPA ERP contract vehicle, so there is already an awareness of the benefit of using NCPA contracts. If approved for this NCPA contract, Guidehouse would introduce this NCPA vehicle to our company at the highest levels within our organization. The Guidehouse Customer Relationship team would craft messaging to introduce the Scope of NCPA, define NCPA and the value to Guidehouse as well as the value to our customer/ prospect base, and present to the Partners and Directors on our monthly meeting with our State and Local Segment Partners. Additionally, we would roll out the same messaging to all our contract and proposal managers so as to provide proper and consistent messaging regarding the use and value of NCPA.

- Describe your firm’s capabilities and functionality of your on-line catalog / ordering website.

N/A

- Describe your company’s Customer Service Department (hours of operation, number of service centers, etc.)

Our company's standard hours of operation in all time zones are 8 am to 5 pm, including-Hawaii-Aleutian time, Alaska Time, Pacific Time, Mountain Time, Central Time, and Eastern Time. The company has more than 15,000 professionals in over 50 locations globally. For more information about Guidehouse and who we are, who we guide, our community, and our awards and recognition, please visit: https://guidehouse.com/about.

- Green Initiatives (if applicable)
  - **As our business grows, we want to make sure we minimize our impact on the Earth's climate. We are taking every step we can to implement innovative and responsible environmental practices throughout NCPA to reduce our carbon footprint, reduce waste, energy conservation, ensure efficient computing and much more. To that effort we ask respondents to provide their company's environmental policy and/or green initiative.**
  - At Guidehouse, we are committed to **environmental stewardship**. We see environmental stewardship as critical to the long-term success and sustainability of our business and our clients' businesses. We will responsibly manage our natural resources to help minimize our impact on the planet.
  - **Employees.** Guidehouse will encourage employees to participate in optional programs through which we can utilize our shared wealth of knowledge to improve upon our environmental performance. We will guide employees to make meaningful changes in their everyday life and move toward more sustainable behavior. Guidehouse also aims to help communities improve their environmental health through sustainability initiatives and volunteering.
  - **Energy & Emissions.** Guidehouse is committed to pursuing activities which lower our climate impact. Currently, we do this by monitoring our comprehensive greenhouse gas footprint yearly and have committed to setting reduction targets in line with climate science through the Science Based Target Initiative (SBTi). In addition, we've committed to offsetting the impact of our global office-based electricity use (scope 2 emissions) with 100% renewable energy. Guidehouse encourages sustainable alternatives, such as telecommuting and reducing nonessential travel, which lessen our carbon emissions.
  - **Clients**. Guidehouse leads our clients through the challenging, evolving topic of environmental sustainability through our offerings and by encouraging them to act on leading initiatives. We contribute to the global conversation by serving as a thought leader and innovator as well as partnering with important environmental organizations.
  - **Natural Resources**. Guidehouse responsibly manages our use of natural resources. We reuse and recycle according to local waste management guidelines and encourage employees to reduce waste through sustainable procurement. We aim to reduce our water consumption wherever feasible, especially in high water risk locations.
  - **Supply Chain**. Guidehouse recognizes that our environmental impact is broader than just our operational footprint, which is why we incorporate environmental criteria into the selection of our suppliers. We also evaluate new real estate options based on select environmental criteria and strive to move toward more sustainable choices. Guidehouse will strive to minimize the impact of our most significant supply chain emissions categories through efforts such as sustainable purchasing guidelines.
  - **Compliance.** Guidehouse recognizes the importance of environmental regulations. We ensure continued compliance on all applicable environmental laws and legislations. We are committed to reviewing and updating our environmental policy when appropriate.
- Anti-Discrimination Policy (if applicable)
  - *Describe your organizations' anti-discrimination policy.*

Guidehouse

Document Number:	LEGAL.EC.018	Version No.	2.2
Functional Area:	Ethics & Compliance	Version Effective Date:	June 1, 2021
Region:	Global	Date of Last Review:	June 1, 2021
Document Owner:	Chief Ethics & Compliance Officer	Review Cycle:	Biannual

Non-Discrimination and Anti-Harassment

1.0 Purpose

Guidehouse is committed to promoting a respectful, harassment-free work environment and requires all Guidehouse personnel to act responsibly to maintain that environment. This policy outlines Guidehouse's prohibition of unlawful discrimination, harassment, and retaliation.

2.0 Scope

This policy applies to all Guidehouse Personnel.

3.0 Definitions

- **Guidehouse Personnel –** Shall refer to all Guidehouse employees.
- **Guidehouse Business Partners** – Shall refer to all Guidehouse clients, contractors, suppliers, and vendors.

4.0 Policy

Guidehouse is committed to providing a work environment free of unlawful harassment, including sexual harassment, and discrimination. Guidehouse maintains a strict policy prohibiting harassment and discrimination because of race, color, national origin, ancestry, citizenship status, military status, protected veteran status, religion, creed, physical or mental disability, medical condition, marital status, sex, sexual orientation, gender, gender identity or expression, age, genetic information or carrier status, or any other basis protected by law, ordinance, or regulation ("Protected Characteristics").

Protected characteristics and statements detailing harassment and discrimination may differ by local law. The Employee Handbook for the geographic areas will outline any differences according to local law.

This policy applies to all persons involved in the operation of the Company. The Company prohibits any harassment or discrimination by Personnel and Guidehouse Business Partners in the workplace and in other work-related settings such as business trips, client sites, and business-related social events. Guidehouse will not tolerate harassment by any employee or

any individual associated with the Company. While Guidehouse may not always be able to control the actions of third parties, it will take all reasonable measures to address such harassment.

Guidehouse personnel shall not discriminate in employment, recruitment, compensation, termination, promotions, and other conditions of employment against any employee or job applicant on the basis of a protected characteristic.

When complaints of possible violations of law or policy are reported to any supervisor, supervisors must escalate those concerns. Reported concerns may be escalated to Human Capital, Ethics & Compliance, or to the Ethics Hotline.

Guidehouse personnel shall not retaliate on the basis of a legally protected activity, such as the filing of a complaint of discrimination or harassment, participation in the investigation of such a complaint, or requesting a legal right such as a reasonable accommodation.

This policy provides some examples of harassment and is not intended to cover all actions that may constitute harassment. Nor is the policy designed or intended to limit Guidehouse's authority to discipline or take remedial action for workplace conduct that the Company deems unacceptable, regardless of whether that conduct satisfies the definition of sexual harassment or other forms of unlawful harassment. Guidehouse complies with all applicable federal, state, and local laws where Guidehouse employees are located.

5.0 Guidance

5.1 Harassment-Free Work Environment

Guidehouse is committed to providing a work environment where everyone is treated with respect. This policy prohibits any employee (or Guidehouse Business Partner) from verbally or physically harassing or discriminating against another employee or Business Partner on the basis of any Protected Characteristic.

Guidehouse considers any unwelcome conduct, whether verbal, visual, or physical, that is inflicted on someone because of that individual's protected status to be a violation of this policy.

Harassing behavior may involve causing discriminatory intimidation, ridicule, or insult that has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive work environment, as viewed from the perspective of a reasonable person. Some examples include:

- Making jokes, puns, innuendos, epithets, or slurs with reference to a Protected Characteristic,
- Engaging in negative stereotyping, intimidating acts, or the circulation, display, or posting of written or graphic materials that show hostility toward individuals because of a Protected Characteristic,

- Engaging in behavior designed to, or have the effect of, harassing, demeaning, intimidating, or disparaging any legally protected group.

Such conduct is prohibited at Guidehouse even if the conduct is not sufficiently severe or pervasive enough to constitute unlawful harassment.

5.2 Defining Sexual Harassment

Guidehouse emphasizes that sexual harassment will not be tolerated. Unlawful sexual harassment consists of unwelcome sexual advances, requests for sexual favors, and/or other verbal, visual or physical conduct based on sex, regardless of whether such conduct is motivated by sexual desire, where:

- Submission to such conduct is made, explicitly or implicitly, a term or condition of an individual's employment or promotion,
- Submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual, or
- Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

Sexual harassment is a form of sex discrimination, and it occurs in a variety of situations that share a common element: the inappropriate introduction of unwelcome sexual activities or comments into the work situation. Often, sexual harassment involves relationships between persons of unequal authority and contains elements of coercion, such as when compliance with requests for sexual favors becomes a criterion for evaluating performance, scheduling assignments, or granting promotions. However, sexual harassment also may involve relationships among equals, as when repeated sexual advances or demeaning verbal behavior have a harmful effect on a person's ability to function effectively in the workplace. Sexual harassment may involve people of the same or different genders.

Specific conduct that can constitute unlawful sexual harassment includes, but is not limited to:

- Making unwanted sexual advances,
- Displaying subtle or express pressure for sexual favors,
- Making sexual jokes, innuendoes, advances, or propositions,
- Conducting verbal abuse of a sexual nature,
- Making graphic comments about an individual's body,
- Leering, whistling, touching, pinching, assault, coerced sexual acts, or suggestive, insulting, or obscene comments or gestures,
- Displaying sexually suggestive objects or pictures (including through electronic mail or by downloading such material from the Internet) in the workplace,
- Carrying out other physical or visual conduct of a sexual nature,
- Retaliating or "getting back" at someone who has rejected or complained about sexual advances or propositions.

The question of whether a particular action, incident, or relationship is purely personal and social and without a discriminatory employment impact requires a determination based on all the facts in the particular matter.

5.3 Protected Veterans and Individuals with Disabilities

Non-Discrimination Guidehouse does not and will not discriminate against any applicant or employee because he or she is a covered veteran or because of a physical or mental disability.

Self-Identification

- Individuals defined by the Americans with Disabilities Act or the Rehabilitation Act or a protected veteran, who believe they qualify for consideration under any of Guidehouse's affirmative action programs, may self-identify at any time during the course of their employment with Guidehouse. This can be done by updating your employee profile in Workday. Providing this information is voluntary. The refusal to provide this information will not subject any individual to adverse treatment by Guidehouse.

- The information provided will be kept in confidence to the extent possible, except that:
  - Supervisors, human capital, partners and/principals may be informed regarding restrictions on the work or duties of individuals with disabilities, and regarding necessary accommodations;
  - First aid and safety personnel may be informed, when and to the extent appropriate, if conditions might require emergency treatment; and
  - Government officials engaged in enforcing applicable laws may be informed. The information provided will be used only in ways that are not inconsistent with VEVRAA, and other applicable laws.

5.4 Non-Retaliation for Protected Activities

Employees and applicants will not be subjected to harassment, intimidation, threats, coercion, or discrimination for engaging in protected activities such as:

- Filing a complaint;
- Assisting or participating in an investigation, compliance evaluation, hearing, or any other activity related to the administration of Section 503, Vietnam Era Veterans' Readjustment Assistance Act of 1974, as amended, ("VEVRAA") or any other federal, state, or local law requiring equal opportunity for individuals with disabilities or covered veterans;
- Opposing any act or practice made unlawful by such laws; or
- Exercising any other right protected by such laws.

5.5 Reporting and Resolving Incidents

- Guidehouse encourages victims of harassment and discrimination to report concerns internally to Ethics & Compliance. Guidehouse will investigate all concerns in a timely, objective, and thorough manner. Investigations are conducted confidentially, meaning they are discussed only on a need-to-know basis.
- Guidehouse implements appropriate remedial action for substantiated policy violations, and even if unsubstantiated, where remedial action is deemed warranted. Guidehouse strictly prohibits retaliation against Guidehouse personnel or applicants for reporting in good faith actual or suspected violations of law or Guidehouse policy or for participating in the investigation of reported concerns.

- Victims of harassment or discrimination also have the opportunity to file complaints externally. Refer to the Federal & State Required Notices section of the Handbook.

6.0 Responsibilities

6.1 All Personnel

Report all issues related to discrimination, harassment, or retaliation in accordance with the *Reporting Concerns* policy.

6.2 Supervisors

It is the responsibility of supervisors to take immediate corrective action to deal effectively with harassment once such behavior has been brought to their attention. Supervisors must refer all complaints involving harassment to the Human Capital, Ethics & Compliance, or the Ethics Hotline.

Supervisors who knowingly allow or tolerate harassment or retaliation are in violation of this policy and subject to discipline.

6.3 Ethics & Compliance

Conduct investigations into allegations of any form of discrimination, harassment, or retaliation.

7.0 Questions & Concern Reporting

Concerns regarding this policy should be reported immediately to Ethics & Compliance at ethics@guidehouse.com or to the Ethics Hotline at guidehouse.ethicspoint.com.

Violations of this policy may result in disciplinary action depending on the nature and severity of the violation, up to and including termination of employment. Violations of this policy may result in disciplinary action depending on the nature and severity of the violation, up to and including termination of employment.

- Vendor Certifications (if applicable)

– *Provide a copy of all current licenses, registrations and certifications issued by federal, state and local agencies, and any other licenses, registrations or certifications from any other governmental entity with jurisdiction, allowing respondent to perform the covered services including, but not limited to, licenses, registrations, or certifications. Certifications can include M/WBE, HUB, and manufacturer certifications for sales and service.*

  Not Applicable, as Guidehouse Inc. is a professional services firm.

Tab 5 – Products and Services / Scope

Achieving a Better State of Health

Guidehouse is currently ranked as the second largest healthcare consulting firm in the U.S. We help clients address their toughest challenges with a focus on markets and clients facing transformational changes, technology-driven innovation, and significant regulatory pressure. Across a range of advisory, consulting, outsourcing, and technology/analytics services, we help healthcare clients create scalable, innovative solutions that prepare them for future growth and success.

Our healthcare consulting services range from program strategy at the highest levels within federal/state/local governments to the most detailed operational aspects of program implementation, program needs assessments, market assessments, data analysis, and compliance activities.

Figure 1. Guidehouse Current Healthcare Clients

Figure 2 shows examples of our team members, programs, and services. NCPA clients will benefit from a diverse set of perspectives; our staff includes former public health leadership, Medicaid leadership, social services agency leadership, United States Health and Human Services (HHS) and Centers for Medicare and Medicaid (CMS) leadership, managed care, provider, and private healthcare entity leadership.

Figure 2. Examples of the Guidehouse Team's Experience and Services

Our primary solutions span:

- Finance and Accounting: Guidehouse supports all aspects of public sector budgeting performance, zero-based budgeting, revenue and expense projection, budget reconciliations, and analysis to maximize federal matching.
- Operational Effectiveness: Our consultants help healthcare providers and public agencies achieve and sustain robust clinical and healthcare workforce management, as well as operational and financial results.
- Clinical Transformation: Composed of clinicians, administrators, public health leaders, and health plan executives with decades of experience, Guidehouse's clinical transformation team delivers aligned solutions designed to achieve excellence in participant and organizational outcomes.
- Managed Services: Guidehouse's revenue cycle managed services practice, including its innovative processes and technology, is recognized as one of the best in the industry,

having earned multiple Best in KLAS Awards. The firm also has experience in successfully developing and leading health system revenue cycle organizations.

- Digital / Health IT: Guidehouse experts provide comprehensive technology solutions in such areas as cybersecurity, EHR interoperability and optimization, data analytics, enterprise resource planning, digital transformation, IT strategy and effectiveness, process automation, workflow analysis, and much more.
- Strategy and Innovation: Guidehouse works with organizations to provide solutions for developing a market-leading strategy for long-term top performance, growth, and sustainability.

Guidehouse brings extensive experience in comprehensive case management strategies, implementation, and evaluation of program effectiveness – including for managed Medicaid models, regional and county-administered public case management programs for children and families living with disabilities, behavioral health, substance abuse, and chronic disease. As technical assistance providers, Guidehouse is well-prepared to get right into the trenches of working together with NCPA clients to achieve a better state of health (**Figure 3**).

We are passionate about helping our clients achieve a better state of health and can provide NCPA's customers with the best team to achieve their goals. Guidehouse has been supporting federal, state, and local government agencies for more than 120 years. With 15,000+ employees in 50 offices around the world, we are ready to support NCPA's clients. We have a deep bench of consultants that includes senior leaders in public and private healthcare sectors, health and human services agencies, and a myriad of other state agencies who have been in your shoes. Our strategy and change management professionals include organization design and lean six-sigma process experts who work with some of the largest healthcare organizations in the country. We will offer a fresh, independent perspective while also bringing deep expertise and lessons learned from the commercial and private sectors.

Figure 3. Guidehouse Experience Spanning the Full Healthcare Industry Spectrum

Guidehouse has significant demonstrated experience in all the areas listed in **Figure 3** including, but not limited to, strategic assessment and planning, organizational design, change management, risk assessment and mitigation, communication, and improved client service delivery. Our experience spans federal, state, and local governmental initiatives. Additionally, we bring depth of expertise with a focus on care across the continuum, whole-person health, and supporting clients in the definition and evaluation of value-based care strategies. Our combined experience between our private and public sector markets gives us a significant advantage for strategic planning in either sector, as many strategic initiatives and operational activities regularly cross lines between private and public markets.

Assess the current conditions and options for healthcare strategies through assessment of market trends, identification of best practices in other comparable locations, and application of advanced analytics. These strategies may include financing, delivery, coverage, infrastructure, health IT and other strategies, and may include response to external changes (e.g., federal healthcare reform).

Guidehouse has extensive experience in assessing conditions and options for healthcare strategies that develop strategic plans/options tailored specifically for our clients, particularly about market trends that connect back to publicly purchased healthcare. Our approach is structured around client-specific critical requirements and calibrated based on our experience delivering facilitation, strategic planning, and change management services to tackle the most pressing public health problems nationally and worldwide. We understand how competing motivations and activities across an organization and various stakeholders can complicate strategic planning projects, and we pride ourselves in our ability to thrive when diverse groups and perspectives are involved.

Our approach allows us to establish and deliver on our collaboration, reach project management milestones, and serve as a facilitator that leads the strategic planning process for long-term success. We are committed to not just offering the data and information clients need in high-gloss reports; we seek to use data, information, and business expertise to serve as change agents who are conduits to successful healthcare business and patient outcomes. We bring strength, expertise, and tools as a consultancy – as well as our role as national leaders in state and publicly funded health and human services who have directly supported policy-making, innovation and program design, and improvement initiatives across all states (**Figure 4**).

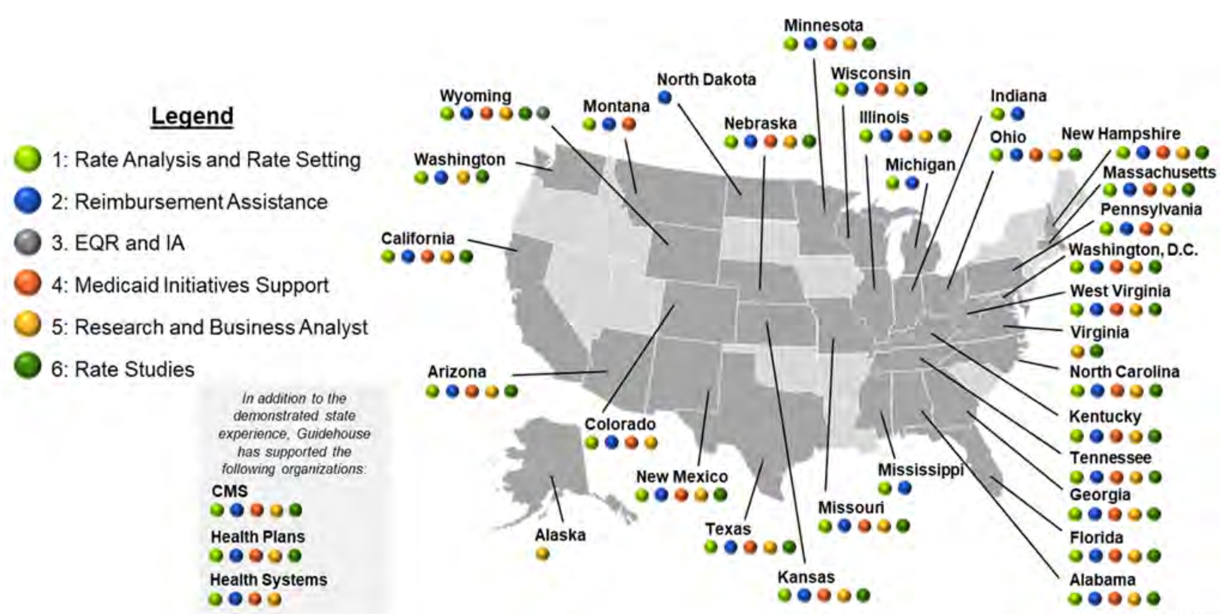

Figure 4. Guidehouse Map of State Healthcare Experience

General activities and outputs of each phase are outlined in the detailed narrative below, though we will tailor this approach to the specific needs and requirements of the engagement.

- **Phase 1:** Program Assessment. Align expectations and assess organizational landscape and current impediments.
- **Phase 2:** Strategic Plan Development. Finalize detailed facilitation plan, gather input from key stakeholders, identify and address gaps, and draft final deliverable.
- **Phase 3:** Strategic Plan Finalization. Analyze inputs from planning process and deliver final strategic plan project closeout.

Guidehouse has a robust team of former healthcare leaders and executives, along with frontline staff, with experience developing strategic plans. These professionals have been in the shoes of NCPA's clients and are well-versed in the activities necessary to develop action-oriented strategic plans, including stakeholder engagement, cross-agency collaboration, and the development of processes to track and monitor strategic plan outcomes and milestones.

Guidehouse's consultants are heavily involved in analyzing and estimating the financial, quality, and access impacts of potential policy changes for our clients. Many of these policy and impact analyses are related to changes in federal or state requirements or new directives from state or federal directives. Other analyses may be more exploratory in nature when a state is looking for data-driven guidance related to proposed policy or program changes. For all policy impact analyses, our team assesses and determines the best way to provide understandable analysis for various stakeholders. We do this by modeling the impacts of program changes using the client's data or by researching and relying on external studies or analyses, making appropriate adjustments to add credibility or tailor it more specifically to the clients' purposes.

Guidehouse's approach to health program development, evaluation, and assessment combines analytical expertise in assessment, gap analysis, and solutions in the healthcare delivery arena with experienced healthcare professionals as well as healthcare executives and clinicians. We conduct stakeholder meetings, interviews, focus groups, and surveys with state representatives and stakeholders to get a better understanding of the types of challenges and barriers they are facing that infringe on their ability to deliver care across their populations. We also support these inputs with data analytics, market research, and financial modeling. We tailor our approach to conducting evaluations and assessments by first identifying and defining the requirements and objectives of the study and then employing a combination of analytic tools and research methods that are best suited to achieving those objectives. We highlight these tools below:

Healthcare Data Analysis – We will measure an array of program indicators to provide insights into program operations, finances, clinical outcomes, service utilization, and other measurable research components tied to study objectives. Leading with this step allows the evaluation team to draw objective early conclusions and theorize hypotheses about the current state of the program. These conclusions and hypotheses will inform and be tested by other evaluation activities, including stakeholder engagement, and can service as a "source of truth" on program elements and performance.

Policy Analysis – We will gather and review pertinent program documents and reports, and, where necessary, conduct comparative analysis to similar and alternative state models to deepen our understanding of existing policies, procedures, regulations, and other program parameters that may need to be modified in the future to modernize and improve how the program or delivery system functions.

Stakeholder Interviews – We conduct interviews with stakeholders, including state leaders and program managers, along with front-line team members, to gain their insights on the current state of the program, what is performing well vs. what needs to be improved, and what internal stakeholders would like to see in the future. We are well versed in conducting interviews in person or virtually.

Focus Groups – Focus groups can be a critical component of qualitative research where we harness the perspective, lived experience, and program insights of individuals involved with a program (e.g., participants, caregivers, providers, case managers, etc.) to learn about needs and future opportunities for the program. We work to obtain these insights and identify trends in feedback while also elevating any targeted inputs using outreach methods intended to solicit broad and holistic input from external stakeholders. We are experienced with conducting both in-person and virtual focus groups and have conducted hundreds of them as a firm in the last five years, spanning a wide variety of stakeholders, including older adults, persons with disabilities, tribal healthcare providers and constituents, family caregivers, policymakers, healthcare executives, etc.

Surveys – We frequently use surveys to capture both qualitative and quantitative data to inform program development, evaluation, and assessments. We have capabilities to conduct both telephone and web-based surveys. Surveys allow us to capture data from a broader group of stakeholders than interviews and focus groups. They also provide the ability to capture and collect data. For example, in our evaluations of reimbursement systems, we may develop and administer cost and wage surveys to collect detailed cost and staffing information from program providers to help evaluate current reimbursement.

Research and Market Scans – We regularly conduct research and market scans as part of our public health and healthcare delivery system engagements, and closely monitor trends at both a national and state level on healthcare policy in general. We use this research to inform program evaluation, including recommendations for program improvements.

Financial Impact Analyses, Guidehouse's Government Healthcare Solutions Experience – Guidehouse leads the field for public payers in the areas of payment system design, cost reporting, analysis for institutional and non-institutional providers, program evaluation, healthcare reform, and the development and financing of consumer-directed services and managed-care systems. We have an unparalleled group of colleagues that range from data scientists to health practitioners to former leaders of federal and state agencies. Our consultants include individuals with advanced degrees in business administration, public policy, public health, and social service administration, as well as physicians, nurses, healthcare planners, strategists, reimbursement specialists, and regulatory and policy experts.

We have an in-depth working understanding of the needs and interests of the different parties participating in the U.S. healthcare system in addition to a

Guidehouse's Experience – Examples of Reimbursement Systems
• Inpatient hospital services using the severity-based Medicare Severity Diagnosis Related Groups ("MS-DRGs") and All-Patient Refined DRGs ("APR-DRGs'), and those that preceded severity-based models, including the Centers for Medicare and Medicaid Services DRGs ("CMS-DRGs") and All-Patient DRGs ("AP-DRGs") • Outpatient services using prospective payment systems involving Medicare's Ambulatory Payment Classifications ("APCs") and Integrated Outpatient Code Editor ("I / OCE"), and other bundled approaches, such as Enhanced Ambulatory Patient Groups ("EAPGs") • Supplemental hospital, physician, ambulance, and nursing home payment programs involving DSH and IGT financing mechanisms and provider assessments • Physician and other practitioner services, including both Resource-Based Relative Value Scale ("RBRVS") systems and other fee schedule approaches • Psychiatric residential treatment facilities ("PRTFs"), outpatient residential treatment centers ("RTCs") and community mental health and substance abuse centers • Behavioral health services, including developmental disabilities, mental health, and substance abuse services • Federally qualified health centers ("FQHCs") and Rural Health Clinics ("RHCs") • Ambulatory Surgery Center ("ASC") services, using ASC and ASC-like fee schedules • School-Based Services Medicaid reimbursement for Local Education Agencies

special appreciation for the goals and challenges of state public healthcare programs. Our experience with commercial clients enhances our work with public payers as commercial payers are in the process of migrating toward many of the new payment and service delivery approaches – such as ACOs, medical homes, and global bundling models – that federal and state governments are also considering to contain costs and improve the quality of care.

Our consultants provide assistance in virtually all areas of healthcare policy and reimbursement, including the following:

- Analysis, development, implementation, updating, and evaluation of a wide range of reimbursement systems
- Analysis of large MMIS paid claims datasets and cost reports for rate analysis and rate setting, payment accuracy assessment, identification of reimbursement-related issues and impacts, support program monitoring, and litigation support
- Leading practices and other research regarding Medicare and other state Medicaid reimbursement systems for institutional and non-institutional providers
- Design, implementation, and evaluation of Medicaid supplemental payment programs for hospitals, nursing facilities, physician, and ambulance services. This includes the use of provider taxes, DSH, intergovernmental transfer (“IGT”), and certified public expenditure (“CPE”) funding
- Cost finding, review of cost report surveys and other cost data submissions, and cost report design, development, and implementation for disability and other HCBS programs, RTCs, and local education agency-provided school-based services for Medicaid payment rate development
- Training state personnel and providers on new policies, regulations, or technical calculations related to changes in reimbursement systems
- Evaluation of service delivery models and coverage expansions, including:
  - Selective contracting and managed care
  - Expansions of Medicaid and Children’s Health Insurance Program (“CHIP”) coverage, including 1115 Federal waiver evaluations and cost analyses
  - Evaluation of managed care 1115 waiver programs
  - HCBS waiver programs
  - Family planning waiver programs
  - EQR and independent assessments of waiver programs

We also assist with the implementation of new service delivery models, such as:

- Home- and Community-Based Waiver Services
- Alternative payment models
- Managed care
- ACOs and Patient Centered Medical Homes (“PCMH”) / Medical Home models
- Expansions of public programs to parents of Medicaid and CHIP, children, and other populations
- PACE waiver programs
- School-Based Services Medicaid reimbursement for Local Education Agencies

Guidehouse has extensive experience collaborating with healthcare entities of all types, including health systems, state health agencies, commercial payers, and local health authorities, to develop strategic plans and recommend healthcare strategies. A sample of our qualifications is included below to demonstrate the best practices our team will bring to NCPA’s clients.

Kentucky ARPA Home and Community Based Services | 2022
Guidehouse has worked with Kentucky DMS since January 2022 to begin planning and implementing Kentucky's American Rescue Plan Act (ARPA) Section 9817 HCBS spending plan initiatives. We have supported DMS across the following key areas: • Project management and CMS reporting • Rate study and financial advisory • 1915(c) waiver feasibility study • Functional assessment modernization and waitlist management • Stakeholder engagement and strategic communications • Waiver and policy support and participant-directed services (PDS) ***Project Management*** • Guidehouse established a project management office to organize activities within the engagement workstreams and to plan for future ARPA spending plan efforts. The team: – Assisted DMS in drafting and finalizing CMS quarterly reports outlining progress updates for each ARPA spending plan initiative – Developed a comprehensive workplan outlining the tasks, meetings, and deliverables for each workstream – Established a regular meeting cadence with DMS leadership and individual meetings for workstream-specific discussions; recorded and shared weekly meeting minutes with DMS – Gathered weekly talking points on workstream progress for the Commissioner to provide regular updates prior to weekly conversations with sister agency leaders – Provided subject matter expertise to DMS leadership on a continuous basis ***Rate Study*** • Guidehouse has supported DMS in conducting a rate study for home and community-based services provided through Kentucky Medicaid's 1915(c) waivers. Key accomplishments include: – Established a rate study workgroup with DMS, CHFS sister agencies, and public stakeholders (e.g., providers, advocates, associations); collaborated during monthly workgroup meetings to inform the decision-making process – Developed and conducted a HCBS provider cost and wage survey with over 180 survey responses; provided training and technical assistance related to the survey process – Conducted data analyses on survey results to inform wage and benefit components – Researched external data sources to inform wage and benefits components ***1915(c) Waiver Feasibility Study*** • Developed a comprehensive workplan identifying key tasks and timeframes; also developed a proposed study methodology ***Waitlist Management*** • Developed a comprehensive workplan identifying key tasks and timeframes; also began developing a proposed implementation strategy ***Stakeholder Engagement and Strategic Communications*** • Developed several major deliverables surrounding Kentucky's ARPA spending plan to support stakeholder and public education. Deliverables included: – Written updates on ARPA initiatives for public distribution (planned for semi-monthly cadence) – Stakeholder webinar slide deck for participants and providers (planned for quarterly cadence) – Various educational one pagers and briefings, including ARPA maintenance of effort fact sheet and rate study legislative briefing ***Waiver And Policy Support and Participant-Directed Services*** • Developed an Appendix K inventory that compiles each of the Appendix K policies for Kentucky's six 1915(c) waivers and matches them with any relevant CMS guidance or Kentucky Administrative Regulations (KAR) • Developed a comprehensive workplan identifying key tasks and timeframes regarding PDS modernization

Support Participating Agency in the design of healthcare innovation models, with non-exhaustive examples including transitions to Medicaid Managed Care; statewide value-based payment programs; strategies for special needs populations; rural health access; market stabilization; and cross-cutting collaborative approaches for other population health priorities (e.g., opioids).

Guidehouse excels in the development of transformational models of healthcare delivery and financing. We have worked with a wide array of states and municipalities as they invested in efforts to provide coverage and access to citizens in cost-effective and reliable ways. We are also uniquely positioned for provider organizations and commercial payers, with the ability to connect key stakeholders for transformational change. We work across the entire continuum of the care delivery system, both domestically and abroad, and understand the barriers to adoption and practical implications of universal healthcare adoption.

Guidehouse has a large team of highly qualified staff, consisting of healthcare policy experts, clinicians and former senior leadership from CMS, state Medicaid and health and human services agencies, and hospitals with years of experience with delivery system reform initiatives. In addition to our program and policy expertise, our actuaries are adept and experienced in managing and performing the necessary data analytics, risk adjustment, and financial modeling for maintaining and implementing complex payment models to support reform efforts. We can deliver technical support for any number of types of programs NCPA's clients may be considering.

While our specific approach will vary by the type of project and assistance requested by the client, we describe our general approach to undertaking significant delivery system reform efforts below. We will tailor our methodology for each Work Order; for example, a reform effort focused on building workforce capacity will require a different approach than one dedicated to developing new reimbursement models for social determinants of health.

To support our clients in advancing structural change and best practices, our team draws from both expertise and best-in-class tools, while also applying our proprietary change management solutions. We commonly apply (re)Vision™, our homegrown Change Management methodology, which provides a highly effective, collaborative, and customer-centric approach to transformation. (re)Vision™ incorporates three building blocks: people-centric change, human centered design (HCD), and behavioral economics to drive sustainable individual and organizational change across complex, multi-layered projects (**Figure 5**).

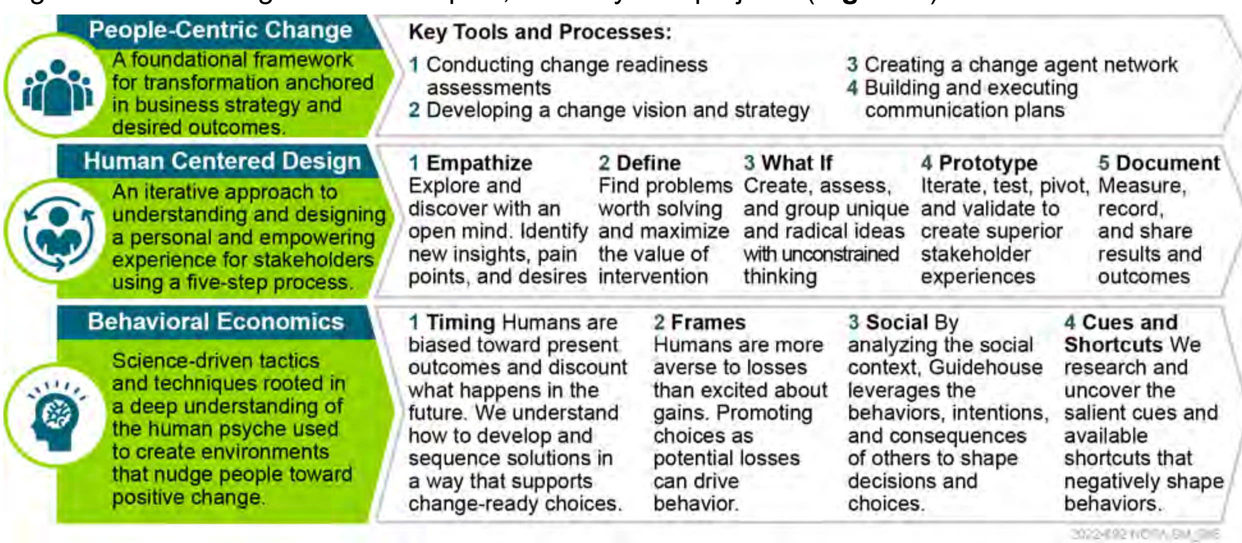

Figure 5. (re)Vision™ Building Blocks

Guidehouse's five-phase (re)Vision™ framework (as **Figure 6** depicts), combined with iterative processes, tools, accelerators, and techniques, helps engage leadership and users with personal, empowering experiences to drive buy-in at the time of adoption as well as long-term, sustainable change.

We believe stakeholder engagement is key to the OCM process and include it for each element of the transformation:

- **(re)Search:** know who you are
- **(re)Imagine:** envision your future
- **(re)Align:** build the solution
- **(re)Engage:** deliver impact
- **(re)Inforce:** review and iterate

Figure 6. (re)Vision™ Framework

We are an industry leader in change and recognized by the Association of Change Management Professionals for our alignment with the leading industry standard. Guidehouse will deploy an agile, flexible (re)Vision™ methodology that allows for iteration throughout the transformation. For example, with each module implemented, the team will use our (re)Vision™ methodology pre- and post-implementation to facilitate transformation.

The cornerstone of our (re)Vision™ methodology is co-creation through engagement and collaboration with impacted stakeholders early and often to safeguard OCM plans. The activities will align with the enterprise customer base. Engagement with stakeholders at contract start and throughout the project lifecycle (before, during, and after the change) enables us to create an effective OCM plan with key leaders at the table that appreciates, incorporates, and addresses potential risks and barriers to successful change based on input from impacted stakeholders and across projects. We base development, delivery, and iteration of OCM efforts on findings and outcomes from stakeholder engagement activities during all stages of the project.

Transitions to Medicaid Managed Care

The Guidehouse team has been assisting states with Medicaid managed care program administration and oversight for more than 25 years – we have experience with Medicaid programs in more than 45 states (**Figure 7**). We work with states on Medicaid managed care program planning and implementation, contract and procurement development, monitoring and oversight, quality management, and program evaluation. In this section, we present our experience in providing Medicaid managed care contract and policy development and/or oversight as the prime contractor across numerous states.

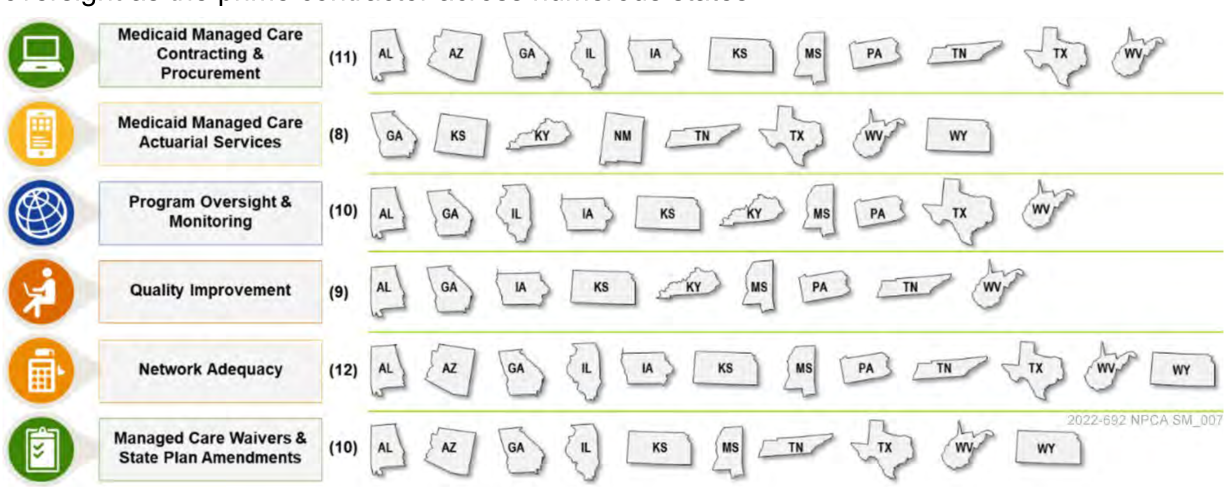

Figure 7. Guidehouse Managed Care Experience at a Glance

As a leader in Medicaid consulting, our firm is recognized for hands-on experience in Medicaid managed care programs and delivery systems. Our consultants bring deep knowledge and experience to each project, as many have worked in executive positions within various state governments and in top leadership and operational positions within health plans.

In **Figure 8**, we provide a summary of our experience in selected states across key implementation focus areas, per our industry experience. This table summarizes our experience providing managed care services represented in this RFP; however, it is not an exhaustive list.

	Medicaid Managed Care Experience										
State Years of Service	**AL** '13-pres.	**AZ** '93-pres.	**GA** '07-pres.	**IL** '92-pres.	**IA** '15-'16	**KS** '94-'96 '14-'19	**MS** '10-'17	**PA** '01-'13	**TN** '04-pres.	**TX** '96-'98 '05-'09 '14-'15 '19-pres.	**WV** '18-pres.
Identifying Numbers	1	2	3	4	5	6	7	8	9	10	11
Managed Care Contracting and Compliance											
Compliance with Federal Regulations	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Managed Care Contracts	✓	✓	✓	✓	✓		✓	✓		✓	✓
Managed Care Procurements	✓	✓	✓		✓	✓	✓	✓	✓	✓	
Readiness Reviews	✓		✓		✓		✓	✓	✓	✓	✓
Managed Care Operations and Oversight											
Managed Care Monitoring	✓		✓	✓	✓	✓	✓	✓		✓	✓
Network Adequacy	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Dashboard / Scorecard Development	✓		✓	✓	✓	✓	✓	✓		✓	✓
Data Analysis	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Annual Reports						✓	✓	✓	✓		✓
Program Integrity	✓	✓					✓	✓		✓	✓
Quality Management	✓		✓		✓	✓	✓	✓			✓
EPSDT	✓		✓			✓	✓	✓			✓
Legislative Support	✓	✓	✓		✓	✓	✓	✓	✓		✓
Managed Care Operations and Oversight											
Managed Care Waivers and Program Design	✓	✓	✓	✓		✓			✓	✓	✓
Quality Strategy	✓		✓			✓	✓	✓			✓
Section 1115 for SUD	✓					✓					✓
1915(c) Waivers	✓		✓	✓	✓	✓		✓			✓
Special Populations and Models											
Foster Care Children			✓		✓	✓	✓	✓		✓	✓

State Years of Service	Medicaid Managed Care Experience										
	AL '13-pres.	AZ '93-pres.	GA '07-pres.	IL '92-pres.	IA '15-'16	KS '94-'96 '14-'19	MS '10-'17	PA '01-'13	TN '04-pres.	TX '96-'98 '05-'09 '14-'15 '19-pres.	WV '18-pres.
Identifying Numbers	1	2	3	4	5	6	7	8	9	10	11
Long-Term Services and Supports	✓	✓		✓	✓	✓	✓	✓	✓		✓
Behavioral Health	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Alternative Payment Models	✓	✓	✓	✓		✓	✓	✓	✓		✓
Social Determinants of Health	✓	✓	✓			✓	✓	✓	✓	✓	✓
Rural Health	✓		✓			✓	✓	✓	✓		
New Delivery or Payment Methodologies	✓	✓	✓	✓		✓		✓	✓		

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Figure 8. Our Experience in Medicaid Managed Care Program Administration

Statewide Value-Based Payment Programs

Publicly funded healthcare purchasers are often under pressure from the federal government and state legislatures to save money, and value-based payment (VBP) arrangements are a potential solution to control costs while delivering more efficient, higher-quality service. While VBP strategies vary in maturity depending on the nature of the service being purchased, Guidehouse is an industry leader in healthcare related to value-based purchasing and consistently provide industry experience, including work with many of the nation's leading commercial payors and healthcare systems as they moved to risk-based strategies that drive improved value when purchasing care. We offer compelling teaming in VBP should clients seek to design and implement more innovative purchasing strategies in the future.

Guidehouse has proven experience implementing VBP arrangements at the state and payor level, including two previous examples offered below:

- **Pennsylvania Office of Medical Assistance Programs (OMAP):** We assisted OMAP in the implementation and operation of their HealthChoices managed care program and with the development of a performance-based contracting program to reward MCOs and providers in the state for high-quality performance in delivering care to HealthChoices consumers. Using HEDIS data to measure and reward MCOs for their performance, the program encourages health plans to improve quality while reducing health care costs over the long-term.
- **Connecticut Children's Hospital:** Pediatric Behavioral Health Services: Guidehouse helped develop Medicaid value-based payment options to improve access, quality of care, and cost-efficiency for children with behavioral health needs. We prepared a process map to identify key touchpoints at which behavioral health interventions would be most effective, estimated cost-savings opportunities, and researched state best practices. Options included:
  – Medical home model for children with BH needs
  – Crisis stabilization to reduce ED visits
  – Bundled payments for pediatric BH conditions

– Maternal partnerships for substance use

Guidehouse has access to a broad team of national experts in VBP who actively advise the nation's largest health payors and providers on value-based care. As a result of our capabilities and performance specific to value-based consulting services, Guidehouse has been awarded the #1 consulting spot in recent years by KLAS, an industry-trusted research and insights firm that ranks organizations and their solutions according to feedback from the healthcare professionals who use them.

Long-Term Care and Disability Supports

The Guidehouse team is keenly invested in national long-term services and supports and has broad, industry-leading experience over the last decade in supporting state and local governments with service assessment and improvement to older Americans and persons living with a variety of disabilities, as shown in **Figure 9**. Our healthcare consulting services range from program strategy at the highest levels within state government to the most detailed operational aspects of program implementation, program needs assessments, market assessments, data analysis, and compliance activities. We have also supported the federal government, advising and developing national planning strategies for service lines across the Veteran's Health Administration, including for Community Living Centers, Spinal Cord Injury treatment, and Behavioral Health. Our team includes professionals with deep continuum-wide expertise and acumen.

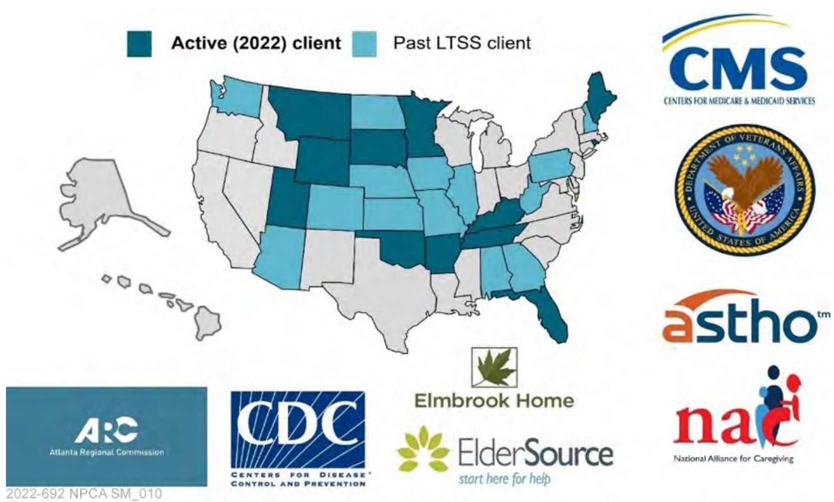


Figure 9. Guidehouse's National LTSS Footprint

Behavioral Health

We have helped numerous states, health systems, and provider organizations to design and implement initiatives targeted to improve the care delivery for individuals with behavioral health conditions, including Serious Emotional Disturbance. These initiatives include patient-centered medical homes ("PCMHs"), Health Home programs, long-term services and supports, school-based behavioral health programs, and Medicaid provider-sponsored health plans that integrate physical and behavioral health. Through real provider experience, we understand the complexities surrounding the integrated delivery of these services and have addressed associations, public / private executives and even healthcare committee leaders on the Hill regarding the missed clinical and financial performance opportunities when services are not integrated. Our consultants have worked with multiple states to develop delivery systems involving the full array of behavioral health providers including Psychiatric Residential Treatment

Facilities ("PRTFs"), Residential Treatment Centers ("RTCs"), Community Mental Health and Substance Abuse Centers ("CMHCs"), and individual practitioners.

Rural Health Access and Market Stabilization

As rural hospitals continue to close, nearly 20% of the US population living in rural areas is at risk of losing access to what is often their primary source of medical services. People in rural communities are more likely to suffer from poor health outcomes and experience higher incidences of chronic conditions than those in suburban and urban communities. Yet, their local hospitals are closing, contributing to further health declines, increased rates of mortality, outmigration for care, and job loss. For years, federal, state, and local agencies, academic medical centers, and other philanthropic groups have invested in rural communities to improve the quality of and access to care while trying to contain costs. However, these efforts have been individually aimed at focused regions and populations rather than the larger health ecosystem. Compounding the lack of access to care, one in four rural hospitals today is at a high risk of closure, while more than 60% of provider shortages occur in rural communities.

Federal, state, and local governments, along with regional providers and payers, are trying to solve these challenges, but in uncoordinated siloes. As stakeholders and lawmakers seek answers to build equity and improve health, Guidehouse believes a collective approach can bring better value to at-risk populations. Joint allocation of dollars to a new, comprehensive model that addresses emergency care, digital enablement, and wellness and prevention can improve overall access and rural health outcomes.

Guidehouse is at the forefront of addressing rural healthcare sustainability, having published thought leadership on compelling approaches to stemming the loss of healthcare delivery. We also have published two indexes of Guidehouse's Rural Healthcare Sustainability Index, a comprehensive index that has been widely used and cited by state and federal leaders, the national media, healthcare provider associations, and other interested stakeholders. Thus, as a firm, we are recognized as a partner at the forefront of leading interventions and solutions related to rural healthcare access.

As a spotlight on our depth of understanding rural health needs, we highlight work completed in 2022. Leaders of a 49-bed rural hospital embarked on an initiative to proactively rebrand, with the goal of becoming a regional healthcare network. However, a more than 20% decline in inpatient volumes and a drop in days' cash on hand – from 54 to 21 days – forced leadership to put the project on hold.

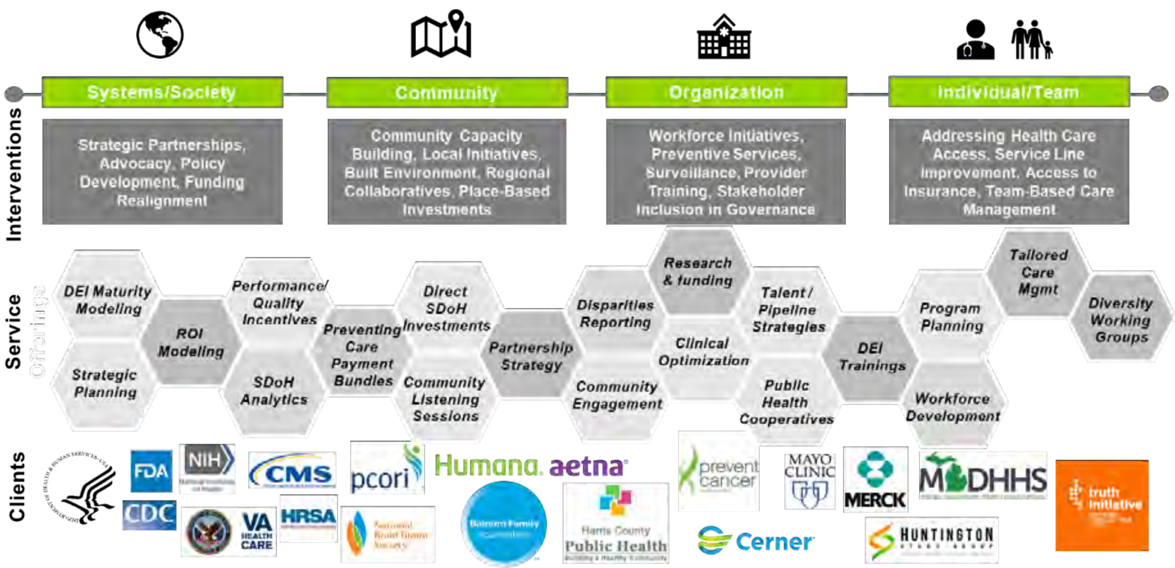
The hospital contracted with Guidehouse to initiate an enterprise-wide performance assessment and margin improvement initiative. Guidehouse set a rapid analysis in motion, across seven areas—workforce innovation, growth strategy, change management, supply chain, physician enterprise, care management, and revenue cycle.

Guidehouse revenue cycle experts quickly discovered the hospital could strengthen revenue capture and boost cash by improving the accuracy of patient classification and reducing discharged not final billed (DNFB) pending physician action to $0. The hospital adopted these steps in just the second week of its work with Guidehouse. By week three, these efforts boosted net patient revenue by 8%.

Guidehouse then set out to identify ways to achieve $32 million in operational savings in one year, a primary goal of the hospital's leadership team. Our full impact is depicted.

Cross-cutting collaborative approaches for other population health priorities (e.g., opioids)

As the long-term impacts of the COVID-19 pandemic and public health emergency experience on society have shown the nation, long-standing social and economic disparities underlying the healthcare system have driven health inequity. Exposure to trauma has led to chronic and emergent behavioral healthcare needs, as have widespread maladaptive coping methods like substance abuse and social isolation, along with perpetual access issues to core social determinants of health that are key to long-term health for households and individuals. Guidehouse works along the full continuum of health, human services, social safety net, and community-based organizations to establish cross-cutting solutions that drive population health and social impact. Our framework and solutioning is captured below, spanning Guidehouse's ability to apply services and interventions spanning all systemic levels required to drive individual and household impact, along with clients where we have deployed cross-cutting interventions.



An example of our experience assisting clients with targeted population health initiatives that extend to social and community impact across sectors is our existing work with the Alabama Department of Mental Health (ADMH). Guidehouse has assisted ADMH with the design and implementation of an 1115 Substance Use Disorder (SUD) Demonstration Waiver; including the design of the initial waiver concept paper for CMS approval and the development and drafting of all sections of the formal waiver application. Guidehouse is currently supporting ADMH in informal discussions with CMS and preparation for the public comment process. To inform the design of the 1115 waiver, Guidehouse analyzed two years of SUD claims data to determine the prevalence of SUD rates by county, reviewed the availability of SUD providers by American Society of Addiction Medicine (ASAM) levels to identify underserved regions, and created heatmaps of service providers by ASAM level. We also developed strategies to address the goals and milestones as outlined by CMS in the 2017 State Medicaid Director's Letter # 17-003 and helped the state identify waiver evaluation performance measures. In addition to our 1115 waiver work, Guidehouse also did a statewide study and strategic planning to identify under-leveraged supportive housing models throughout the state, along with strategies to expand permanent supportive housing members for ADMH clients.

Support the implementation of innovation models and other priority areas including project management; stakeholder engagement; grant applications, waiver applications,

RFP design and evaluation; support for contract development and performance management approaches; and related activities.

Guidehouse has worked extensively with systems around the country on a variety of health-care focused initiatives, including strategic planning, market analysis, partnership evaluation, facility development, and performance improvement. Because of this work, we know that well-designed and effectively executed strategies can create sustainable competitive advantage, provide clarity and discipline to decision-making, and generate significant financial and community service benefits. We also recognize that to achieve positive results and drive real value, the planning process must be innovative, completed in a timely manner, inclusive, and tightly integrated with the organization's financial management, capital deployment, and operational realities.

In support of a living, breathing plan, our process aims to identify a set of "no regret" strategies for immediate implementation and a set of "contingent strategies" for implementation upon identification of defined triggering events. Guidehouse defines "no regret" strategies as those that work in today's environment and the anticipated future environment, and "contingent strategies" as those that may only make sense in anticipated future scenarios.

To address the strategic questions facing any healthcare payor, provider, or government, Guidehouse has developed a phased approach (please note that phases may have some overlap) to the development of Market Analysis and subsequent prioritized strategic action plan. The phases included in our approach are illustrated in the following graphic and include ***Initiate, Scan and Assess, Market Strategy Development, and Strategy Activation*** **(Figure 10).**

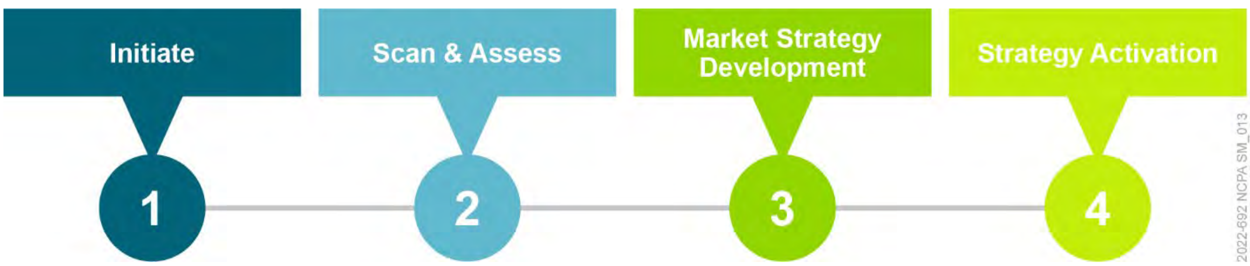


Figure 10. Strategic Action Plan

Guidehouse has consistently contributed to the success of Federal, state, provider, and other organization clients in the implementation of innovation models. With Guidehouse, NCPA clients not only receive the benefit of our strategic/environmental analysis, but, once a strategy is determined to be the best course of action by the client, an assurance that we stay with you to ensure that your vision becomes a reality.

Guidehouse uses a project planning, management, and implementation methodology that has been developed and refined over thousands of engagements. Our methodology promotes the completion of complex project tasks with a high standard of quality, practicality, and feasibility while providing visibility in project execution. As shown in the figures below, this methodology closely aligns with Project Management Institute (PMI) industry-leading standards: plan, execute, control, and close.

We apply our project management methodology throughout all stages of a project – from initial planning to implementation and ongoing operations. Our cross-functional team of skilled project managers and experienced health and family services subject matter experts work hand-in-hand to determine appropriate work steps, timing, and necessary resources, and manage the team to execute the overall work plan.

Our project management approach is comprised of several core components.

- **Planning, Management, and Execution:** We coordinate with the client by establishing a schedule for regular and consistent status meetings and reports. Our ongoing reports synthesize detailed updates in a concise format, communicating relevant information and/or project-related issues to your stakeholders. The client may prefer to attend project status meetings or refer to the written project information at any time to know exactly what has been done, how initiatives fit together, and where there may be opportunities for greater synergy. These regular status meetings and updates allow the client regular opportunities to provide input on interim work products.
- **Communications Management:** Clear and coordinated messaging to stakeholders is a vital component of our approach. Throughout the project, we will communicate the strategy, plan, and impact of activities to appropriate stakeholders. We begin our work in communication management by developing an understanding of the client's stakeholders and the kinds of messaging they require.
- **Data Management:** Our team will create an Engagement Data Security Plan that memorializes in a single document all the information security laws, regulations, policies, and other protection and handling requirements that pertain to the sensitive information that is to be handled during the course of the project. This data security plan serves as a resource to project team members by providing a common understanding of the information security protection and handling requirements for the sensitive information that is to be handled throughout the project. Our team has also served as a trusted advisor and expert resource in a number of enterprise privacy programs, including Privacy Act compliance, Health Insurance Portability and Accountability Act (HIPAA) and Data Protection, and is experienced in safeguarding personally identifiable information (PII) and protected health information (PHI) throughout engagements. We protect confidentiality by requesting and retaining deidentified data where possible, assigning randomized IDs for analyses and reports, and utilizing a secure file environment for sensitive data transfer.
- **Training Management:** Our team strives to help our clients move towards self-sufficiency. As appropriate for each engagement, our team is prepared to implement comprehensive client staff training and development. Training management would include identifying staff who will need to be trained, key activities and processes to be documented, and opportunities for shadowing.

Stakeholder Engagement and Partnerships

All delivery service reforms require robust stakeholder engagement and community partnerships. As the client looks to deliver value for outcomes through payment methods, targeted incentives, and provider capacity, it will need to look beyond typical Medicaid providers and engage community-based organizations, commercial health plans, and private health systems. To bring them to the table and land on a transformative but feasible design, we will leverage the strategies articulated in our response to Service Category 2.

Guidehouse brings a suite of proven tools to support our clients in launching delivery system reforms, such as real-time data reports and dashboards, financial and actuarial tools, advanced data analytics, the Baldrige Framework, project and operations plans, and more.

State Plan Amendment Support

In some cases, a State Plan Amendment (SPA) or a waiver/amendment may need to be developed based on the outcomes of policy impact analysis and the implementation approach the client desires. Guidehouse has extensive experience supporting states in developing and modifying Medicaid SPAs and program waivers, having conducted this work in Alabama, Arizona, Georgia, Illinois, Kansas, Kentucky, Pennsylvania, West Virginia, Wisconsin, and Wyoming, among others. We’ve secured SPA and waiver approval from CMS on behalf of states in engagements where we participated in all aspects of the process, including design and development, public comment, CMS negotiations, cost analysis, and reporting. As the need for new or modified SPA or waivers arises through policy impact analysis or other strategic activities, we are prepared to support DMS in the development of these federal documents.

Our team members have also successfully supported the development of grant proposals and other federal regulatory documents. We describe our high-level approach below.

State Plan Amendments

Guidehouse and our predecessor firms have assisted states in most facets of SPA development for more than 20 years, including working with state staff to identify necessary SPAs, working with stakeholders to develop program design, designing the cost-effectiveness analyses, drafting the SPA language, and responding to CMS informal questions and requests for additional information. We recommend that a state request an initial discussion with CMS prior to submitting a SPA to identify upfront any immediate questions or concerns that CMS might have. We are experts in federal regulations governing providers, taxes/assessments, cost allocation, and other reimbursement requirements.

Medicaid Program Waiver Support

In addition to SPA development, our team has also assisted with the development, approval, and implementation of other regulatory approval documents, including 1915(b) waivers, 1915(c) waivers, and 1115 demonstration waivers. With this combined waiver experience, we are very familiar with CMS central and regional office contacts, the process for expeditious negotiation and approval, and strategies to proactively address questions or concerns CMS may have about a waiver request. **Figure 11** below illustrates our end-to-end approach to working with states to develop waivers.

Figure 11. Guidehouse Approach to Waiver Development

Grant Proposals

Grant standards and grant reporting are changing, particularly through the implementation of the Grant Reporting Efficiency and Agreements Transparency (GREAT) Act, with a greater emphasis on performance and outcomes to show that grant dollars are having the intended effect. The Guidehouse team will help NCPA to position themselves and prepare for this evolving grant landscape and new federal grant reporting requirements, which will enable NCPA to continue to be an attractive, compliant recipient for grant funding. Our team members have supported efforts around both competitive and non-competitive federal grants, including Social Services Block Grant Programs, Community Services Block Grant Programs, and Health Resources and Services Administration (HRSA) and SAMHSA Block Grant Programs.

We will provide strategic support in drafting the grant application, working in collaboration with NCPA staff to identify win themes and other key points that NCPA wants to express in the grant application, to confirm the application is hitting the elements that will resonate with evaluators during the application review. Guidehouse will also collaborate to develop key performance indicators for publicly viewable statistics on grant awards and the long-term impact on population.

Our public health experts with strong relationships and deep experience with federal agencies such as HRSA, Centers for Disease Control and Prevention, and Health and Human Services will work to align resources with the needs of healthcare consumers of every stage of the life course.

Our team has comprehensive experience drafting and supporting clients to obtain grants and funding related to:

- State Plans on Aging
- State Plans for Independent Living
- State Opioid Response Programs
- Section 1115 Substance Use Disorder and Serious Mental Illness Institution for Mental Disease waivers
- Implementation of Title IV-E prevention programs
- Implementation of the Family First Prevention Services Act and systems of care community-based programs for youth
- Child and Family Service Reviews and annual National Youth in Transition Database reviews

We also have experience with other statewide initiatives which intersect, but not may not be federally required, such as developing and supporting the implementation of Olmstead, Alzheimer’s and Related Dementias, and Food Insecurity State Plans. This includes defining client priority objectives and confirming contract objectives and program features align with state and federal regulations. We understand that the contracting process is guided not only by federal rules but also by each client’s specific governing policies and the complex procurement rules applicable to the client. Designing and administering contracts is a complex process requiring painstaking organization and attention to detail and our team of experts can bring our knowledge and experience of contracting activities to support NCPA clients in defining scope for new contracts.

RFP Design and Evaluation

Guidehouse’s consultants bring a breadth of experience supporting state health and family services procurement initiatives spanning the full spectrum of the procurement lifecycle. We are poised to serve as a technical advisor in all aspects of the procurement process, including:

- Collaborating with clients on policy and program strategy
- Obtaining any necessary federal approvals of the RFP
- Facilitating program requirements design sessions
- Drafting the RFP, with iterative review and rewrite sessions
- Managing the submission and approval process
- Developing evaluation tools and managing the proposal review process

Supporting the Agency with Contract Award and Negotiations

Guidehouse has supported many public sector clients and agencies in developing RFP and contract evaluation and monitoring tools. It is important that any RFP evaluation criteria and the evaluation process is thorough and conducted in a consistent, methodical manner to support the success of the applicable NCPA program. In the current procurement environment, states are spending additional resources on bid disputes, resulting in program delays and additional missed opportunities to drive value. Clearly defined RFP requirements and investment in proper rigor and methods evaluating proposals have never been more important. We incorporate leading practices early in the RFP development process and then focus on training and supporting the evaluation team throughout the procurement process.

Guidehouse also works with our clients to develop tools that serve to aggregate all state and federal requirements, highlight the contractor's responses and ability to meet these requirements, and can be used to identify any potential gaps in proposal responses. Guidehouse is experienced in tracking and responding to bidder questions and developing proposal scoring tools that clients can deploy as part of the evaluation process. Guidehouse relies on comprehensive quality assurance and quality control steps when helping clients develop evaluation and monitoring tools. For example, in a recent review of a state's managed care organization proposal responses, Guidehouse used a "Managed Care RFP Evaluation Tool." Part of the quality assurance and quality control steps for this tool included:

- Crosswalk evaluation tool against RFP sections to confirm appropriate and complete review of proposals
- Crosscheck summary results against individual evaluator determinations
- Review qualitative findings to confirm appropriateness, consistency, and reasonableness
- Double-check any quantitative calculations, such as summing the number of requirements met and not met by bidders

Support for Contract Development and Performance Management Approaches

Guidehouse supports contract compliance activities for clients in a variety of ways (**Figure 12**). In some cases, we have been engaged to perform the review of ongoing monitoring activities of vendors under contract. In others, we have developed the source materials that are referenced in contracts themselves such as state administrative regulations and program policies and procedures, in addition to developing the contract itself. This experience provides a holistic 360 degree understanding of contracts. We understand how contracts are structured, what requirements are necessary to be federally compliant, the preferred terms the client should include to maximize the contractual relationship, and how to develop and assess performance measures and benchmarks to confirm the vendor is successfully meeting the requirements. We have also worked directly with CMS for approval of managed care contracts for states' Medicaid managed care programs.

We have also assisted with contract negotiations and conducting reviews to assess a health plan's readiness to accept enrollment. Guidehouse will use this experience, coupled with extensive experience assisting in other health and human services program procurements, in supporting its clients and serving as a technical advisor throughout the duration of procurement and beyond, including where a client is found non-compliant with a contractual provision. If we find that a client is out of compliance with any of its contracts, we will also assist with the corrective action plan process, as required. For example, for one state client, we developed a corrective action plan when CMS found that it was out of compliance with federal statutes and regulations and the State Plan. We also assisted the State in its effort to implement the corrective action plan and remediate all of CMS' findings.

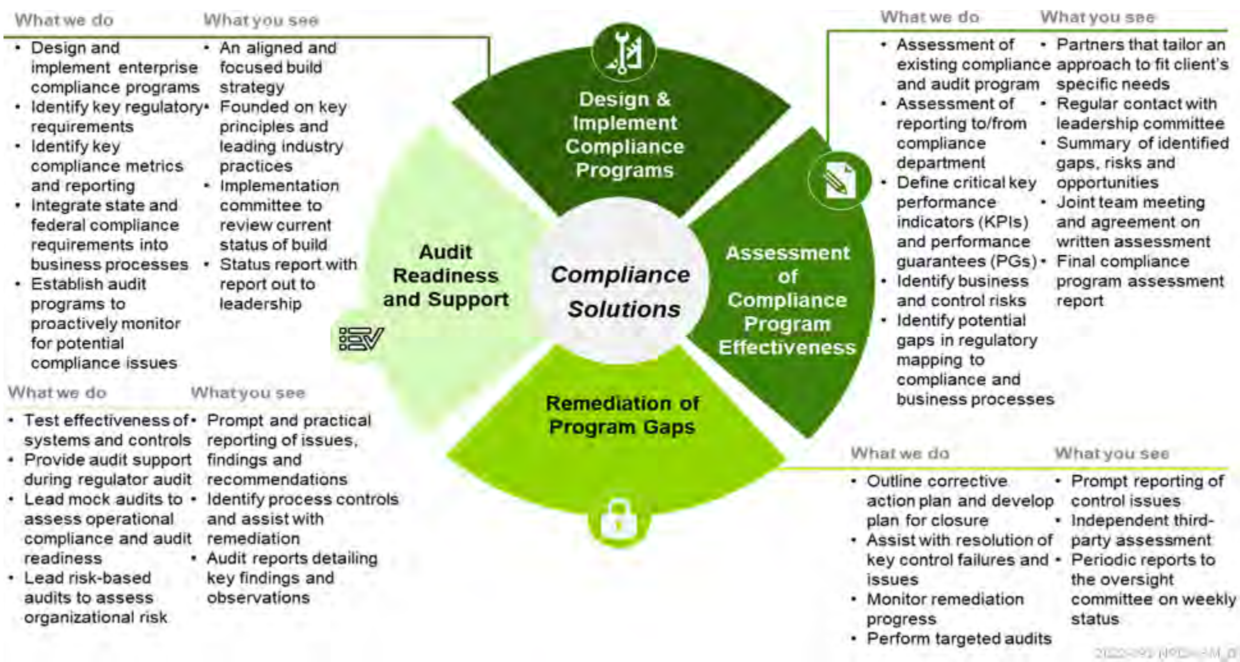


Figure 12. Guidehouse Healthcare Compliance Solutions

Reduce state Medicaid costs by improving program integrity (i.e., payment in accordance with negotiated contracts, prevention of fraud/waste/abuse, timely recovery of overpayments) and by stronger medical policy to ensure appropriate use levels.

Guidehouse understands the importance of Program Integrity (PI) to state Medicaid and other health and human services programs. Not only is a robust PI program necessary to combat fraud, waste, and abuse (FWA) across all systems and operations, but PI programs are required to comply with numerous regulatory provisions regarding financial and program integrity. Additionally, PI programs are subject to audits by the Secretary of HHS as well as state-level audits and operational reviews.

Guidehouse is a recognized expert and trusted advisor in the analysis, strategic planning, and execution activities required for evaluating existing PI processes and procedures and recommending strategies for improvement/enhancement. Through our experience we have developed a proven approach and methodology that we employ over the various components of the payment integrity lifecycle for our clients. We refine this approach based upon the size, complexity, and unique requirements of each organization.

Spotlight on Guidehouse's Program Integrity Success: North Carolina Division of Medical Assistance (DMA)

- Conducted an in-depth review of the organization and operations of the DMA Program Integrity (PI) Unit and an organizational review of budget, finance, and cash-management functions.
- Developed an organizational model that allowed DMA to immediately improve its financial operations and remediate issues with budget shortfalls.
- The evaluation and recommendations resulted in changes to the organization structure, staffing, and skillsets and improved reporting and business processes.

We are pleased to share that we just recently were included as a subcontractor for the Center for Medicaid and CHIP Services (CMCS) Children and Adults Health Programs Group's (CAHPG) Program Integrity Strategic Support Contract, a testimony to our skills and expertise related to PI strategy, improvement, and optimization. Below is an additional example of where Guidehouse insights translated to the types of operational improvements we would aim to bring to NCPA's buyers.

Deliver healthcare analytics and/or data management to support any of the above strategies. Further healthcare transparency through reporting including the design and/or delivery of reports for providers, health plans, or other entities.

In addition to our consulting capabilities, the Guidehouse team is supported by a health data analytics practice consisting of subject matter experts who develop and deliver data-driven, reproducible, and sustainable analytics to help our healthcare clients thrive in rapidly changing environments. We provide actionable analytics that can inform strategy, operations, and cross-disciplinary insights across the patient to population health continuum, including physical and behavioral health providers; commercial and public payers; life sciences; and state, federal, and tribal public health agencies. Our solutions include over 75+ standardized analytics tools across the following areas:

- **Analytics Platform:** Guidehouse offers analytics platforms for various use cases, such as health equity. This use case includes the ability to ingest Social Determinants of Health (SDoH) data, clinical data, etc. and relevant literature, along with best practices statistics to help define baseline measures and metrics and subsequently follow up on progress against client measures.
- **Workforce Optimization and Organizational Design Analytics:** We have analytic capabilities that can help enable greater organizational efficiency and accountability through the delivery of tools that facilitate deeper understanding of key organizational efficiency drivers. These analytics can provide insight into the client's current organizational structure and opportunities to enhance efficiency (e.g., spans and layers analysis to examine the direct reports per manager and the number of supervisory levels).
- **Business Intelligence and Dashboard Development:** We design and develop interactive dashboards, visualizations, and reporting tools leveraging multiple commercial business intelligence platform(s) that can help communicate findings to stakeholders in a meaningful and visually appealing manner.
- **Market Strategy Analytics:** We enable state agencies, healthcare providers, life science organizations, and payors to better understand complex market-specific challenges including program risk readiness and participation through our market strategy analytics. Examples include value-based payment models, provider supply and demand, market segmentation, rate modeling, patient out migration, as well as other geographic growth drivers.
- **Health Data Interoperability:** We have experience with concept planning, systems and data integration, linked data analyses, and standards development strategy to connect siloed domains across the health ecosystem. Through rapid and seamless data interactions across patient, clinical, public, and community health systems, we can provide holistic insights across the patient to population health continuum.
- **Scientific Support:** Our multi-disciplinary team represents expertise in epidemiology, clinical care, public health, inferential statistics, and deep health data science to support the lifecycle of scientific research, from study design to manuscript development for peer-review publications.

We will also use project management software, such as Microsoft Project, and the standard Microsoft Office suite for report development, presentations, and analysis. Our video conferencing tools, such as Microsoft Teams, will support productive and interactive meetings in a virtual environment, as needed.

Guidehouse has extensive experience collaborating with healthcare entities of all types including, health systems, state health agencies, commercial payors and local health authorities, in developing strategic plans and recommending healthcare strategies. A sample of our qualifications is included below to demonstrate the best practices our team will bring to NCPA's clients.

Modernizing Public Safety

Diagnose current performance and define strategies to improve the overall performance of public safety organizations (e.g., corrections, law enforcement), leverage best practices, analytic tools and decision-making, increase use of technology to drive greater operational transparency, develop tools to drive improvements in areas like population management, housing assignment, violence reduction, and improved reintegration.

Guidehouse has long partnered with public safety agencies to understand their current state and develop specific recommendations so they may improve their performance and deliver on their missions. In any engagement serving public safety agencies, Guidehouse will leverage the experience of its team of former law enforcement professionals, who have served in police departments, corrections agencies, and other justice related entities.

These engagements start with a **Current State Assessment**. The phase will provide in-depth research, interviews, and analysis, to inform this entire process. Guidehouse has extensive experience helping government agencies identify the needed short- and long-term direction for success. We understand that a core component of any project is to understand an agency's operations, investments, and relationship with internal and external customers. We will assess each of the components from the perspective of where the agency stands now, and how these key components relate to the desired future state. Our work will undertake a diagnostic assessment of the current state to deeply understand current challenges, perform benchmarking analysis by looking at the performance of peer agencies, and provide the analysis to guide the development of any strategy. By producing these outputs, the agency will gain a strong understanding of what the current challenges are, how to identify areas of opportunity within these challenges, and ultimately provide a sound basis for future strategies.

Building from what we learn during the Diagnostic Assessment, we will develop a **Strategic Plan** in collaboration with leadership. A resilient strategic plan contains both high-level and more detailed components that enable an organization to weave the strategic direction into its day-to-day while also striving towards its mission and vision. Our strategic planning framework was developed with these needs in mind and through extensive experience helping similar organizations anticipate strategic change, plan for it, and then successfully execute on the plan. Once the strategy development step has concluded, the agency will have an updated strategic direction to inform an implementation roadmap.

Guidehouse's strategic planning framework is broken into six components:

- **Mission and Vision:** The mission and vision are the North Star. They capture what the organization strives to become and drive the rest of the strategic elements.
- **Guiding Principles:** Guiding principles act as the constant reminders to staff and leadership regarding how to participate in the change that is occurring. These are considerations and best practices that dictate how to approach both day-to-day work and higher-level planning.
- **Goals:** The goals are the bridge connecting the bottom level to the upper levels. Goals are the first level at which structure and a roadmap for carrying out the mission is provided.
- **Objectives:** Objectives transform the broader goals into tangible ideals for the organizational future state. The activities and objectives will provide concrete steps to take to make the more conceptual parts of the Strategic Plan (e.g., the goals, mission, and vision) a reality.
- **Activities:** The foundation of the Strategic Pan are the activities – the detailed tasks required to meet the objectives. The activities will inform the roadmap to get the agency from its current state to its desired state.

- **KPIs:** Key Performance Indicators (KPIs) enable agencies to track and measure their success. Metrics will be tailored to each process within the roadmap and will allow for strategic adjustments and painless pivots throughout organizational changes.

Develop people/workforce strategies to increase frontline efficiency, to assist in the up skilling of the workforce through capability building and culture change, improve community engagement, and provide objective evaluation and improvement of the performance of front line and back office functions within and across public safety agencies.

Public safety personnel are often asked to address societal problems when all other options have failed. Because of that, they must possess an array of skills to handle the broad array of issues they may encounter. Guidehouse takes a holistic approach to workforce planning, so that public safety agencies that improve their existing workforce and appropriately plan for the future.

Strategic workforce planning is an on-going process that moves beyond identifying and reacting to staff vacancies, to proactive talent planning in line with your agency's strategic priorities. The purpose of strategic workforce planning is not to decide what you will do in the future, it is about proactively determining what you can do now to best prepare for the future. Organizations that align their workforce strategy with their strategic plan – effectively anticipating and managing their changing workforce needs – will be better able to respond quickly and meaningfully to shifting mission priorities and challenges.

This is particularly critical in the public safety space as public safety agencies are continually asked to do more with less. Establishing a strategic workforce planning process driven by workforce data and analytics will assist in identifying the workforce needed to meet the agency's strategic goals now and in the future. Guidehouse possesses extensive experience assisting our clients in establishing repeatable workforce planning functions that align with their strategic plan and assist them in identifying the workforce necessary to accomplish their goals. Drawing on our proven workforce planning approach we will assist in establishing a repeatable workforce planning function, a robust human capital plan, and an executive playbook to help with the adoption and implementation.

Guidehouse will leverage our phased strategic workforce planning approach:

1. To assist in the **Collect Data and Develop Baseline** phase, we will conduct a workforce assessment to identify current workforce supply and capacity, particularly in the critical roles required to move the agency into the future.
2. During **Supply Analysis** and **Demand Analysis**, Guidehouse will work to develop workforce analytic models that provide insight into current workforce supply and allow for predictive modeling of future needs, or demand, based on agency strategic direction.
3. Using the **Gap Analysis** informed by the qualitative outputs of the workforce assessment and quantitative outputs of the analytic models, we will work collaboratively to develop a **Strategic Human Capital Plan** outlining how the agency will acquire, develop, and retain the workforce needed to achieve its goals. These analyses will help inform and drive a thoughtful revision of the competency framework and creation of the career path architecture.

Aid in the design of facilities to be cost- and resource-effective, as well as conducive to positive performance outcomes (e.g., reduced incident response time).

Guidehouse knows that facility design is essential to public safety agencies. The needs of public safety agencies are unique, and therefore facility planning has to be done thoughtfully and with the perspectives of the personnel who rely on these facilities for their overall safety.

Guidehouse begins any engagement by developing an understanding of the needs of those employees who work in these facilities and will be directly affected by any overall design. The interviews and focus groups would be divided into different phases or groups. For example, leadership will be interviewed, focus groups are held with front line staff, and outreach conducted to the public who may need to access these facilities.

With this firsthand knowledge in mind, Guidehouse can then go about assisting the agency with its design needs. This can range from small changes in the physical environment to promote better outcomes, to comprehensive redesign of facilities to ensure public safety agencies have facilities that aid, rather than hinder, their ability to deliver on their core missions. Throughout this process Guidehouse will draw on its extensive network on design and construction partners to ensure we have the right team to address the specific needs of the agency.

Support the implementation of strategies to improve the performance of public safety organizations.

Guidehouse has deep experience in helping clients move from strategic planning to tactical implementation. Regardless of what we are implementing – a new strategy, program, department, or process – we rely on our Program Management Office framework to develop effective implementation plans.

Our unique PMO methodology, TruePMO^{SM}, includes best-practice management standards and versatile performance management techniques to provide a flexible program framework that is tailored to our client's capabilities and goals, with actionable, data-backed insights and scalable technology, tools, and templates. Each step of the way, Guidehouse's experts help clients guard against risk while achieving the maximum benefits to transform the organization. The successful delivery of complex projects requires an integrated program management office (PMO) that standardizes and automates processes, while mitigating project risk, promoting transparency, and delivering on organizational objectives. By strategically combining the fundamentals of project management with a focus on organizational transformation, TruePMO^{SM} ensures programs are delivered consistently, with high quality, on time and on budget. From our experience, we understand that each client's situation and needs are different; we will work to identify the appropriate degree of program management infrastructure necessary to support the implementation of the identified solution.

As a project moves from recommendations into implementation, Guidehouse will prepare a detailed roadmap for the initial months of implementation and provide direction for longer-term steps and initiatives. Our bias is toward developing concrete plans to achieve benefits quickly, while providing a vision for longer-term projects.

Implementation timeline. Change can be hard to implement, especially for transformational projects, so we focus on building an implementation roadmap in a collaborative manner, just as we have collaborated with our clients throughout the engagement. During this phase, we translate recommendations into actionable next steps and partner to facilitate knowledge transfer so that the change lasts after our team leaves. As we develop the roadmap, we will work to review, refine, and prioritize our list of recommendations.

Resource plan. When we develop implementation plans for our clients, we not only consider the resources you need to maintain the future-state, but also the resources you need for a successful implementation rollout. This is not just about understanding headcount, but also includes developing capacity building and technology requirements. Our goal is to think about how your immediate resource needs for the implementation translate to the longer-term.

Evaluation approach. Establishing concrete goals and clear, objective metrics are critical for measuring the success of any business transformation. Our understanding of the City's strategy and objectives for undertaking the project will position our team to identify quantifiable measurements of success. We will work with the project team to document performance measures and create tools and systems to track the progress of your implementation and evaluate

Building Infrastructure for the 21st Century

Guidehouse works with organizations to manage risk and optimize operations in a variety of sectors and contexts, from real estate portfolios and structural initiatives to complex communication, transportation, and power systems throughout the United States. Our team includes experts with backgrounds in project delivery across asset classes with relationships that extend into niche markets, so we not only support clients in understanding their position in relation to their peers but provide deep dives into asset performance and sustainability.

Assess current performance of infrastructure to understand the performance relative to benchmarks and best practices across asset classes (e.g., roads and bridges, water/wastewater, transit, energy, broadband etc.) and geographies. Determine potential drivers for lagging (or leading) performance across asset life cycle.

When we work with clients to assess individual programs or establish portfolio-wide review practices, our key focus always starts with understanding our clients' objectives. Whether the goal is to ensure the longevity of the client's infrastructure, identify gaps to the industries use of smart technologies, or support funding requests to modernize or replace the asset itself, Guidehouse will customize the rubrics used to emphasize our clients' objectives. We have found that this customizable approach not only gets received better upfront but has a greater chance of driving change within our client's organization longer term as their tools shift to support their primary objectives.

As an example, in support of the Federal Aviation Administration (FAA) Air Traffic Control Facilities and Engineering Services (AJW-2), Guidehouse is assessing their Facilities Infrastructure Portfolio (FIP) Management Process which was established in 2014. By reviewing this process with the lens of their administration's objectives of high-performance, innovation, and quality of delivery services we are making inroads throughout the review process and delivering actionable insights. During our execution of a 3-phased approach (plan, asses, benchmark) we have not only partnered with their internal team, but also conducted reviews of external agencies to bring examples of leading-edge practices that the FAA could implement to improve safety, stakeholder relationships, and foster organizational cohesion and resilience.

In another case, Guidehouse led a 2.5-year Capital Investment Process Improvement engagement for the largest public energy provider in the United States. During that time, we drove the planning, integration, and implementation of a project evaluation platform, Copperleaf, that enhanced the energy provider's ability to prioritize and optimize capital investments to improve their portfolio's resilience. Through our assistance in establishing key points of integration, articulating use cases, and providing an end user-first mindset towards release management, our client was able to recognize the software solutions capabilities for asset management planning and project identification.

Whether it's through the assessment and recommendation of portfolio monitoring systems or one-off asset assessments, Guidehouse brings extensive expertise to all of its engagements through our promotion of internal collaboration. We strive to not only bring the knowledge of our supporting team to bear for our clients but the collective experience of our team to recognize poignant and practical improvement opportunities, irrespective of industry or lifecycle phase.

Develop a set of strategies and initiatives to improve infrastructure outcomes addressing challenges and introduce innovation across planning, permitting, procurement,

***funding/financing and maintenance and operations. Review best practices and consider innovative models for improving outcomes, including Public Private Partnerships (PPPs*).**

With over one thousand individuals in our Energy, Sustainability, and Infrastructure practice, we are not only extremely familiar with project delivery and execution, but also common stumbling blocks and questions that we have seen clients encounter time and again. While each capital project has its unique components, the overwhelming trend for programs to run over time and budget mean that many of the same measures to improve the chances of successful delivery can be deployed across sectors. Through the implementation of assessment and execution practices, Guidehouse helps its clients reduce complexity and allows them to focus on other project elements.

Process	Common Questions
Planning	What gaps exist within our portfolio? Which projects should be prioritized? Are there changes in industry pratices that should be accounted for?
Permitting	When can we begin the permitting process? What are the key drivers allowing for successful completion?
Procurement	What risk do we want to take on ourselves versus contract out? What contract methodology aligns with our objectives?
Funding/Financing	What grants can help cover our work? What should we charge for infrastructure use to minimally impact usage?
Maintenance & Operations	Should we sign a long-term contract for operations? How do we balance preventative measures and minimizing budget impacts?

Figure 13. Common Capital Asset Inquiries

To support our clients, we have developed robust strategic solutions that leverage innovation and industry best practices spanning the project lifecycle (**Figure 13**). We have helped clients recognize how a changing technological environment and increased competition amongst delivery partners has begun to rapidly reshape processes that have been established over decades. Below are a few examples of where Guidehouse can help transform our clients' processes and procedures.

- **Planning:** We understand that long-term and potentially binding impacts ensure that the planning of capital projects is critical to their long-term success. By combining portfolio management best practices, integrative software solutions, and, most critically, collaborating with our clients on determining factors of success, we look to bring actionable strategy tools to our clients to help guide them through impactful near-term decisions that will have sustained positive impacts on their end users.
- **Permitting:** Whether gaining regulatory compliance, permitting approval, or incorporating changes to support operationalizing project deliverables, Guidehouse strives to ensure collaboration and transparency throughout the process. This enables our clients to make decisions regarding expediting of reviews or adjustments of designs to get shovels in the ground on time.
- **Procurement:** Using advanced management software, we assist our clients standardize their processes in line with the most up-to-date methodologies, but also drive adherence across teams. These changes not only support the integrity of project delivery, but also complement strategic decision-making as contract fulfillment becomes a reportable leading indicator for success.

- **Funding/ Financing:** Guidehouse has a depth of experience in supporting clients in grant applications to support the funding for programs, both in the evaluation of applicability across various programs as well as the framing of proposals to improve the odds of grant receipt.
- **Maintenance & Operations:** Given the risk of costs ballooning in the event of critical failures related to differed maintenance, our team supports clients in the review and development of standardized project evaluation and weighting. These maintenance project reviews meticulously evaluate potential uses for funds across the board, alleviating the greatest potential risks and issues and keeping overall maintenance costs in check.

As an example of our ongoing support in a capital projects lifecycle, we are supporting the Office of Construction and Facilities Management (CFM) within the Office of Veterans Affairs (VA) on key strategic initiatives as well as day-to-day operational actions. In total, the team projects developing around 30 standard operating procedures which will improve their ability to monitor processes from contracting through maintenance. By conducting interviews and surveys, the team is identifying areas where improvements can be incorporated from other agencies or to improve adoption by the various stakeholders.

By conducting similar program evaluations with an eye towards strategy, technology, resourcing, and integrity, we support our clients on their journeys to improve efficiency, reduce waste, and seamlessly deliver best in class results.

Determine changes to strategy, processes, operations or organization within relevant departments and agencies (e.g., transportation, transit, utilities) to enable the delivery of strategies and initiatives, for example optimizing delivery in areas like fleet management, maintenance operations, total cost of ownership, risk-based maintenance, and budget rightsizing.

Beyond developing strategies and initiatives, Guidehouse can put plans into action. Our TruePMO solution ensures the successful delivery of complex projects by establishing an integrated program management office (PMO) that can combine subject matter expertise with an agile, scalable, tech-enabled approach—one that standardizes and automates processes while mitigating project risk, promoting transparency, and delivering on business objectives. Our solution allows clients to respond to any numbers of new initiatives from optimizing fleet management to maintenance operations (**Figure 14**).

Figure 14. TruePMO

Our unique PMO methodology includes best-practice management standards and versatile performance management techniques to provide a flexible program framework that is tailored to our client's capabilities and goals, with actionable, data-backed insights and scalable technology, tools, and templates.

We will work with you to assess PMO requirements to account for changes in strategy, processes, operations and/or stakeholders, then define an approach and the delivery of PMO.

By strategically combining the fundamentals of project management with a focus on business transformation, TruePMO ensures programs are high quality and delivered consistently, on time, and on budget.

Support implementation of any strategies to improve infrastructure, infrastructure performance, or related department/agency performance in the state.

With experience providing project PMO expertise to diverse clients from city governments to utility companies, Guidehouse supports an array of clients with implementation and strategy development to improve infrastructure delivery, infrastructure performance, and agency performance. Often kicking off by putting boots on the ground to conduct assessments, host public meetings, and engage with clients' constituents, we have found that establishing a strong foundation with our clients leads to the best overall delivery process. Once kicked off, our teams follow the typical process outlined below to establish a unified direction, establish execution parameters, and create impact beyond the contract end date.

Planning / Assessment

During the initial phase of a project, our team focuses on establishing key success indicators, whether in the form of deliverable expectations, strategic values to align with, or other KPIs that may influence final project delivery. By spending the time up front to align on targets, we keep our clients informed of progress to the established objectives and limit any surprises when it comes to final product reviews. This process may include tasks such as interviews, meetings with constituents, or formalized planning documents to outline the proposed tasks for the project's execution.

Execution

While the requisite steps to achieve our clients' goals will be tailored to the objectives of the effort, we have found that focus in the following areas improves transparency and reduces risks throughout delivery. Example services include the following:

- **Workplan Management:** Develop the overall timeline, activities, dependencies, and resources required to complete each project or initiative.
- **Resource Management:** Manage the staff roll-on/off process program-wide and manage unplanned resource needs based on changing priorities. This will include developing roles and responsibilities, accountability, and deliverables.
- **Project Budget Monitoring:** Develop and monitor the overall project and program level budgets, including Activity Delivery Costs ("ADC"), administrative costs, planning costs, staff, vendors, software applications, hardware, and other resources required for completion. The team will also focus on tracking KPIs.
- **Success Metrics Monitoring:** Document each of the factors that will define the overall success of each project, including objectives, performance outcomes, and project beneficiaries. When determining success metrics, the team will also define the ways these successes will be measured.
- **Risk and Issues Tracking:** Develop and maintain risk and issues tracking tools and review the potential impact to the project or program's objectives, discuss mitigation plans with target completion date, and assign ownership.
- **Status Reporting:** Establish standards for engagement progress reporting including metrics, frequency, and format. We will develop our status reports with an impact-oriented approach, by always asking ourselves "so what?" We will identify key risks and issues to each project, discuss potential mitigation options, and report on key project and program metrics.

Closeout / Turnover:

At the time of closeout, Guidehouse will provide deliverables highlighting the results of the project focusing on the communication of results. We recognize that very few projects occur in isolation and the ability of our clients to translate the results, if not the process of our activities, is paramount. Furthermore, we understand that the delivery of a strategy is rarely the end case for our clients and the resonance of our deliverables to other teams directly impacts the chance of a strategies implementation.

Creating Jobs and Driving Economic Growth

Guidehouse has led the development of economic and workforce development strategies for city, county, and state level agencies across the United States, including Missouri, Wayne County, and Santa Monica, to name a few. Through a structured approach to collaborative economic development, Guidehouse helps public, non-profit, and private sector entities achieve greater success in leveraging physical and other assets to retain and grow businesses and other sources of vibrancy. This approach was demonstrated in our work for the **City of Santa Monica**, where we developed a community-based movement to drive transformational change. To help the City develop its economic sustainability strategy, Guidehouse executed three parallel workstreams: strategy development, stakeholder engagement, and community outreach, which culminated in development of a long-term economic sustainability strategy – Santa Monica 2050. Guidehouse's core methodology is built around three key ideas:

- Use the current industry/regional strengths for economic development and growth throughout the region.
- Mobilize and align key industry networks within an innovation ecosystem, to develop a multi-disciplined and comprehensive industry roadmap.
- Establish roles and accountabilities for all stakeholders in the key industry networks and create a clear execution plan to implement the industry roadmaps.

Guidehouse's Economic Development Practice builds its core methodology around three common areas: alignment of capital and resources, talent development, and brand strategy (**Figure 15**).

Figure 15. Guidehouse's Methodology is Built Around Three Common Areas

Our team includes economists, planners, and policy experts to develop custom solutions for states, counties, and cities, with deep expertise in not just working with public sector entities, but also understanding the motivations of the private sector in choosing to locate, invest, and recruit (**Figure 16**).

Figure 16. Guidehouse's Recommended Cornerstones of a Successful Economic Development Strategy

Our approach is designed to not just deliver a report but create a movement. While we are a consulting firm, our way of working is inherently collaborative; the typical management consulting model where a firm attends a kick-off meeting and later returns to you with a completed report is not one that is familiar to Guidehouse. To that end, we intend to collaborate with you closely.

Assess current economic trajectory through independent analysis of sectors, geographies and demographics in order to define effective growth strategies for localities, regions or states, including defining clear sector strategies to spur economic growth through targeted investment and driving innovation that spurs increased entrepreneurship and business development.

We are adept at evaluating the broader economic context in which each Participating Agency operates. Participating Agencies seek to better understand measures of growth and productivity, distribution of wealth and income, and racial and geographic inclusion to identify ways in which it can better support community development and regional economic growth. To achieve these objectives, we will analyze the existing economic development programs and policies; identify the region's current economic assets, strengths, and competitive advantages; and assess the Participating Agency's current role in economic, workforce, and community development.

The Guidehouse team will complete these economic conditions analysis by combining information we gather from the Participating Agency with datasets from the Bureau of Economic Analysis, American Community Survey, and Bureau of Labor Statistics, to develop a profile of its economy. This profile will include a market analysis of major sectors by GDP and employment, location quotient, shift share, growth rate and wage level. It will deep dive into some of the large employers and industry sectors as well as its economy – how its land use and real estate informs the direction of its economic activity. We will take stock of the Participating Agency's economic assets – its infrastructure, real estate, talent, demographic profile, business community, incentives, housing affordability and quality of school districts – to take a holistic perspective of the factors that contribute to economic success.

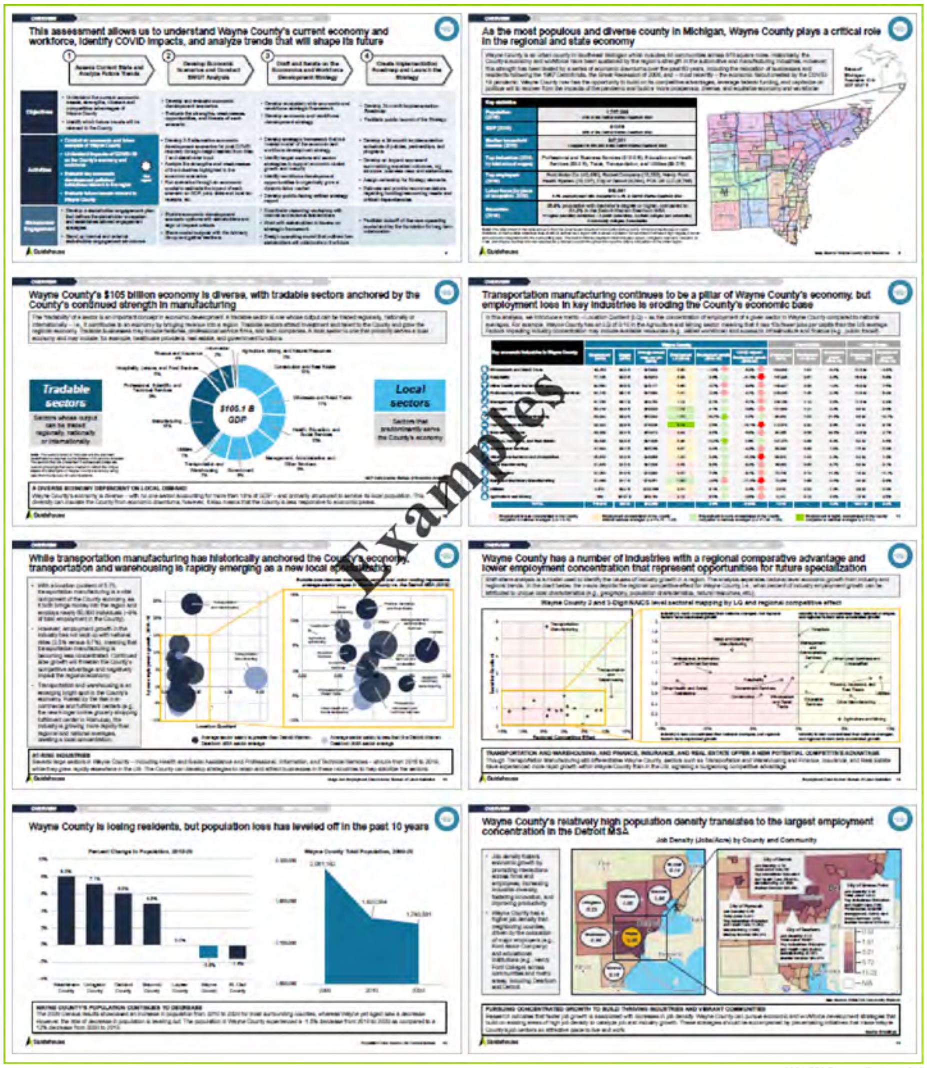


Figure 17. Storyboard View of our Typical Economic Analysis and 'Existing Conditions' Outputs for Policymakers

Define specific economic and/or job growth strategies in rural or urban areas, or statewide.

We will conduct several activities in order to identify promising strategies for growth:

Identify trends

We evaluate longer-term trends facing the national and local economy, and how the Participating Agency's economy may be impacted as a result. Our team will conduct a desktop-based review of research publications and thought leadership, as well as third party organizations to scan the landscape of how underlying global trends are commonly understood. This will include publications from research and academic institutions such as the World Economic Forum, Brookings Institution, and others, as well as market and industry groups such as Nielsen and Markit. Together with a review of other publications and thought leadership from industry-facing organizations, this will provide our project team with a picture of the latest landscape of these issues and how the Participating Agency can plan with them in mind.

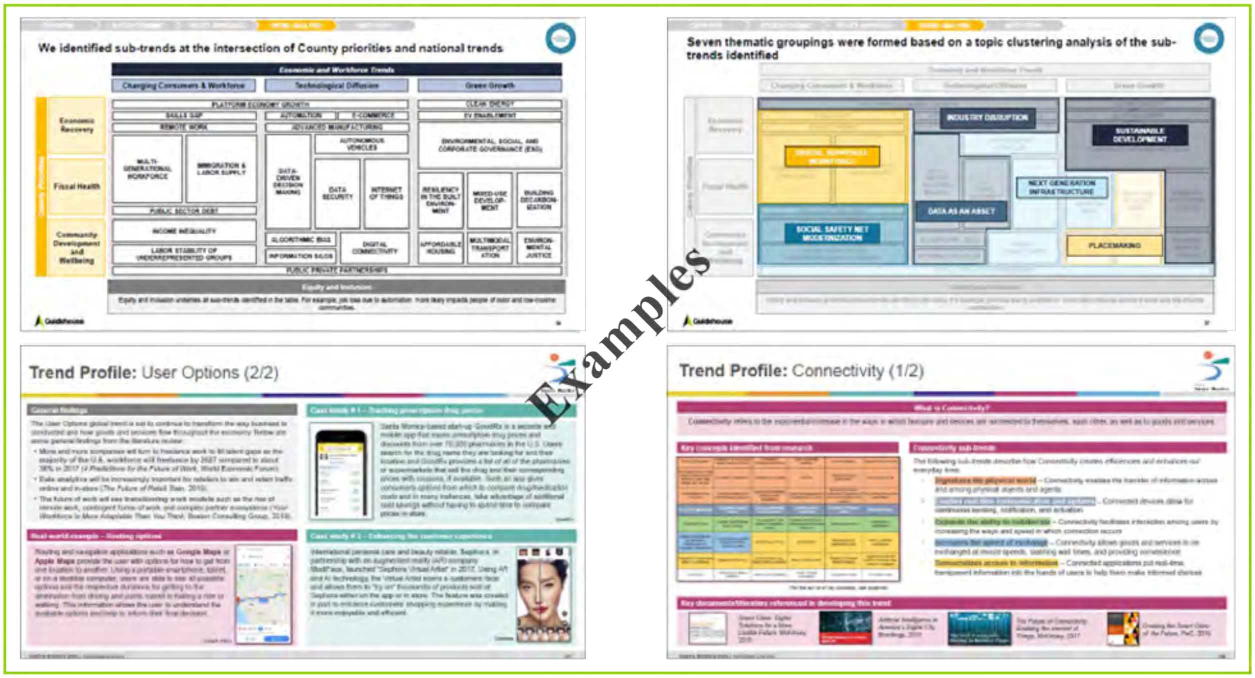


Figure 18. Examples of Guidehouse Future Trends Research Produced for Economic Development Strategies

Review Best Practices and Benchmark

We will use our deep knowledge of national, state, and local policies to consider policy developments and, ultimately, how they may impact the Participating Agency's economic development in the future and how we may leverage evolving industries to drive our recommendations. Our team will analyze the landscape of economic development policies, programs, and initiatives as they relate to the local, regional, and national level. The purpose of doing so is to understand where existing efforts are already directed to build off and complement them.

Our research will be structured by tier of government (Federal, state, local, etc.) as well as program/policy type. Program types may be either monetary, such as incentives, rebates, vouchers, concessionary financing, or non-monetary, such as marketing promotions, workforce development programs, and pilots.

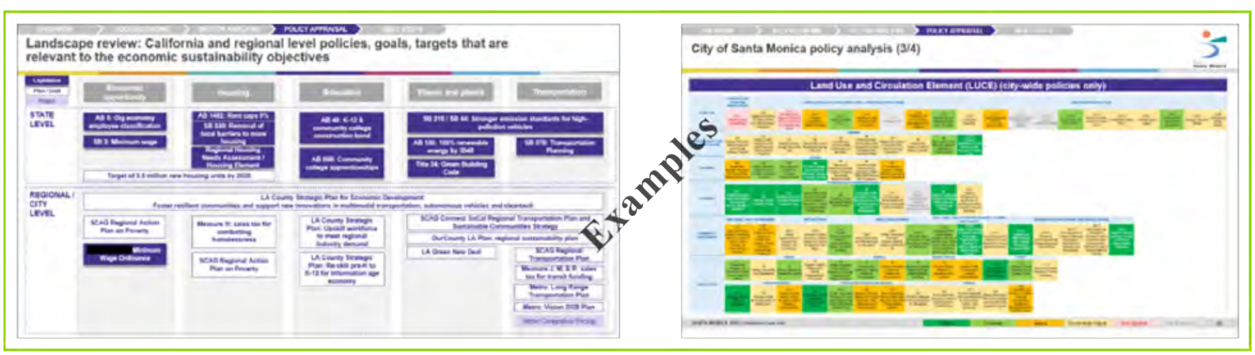


Figure 19. Example Heatmap of a City Policy Overlaid with a Disruption (In this Example, Impacts from AI, Connectivity and Ecommerce)

Having developed our understanding of the landscape of relevant programs, we will benchmark the Participating Agency's economic performance and condition to peer entities according to population size, diversity, core industries, and other considerations the client wishes to include in the evaluation process. Through this, we will be able to communicate how the Participating Agency and its residents are faring relative to their peers and identify weaknesses to target and strengths to leverage for the upcoming economic redevelopment strategy.

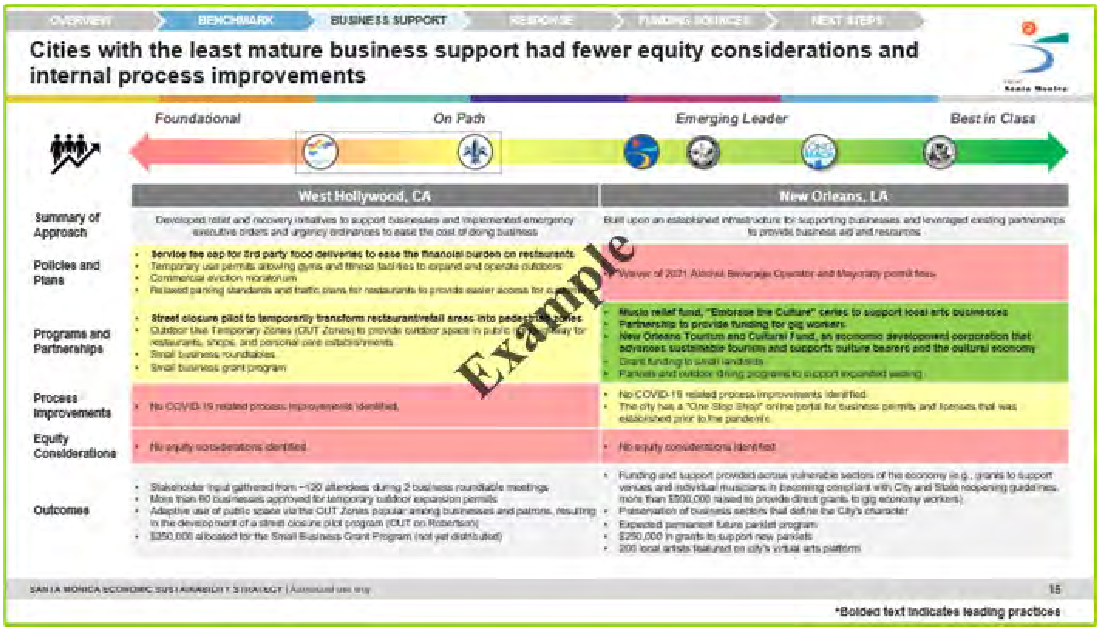


Figure 20. Maturity model to compare economic performance to peer entities

Conduct SWOT Analysis

Having developed an understanding of the economic basis, we will now conduct an analysis of the business and industrial base along with a strengths, weaknesses, opportunities, and threats (SWOT) analysis. In this step, we will consider the broad economic, industrial, technological, infrastructural, regulatory, and policy components.

Having run this quantitative analysis, we will then conduct an economy-wide SWOT Analysis that will take into account each of the analysis areas evaluated in the Economic Conditions Analysis and the scenario results. In this step, we will use the economic model to estimate changes to impact criteria including GDP, jobs, state, and local tax receipts, local production content, plus disaggregation by household income, educational attainment, and occupations. While the SWOT Analysis provides a useful framework to translate qualitative and quantitative information into four areas – our focus will be on the 'O,' the opportunities from an economic development perspective. For example, in this step, we expect to test various hypotheses such as "what kinds of industries should we target to revitalize our downtown core?" and "what resources can the Participating Agency leverage to attract investment and target industries?" The output of this activity will be a set of strategic recommendations to incorporate into its assessment and strategy.

Figure 21. SWOT Analysis Framework

Host Strategic Planning Workshops

We will conduct a series of visioning sessions to land on the core frameworks of an Economic Strategic Plan: Mission, Vision, Objectives, Goals, and overarching initiatives. Much of this will have been done during the ongoing team coordination so we will also provide recommendations as we go along that reflect what we have been hearing from organizational stakeholders and community members.

Our team members will be avid and thoughtful listeners throughout these sessions, so we will create a draft strategy based on our recommendations and our visioning discussions but bring it back for iteration with stakeholders. Our team will provide the space for input and ensure that the Participating Agency is driving the decisions while keeping it on the right track of establishing a plan.

We will wordsmith and allow room for engaging with both the small and big details before landing on a final public-facing Strategic Plan framework that spells out the economic Mission, Vision, Objectives, and Goals and overarching strategies.

Develop Strategic Framework and Plan

The framework is essentially a mental model/logic model of how 'everything fits together'; the vision for the Participating Agency's economy, the prerequisites of labor and workforce upskilling for target communities, support of major industries and small businesses, economic incentives necessary to achieve that, and the engagement of private, institutional and social sectors, and the cross-cutting success principles through which the strategy will be judged – equity, inclusion, growth and innovation, for example. In our experience, the development of the framework will require several rounds of iteration with key stakeholders – the main priority is to ensure that the structure and intent are right. The framework is not a rigid tool, but something more flexible to which other features can be added. We will test and iterate the strategic framework with the Participating Agency and its stakeholders to ensure buy-in. Specific strategies will fit and be logically nested within the Goals and Objectives.

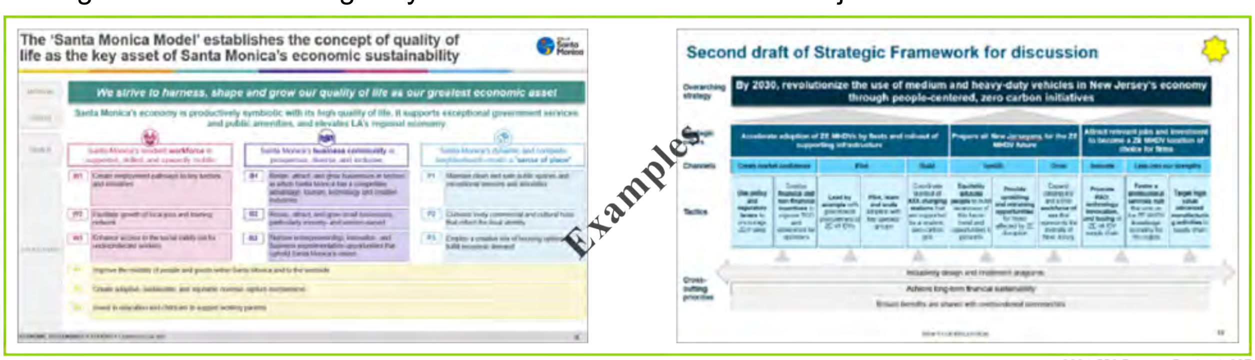


Figure 22. Example Strategic Economic Development Framework

Support cohorts of high-potential companies to drive firm growth and job creation.

We will complete this task through the following activities:

Conduct Business and Industry Analysis

As part of our assessment, we will look at what major industries and businesses already have a strong foothold in the region and which industries we want to attract as we move forward with our ideation. This is important because, while we want to make the Participating Agency an attractive place to invest, we also need to ensure we are preparing our workforce and residents so they are ultimately benefitting from their presence as well. We understand the detrimental impacts that growth can often have on low-income and BIPOC communities and want to be mindful of housing prices and job opportunities so as not to drive out these communities that are crucial to the cultural and historical fabric of the city.

In this task, we will also construct 3-5 scenarios based on the economic development paradigms that we develop as a precursor to a SWOT analysis. Scenarios will be developed for each priority identified through stakeholder discussions. The scenarios might include, for example: ‘green’ growth, equitable recovery, healthcare focus, or hybrid variations developed using insights from an Economic Conditions Analysis, Advisory Committee, or Community Liaisons. This will use quantitative economic modelling to identify the relative growth of sectors of the Participating Agency’s economy and we will analyze the expected impacts of each of those scenarios in terms of GDP growth, sectoral composition, jobs, and state and local tax receipts. We will engage with stakeholders in this activity to ensure that the scenarios analyzed are bought into and relevant to the Participating Agency. We will also hold a results workshop to share our findings.

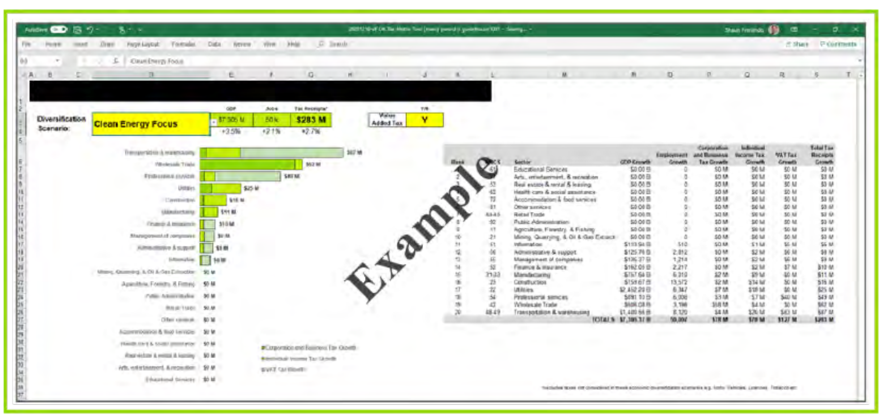


Figure 23. Sample Excel-based tool to evaluate economic diversification choices post-COVID

Develop Target Cluster Strategies

Accompanying a Strategic Plan will be a report that explains the purpose, structure, and rationale behind each of the components within it. This will offer insight into supporting business growth, circular economy industry opportunities, and identification of strategies for businesses and worker. This will be the ‘meat and potatoes’ of each strategy, identifying the target sectors, industries in transition, attraction, retention and resiliency measures, job opportunities, and threats, as well as a prioritization of expansion priorities based on the context and assets of the Participating Agency’s economy. Also included will be detail on supporting economic and workforce (and possibly infrastructure and livability) development strategies. This will identify opportunities for workforce development, community engagement, programs for consideration, and potential size of the opportunity.

In this step, we will introduce the concept of 'economic clusters' as cross-sectoral themes that pull together to mutually support each other and generate significant economic activity. Understanding what makes a cluster is a complex and nuanced concept. In this activity, we will lay out the criteria that contribute to cluster success.

Table 1. Analysis Criteria for Cluster Success for Supporting Cohorts of High-Potential Companies

	What fundamental assets does the cluster possess?	Does the cluster have a competitive advantage?	Is the cluster ready to adapt to global trends?
Highest weighting	Existing anchor firms	Business services quality	Tariffs and trade barriers
	Workforce and skills	Workforce attraction	Global supply chains
	Infrastructure and logistics quality	Fiscal environment (tax rates and incentives)	Global workforce and talent
Higher weighting	Higher education institutions	Wages	Global markets and export potentials
	Regulatory environment	City livability and quality of life for workforce and families	Technological readiness
	Industry organization	School quality	Shifting consumer habits
	Financial institutions	Housing affordability	Just-in-time logistics
Lower weighting	R&D facilities	Non-compete laws	Shifting demand centers
	Land availability	International competitors	eCommerce
	Patent offices	Branding	Public-private partnerships
	Government efficiency	Regional competitors	Intellectual property
	Proximity to markets	National competitors	Digital disruption
	Proximity to suppliers	Industry tradability	Growing middle class

Broadly speaking, the analysis criteria will be governed by three questions:

- What fundamental assets does the cluster possess?
- Does the cluster have a competitive advantage?
- Is the cluster ready to adapt to global trends?

Traditional clustering theory – such as Porter's five forces – identifies skills, knowledge creation, enterprise, real estate, and capital as the dominant drivers of cluster creation. While this is generally still valid, newer models of clustering theory also consider the wider enabling environment in stimulating the emergence and growth of clusters. For example, the absence of non-compete laws in California in the 1970s is often cited as a factor aiding the growth of the nascent IT industry in Silicon Valley; employees who left established firms such as Fairchild Semiconductor were allowed to freely move to other firms, thereby strengthening competitors and spawning new entrants in the industry such as Intel and Sun Microsystems. Fast-forward to the present day, factors such as school district quality, the availability of parks and recreation areas, and other placemaking concepts serve as the tools of economic development professionals to lure high-quality talent; where workers go, firms follow. We will use these principles to define a set of targeted sectors, clusters, and strategies that may be relevant sources of growth and economic sustainability.

We will be looking to unpack these opportunity clusters in order to identify and assess the strength of their underlying assets. This process will uncover the following:

- **Drivers of growth and competition:** regional assets and strengths that contribute to historical or projected growth of the cluster along with unique sources of competitive advantage.
- **Business targeting:** activities related to the identification of firms, out-of-state and internationally, that might be courted for attraction to the region to strengthen the cluster.
- **Opportunities for racial equity impacts:** racial inequities across priority clusters and opportunities to equalize these disparities.

In addition, we will be considering the global trends as well as the competitive landscape for these clusters. This process will highlight economic opportunities for businesses and workers. Furthermore, we will uncover economic challenges industries may encounter due to climate impacts and offer recommendations on ways to mitigate these risks.

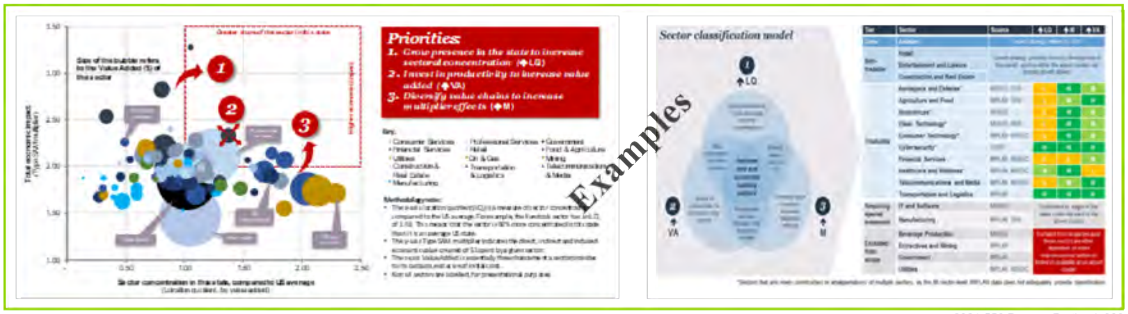


Figure 24. Sample Clustering Analysis

Develop workforce development initiatives with employers, higher education institutions, and government to meet the specific skills needs of local companies, to create more economic opportunities for residents, and to make regions more competitive.

In addition to the strategic framework, we will evaluate labor supply, demand, and key trends across the state and in target industries. The team will also analyze the performance of the K-12 and post-secondary systems as well as the strength of adult occupational training programs. This will inform our recommendations to make targeted economic development investments that build on existing strengths, maximize impact on economic and job growth, and identify opportunity areas where we can mitigate racial and economic inequities. We want to understand what opportunities are available and to whom and how we can ensure we open existing and future high-paying jobs to residents of all demographics. Planning for this means evaluating inequities that exist in public education systems and providing opportunities for BIPOC and low-income communities to catch up.

Following this evaluation, we will design workforce development programs targeting communities with acute needs. These programs will be clearly traceable to our strategic framework and will help operationalize it. We will work closely with the Participating Agency to make sure that programs neatly fit within the already existing realm of workforce development opportunities.

Support implementation of any economic development priorities, initiatives or programs.

Guidehouse can provide a wide variety of services to support implementation, including but not limited to:

Develop Implementation Roadmap and Tools

While it is important to establish an Economic Strategic Plan and Framework to identify and message priorities and future initiatives, it is even more important to successfully execute the plans. It is not our intention to leave you with a nice-looking page on your website, but rather with an actionable and realistic means of carrying out what was so intentionally thought out before the words made their way onto the page. While Strategic Planning will result in written report and mental map of what the Participating Agency plans to do, the implementation plan will really be what moves the organization forward.

We will develop a 5-year Implementation Plan and recommendations to ensure that it is robustly equipped to address the challenges of the Strategy. These recommendations will include people, roles, processes, technology, and services. The plan will also evaluate the role of local and regional partners to support implementation of the strategy and identify gaps in economic development services and related systems, and recommend solutions including analysis of existing and new tools. Our recommendations will also comprise programs that align with Strategic Plan Goals and Objectives along with partnerships to leverage and policies to implement.

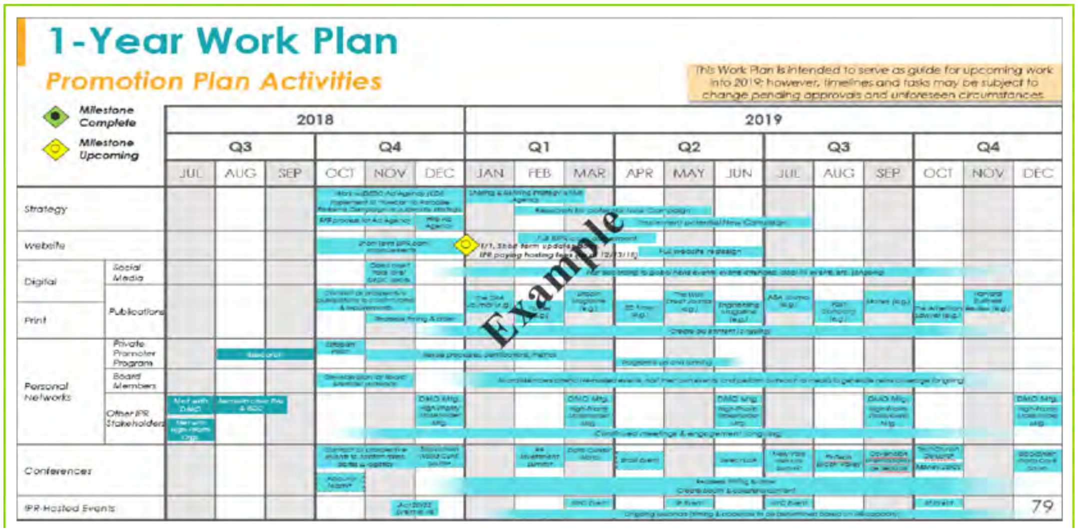


Figure 25. Sample Implementation Plan

Design Stakeholder Ecosystem Operating Model

The number one mistake that entities make when they embark on economic development strategies is that they think they need to do it all by themselves. As we suggested, our approach to this is that a well-designed Inclusive Economic Development Strategy needs to send a clear market signal that catalyzes investment, resources, and commitments – from the private, institutional, and social sectors. Therefore, intentionally designing-in a role for potential partners is a critical step in developing an ecosystem-wide economic development strategy.

Each Participating Entity has a number of partners and these partnerships probably come down to the strength of relationships and personalities between the individuals representing those groups. We will seek to formalize those relationships (where appropriate) in order to secure tangible commitments of collaborating, sharing resources and working on complementary efforts.

We will work iteratively with potential Partners to identify the complementary role that they can take in supporting the Strategy – key to this will be the trust that we seek to instill through an Advisory Committee and the communications cadence we establish with them.

Figure 26. Example Ecosystem of Economic Development Stakeholders

Develop Key Metric and Evaluation Criteria

Identifying the most relevant and impactful metrics and developing a framework to evaluate those metrics are of utmost importance to determining whether the economic development strategy is working to improve the economy. As part of this task, our team will facilitate a process to collaborate across the full team and with other stakeholders as needed to identify population-level indicators that can be tracked over time. To bring sense to these indicators, our team will also propose a corresponding performance-level evaluation framework and process to measure the quality and quantity of work along with progress on the delivery of outcomes.

A key component of establishing goals is ensuring they are measurable and attainable. Our team will work with you to establish KPIs and a performance management process to help you evaluate and track your progress throughout the duration of the Economic Strategic Plan. We will recommend a list of KPIs that accurately reflect the success of our Mission, Goals, and Objectives and iterate to land on a final list. Because overall economic growth does not comprehensively describe how each community is faring, we will work to establish key metrics that disaggregate data by race, ethnicity, socioeconomic class, geography, and any other factor that is deemed important. This will allow the Participating Agency to track the overall performance and continuously evaluate how it is faring in reducing inequities and making strides towards strategic goals.

We will also work to finalize a performance measurement process that lays out how to collect data, how often they are tracked, what reporting mechanisms to utilize, and how to mitigate risks and issues when off track.

Building Resilience and Crisis Response

Our team helps cities, counties, and states around the country respond to and recover from crises, including many catastrophic natural disasters. Whether our clients require project management, program management, administrative support services, grants and financial management for emergency management functions, technology to better support emergency preparedness, data analytics, or collaboration with cross-sector partners, our proposed team of industry and technical professionals understand your needs and can communicate and integrate credibly. There is no “one size fits all” approach to disaster recovery and resiliency, and we will bring NCPA a unique, catered solution that addresses your specific needs. Programs must comply with applicable federal regulations, including the Stafford Act; Code of Federal Regulations (CFR); the FEMA Public Assistance Policy and Procedures Guide; Coronavirus

Aid, Relief, and Economic Security (CARES) Act; and more. We are a partner who understands the processes throughout the life cycle of disaster response and recovery and can help you navigate this constantly evolving and emerging threats.

Conduct organizational assessments of preparation and aid in the identification and adoption of best practices and capabilities for the management of acute events and the delivery of speedy, effective recovery in the aftermath of an event, building on lessons learned from prior crises.

Recovering smarter, stronger, and better means that responding to damages due to all hazards must include strategies to reduce the risk of the same damage recurring. We can reduce the risk by quickly determining proposed project eligibility. We also understand the importance of early identification of permanent repairs to leverage hazard mitigation opportunities and why it matters to conduct pre-disaster planning to maximize hazard mitigation funding. Knowing your hazard mitigation needs will enable faster and more informed decisions, better use of available funds, and strategically position the agency for funding opportunities.

Early involvement of our team, including engineer SMEs, means hazard mitigation opportunities can be quickly identified. Our team has assisted clients in leveraging various combinations of FEMA PA funds, 406 Hazard Mitigation funds, EDA funds, and HUD CDBG funds to rebuild stronger, more functional and more resilient facilities. We are well versed in Benefit-Cost Analysis (BCA) to demonstrate cost effectiveness when applying for FEMA's Hazard Mitigation Assistance grants.

Further, we have extensive grant funding compliance knowledge and experience working at the state, county, and municipal levels managing and overseeing disaster recovery efforts and insurance reimbursement.

Provide direct support to the Participating Agency experiencing a crisis to stabilize mission delivery, contain impacts, manage stakeholders and learn from the experience to mitigate and better respond to future events.

The Guidehouse team has collectively managed approximately $50B in disaster recovery programs, utilizing multiple sources of federal funds. Our work has spanned all stages of post-disaster recovery, and we understand the challenge of balancing the need to address the immediate needs of those affected by the disaster while simultaneously developing long-term resiliency strategies. We understand this requires tools, repeatable and tested practices, and monitoring and reporting systems that provide transparency, accountability, community involvement, and precision execution of your projects and funds expenditures. We also know that no matter how immense the scale of the recovery work, at the end of the day, real people's lives and communities are at stake, and that drives our work.

Support implementation of action plans, best practices, capabilities and strategies to promote increased resilience and/or improved crisis response.

Guidehouse stands ready to support your long-term planning, analysis, and project coordination related to all-hazards mitigation and recovery program management activities, processes, and tools. For emergency management clients, the Guidehouse team has embraced – during all our long-term recovery program administration efforts – the idea of "One Voice to Recovery".

We understand the immense stakeholder involvement, the diverse funding mechanisms, and urgency of bringing a community back from disaster while increasing the resilience and sustainability of infrastructure. This approach to recovery serves to bring one consistent recovery effort that will align to all hazards and each project or initiative they may impact. "One Voice" creates a clear vision of recovery while maintaining an environment of open communication and collaboration. The "One Voice" approach will provide NCPA with an efficient mechanism to recover from these disasters while mitigating the risks of fraud, waste, and abuse of recover funding.

Understanding the needs of the NCPA, Guidehouse will focus on the following areas to maximize our project management efforts:

- **Project & Program Governance:** At the center of the recovery effort is the “One Voice” program office where adaptable governance strategies are put into effect to mitigate changes to existing processes, instill standard operating procedures, and deliver excellence.
- **Financial Planning & Management:** Proper management of financials is truly one of the most critical efforts that any community must make as recovery occurs. Capital infrastructure projects are more frequently scrutinized in the eyes of accountability and face the risk of legal ramifications.
- **Risk & Issue Management:** Constant inward facing risk and issue identification iterates throughout the overall program. Risk & issue management serves the program by identifying changes that need to occur and the customer by finding critical issues in the system which could lead to project failure.
- **Quality Management:** Communities recovering from a disaster must hold the governing body accountable for project close out but also successful, high-quality deliverables.
- **Integrated Planning & Schedule Management:** One of the largest project failures that caused a delayed schedule, which impacts funding. Proper management allows for an in-depth resource planning initiative that holds the program accountable.
- **Change and Stakeholder Management:** Proper outreach, involvement, and collaboration will lead to faster recovery and more resilient community.

Guidehouse will implement a lifecycle approach throughout the program, allowing for improvement of accountability and efficiencies and an overall reduction of losses. Through this approach, Guidehouse will work with NCPA to maintain oversight of projects and stakeholders while complying with state and federal regulations.

There are five critical phases within the management of a long-term recovery program: initiation, planning, execution, and reviewing and monitoring. Within these identified phases, we understand there are additional key deliverables that provide accountability, audit readiness, and a successful recovery program. We additionally understand that large-scale recovery programs may have projects within different phases concurrently in any given instance and, thus, Guidehouse operates in an iterative and adaptive way, linking all stakeholders in a positive manner.

Transforming Back-office Functions

Complete diagnostics and transformations of major back-office functions like Finance, HR, Procurement, Legal, Risk and others, including identifying financial opportunities, customer service improvements, and other benefits to the Participating Agency

Guidehouse’s process and strategic transformation of major back-office functions have enabled many public and private sector organizations to achieve significant quantitative and qualitative benefits. This includes better services to constituents, increased trust between operational divisions, and reduced cost and redundancies. Examples of states, cities, and federal agencies that we have helped recently with business process and technology improvements include the Commonwealth of Massachusetts, City and State of New York, State of Texas, State of Michigan, State of Colorado, City of Seattle, City of Chicago, the U.S. Department of Veterans Affairs (VA), the National Institutes of Health, and the U.S. Centers for Medicare and Medicaid Services. Our experience spans both strategy and execution, and we know how to develop recommendations that are practical and designed to succeed – in fact, that is core to our value offering. We understand the criticality of effective change management and we are known for our ability to build buy-in among diverse stakeholders. Our approach is collaborative and we leverage existing documentation with the NCPA member who needs the services to expedite our efforts and work quickly to assess their current environment. At the same time, we will build relationships, understand the work that still needs to be performed, and develop how best to deliver it based on stakeholder views, organizational needs, and historical data.

Project Planning

We begin by building alignment around the project goals and objectives, and detailing the concrete tasks, durations, and responsibilities into a project plan that will drive the activities throughout the engagement. This includes both tactical elements related to the project management of this engagement, as well as confirming a mutual understanding of the overarching goals of this project. Specifically, we will work with you to establish a framework for articulating the participating entity's overarching strategy and how performance indicators can be used to paint a truly meaningful and informative picture of this strategy's progress through their performance reporting. We will also design a project governance structure that includes weekly touch points, a steering committee structure, and regular executive briefings. In our experience, these regular communications promote a collaborative approach to the project and generate buy-in from key stakeholders, setting you up for a successful implementation of agreed upon improvements.

Current-State Assessment

Our goal in this task will be to understand your current priorities, objectives, and operations in order to set the foundation for future state recommendations and a successful implementation. This can be a heavy lift, so having an organized and tested approach to collecting, synthesizing, and analyzing data will be critical.

Our assessment will focus on three main components: **people, process, and technology**, assessed against how they support the strategy to become the most resilient, equitable, and sustainable organization in the world, and how the organization can continue to assess and report on its performance moving forward.

To answer these questions and develop a robust current-state understanding, we will interview internal and relevant external stakeholders, review process and technical documentation, and observe walk-throughs of tools and technologies. Based on our experience, we take a multi-pronged approach to gather information for the current-state assessment because it allows our team to learn from the people that know the current-state best, while maintaining objectivity in our analysis.

Interviews: As we analyze the current state, it will be important to engage directly with stakeholders to understand their perspectives and priorities. We will work with the operations' project team to identify key management and staff, and select agencies to interview.

These interviews will be structured to gain insight into the strategy, people, process, technology, and metrics involved in developing the transformation desired.

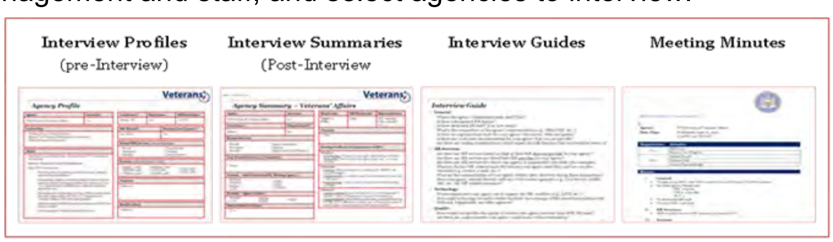


Figure 27.

This approach will not only give stakeholders an opportunity to share their perspectives on what has and has not worked well, but also their goals for the future.

Our aim will be to foster engagement in the project and to develop an objective understanding of where the organization has been, where it is, and where it wants to go.

Large U.S. Police Department – Strategic Planning
For a large U.S. police department, we supported the development of a current state assessment, provided recommendations, and created a strategic plan for a major departmental initiative. In 3-months, the team conducted over 130 interviews, participated in on-the-ground shadowing of staff, reviewed hundreds of pages of documentation, assessed existing tools, and supported brainstorming sessions to document what the organization looks like today and design how it wants to change for the future. Final recommendations and an implementation plan were presented to the agency.

Documentation Review: Based on our extensive experience and strong project management skills, we have developed a systematic approach to reviewing documents. There is no secret methodology for reviewing and assessing documents, but reviewing a high-volume of documents in a short period of time can be difficult to digest.

We will develop a document tracker, divvy up documents, track insights, and regularly debrief across our team to ensure everyone has a clear understanding of the information and prevent re-reviews. Depending on what is available, we will likely review any existing team, process, and technical documents, and will conduct a thorough review of the recent efforts.

Tools and Technologies Review: To really understand the tools and technologies the organization uses, our team will conduct demonstrations with the staff that know them best. This hands-on approach will allow our team to understand the capabilities and constraints of the tools and technologies available, and assess if there are opportunities to leverage untapped capabilities. In our experience, government agencies often purchase commercial off-the-shelf (COTS) tools without a complete understanding of their capabilities and customization opportunities. Our team is technology agnostic and can help Operations assess its current technology infrastructure across its many applications, develop recommendations for improving operations, and identify training opportunities.

Leading Practices Research

To enable organizations to operationalize their goals, our team will conduct leading practice research, including identifying any leading practices already in existence at the agency; understanding success stories and lessons learned from other K-12, government, non-private, and commercial entities that have a robust performance management system; and reviewing relevant reports and academic papers on evaluating performance and encouraging accountability. When we incorporate leading practices into our recommendations, we will consider the organization's specific requirements, resource constraints, and organizational nuances and adapt leading practices from other industries based on potential viability and impact.

Development of Recommendations

NYC Department of Citywide Administrative Services (DCAS) – Customer Service Review
Our firm developed a service delivery assessment to help DCAS to reach its goal of customer experience excellence. Our team formed a future state recommendations report, with a key focus area being performance management. This focus area expanded on key recommendations 1) to define and measure customer service KPIs and 2) to develop and report on SLAs. Our report defined driving questions, considerations, next steps, and processes for setting up performance management tools and using these to improve outcomes.

During this phase, our team will focus on evaluating current processes and identifying recommendations for areas that can be improved to produce a more meaningful recommendations. While our focus is on improving the operations of developing the recommendations, it will we be done with an understanding of the impact on reporting agencies and ultimate customer – the public. Creating a positive customer experience should always be top-of-mind as the recommendations alone cannot encourage transparency, accountability, and improved government services if the public is not paying attention.

For these reasons, in addition to time, effort, and anticipated outcome, we will consider the downstream impact of our recommendations when developing and prioritizing them for implementation. Our team will:

Take a Holistic Approach: To develop feasible and relevant recommendations, we will identify the gaps and pain points in the organization's current approach to performance management, specifically as it relates to policies, processes, procedures, organizational structure, and technology systems.

We will then map these gaps to the goals and objectives to develop a series of recommendations to strengthen and streamline the recommendations. This could mean leveraging real-time data and focusing on graphical depictions of progress, rather than content heavy reports. Given our holistic approach, you can expect our team to provide comprehensive recommendations that address internal and external opportunities, considerations, and risks.

NY Governor's Office of Storm Recovery– Business Intelligence

For GOSR, Guidehouse provided business intelligence and dashboard support, resulting in improving operational and financial efficiency through data driven analysis. To do so, we worked collaboratively with the client executive team to gather raw data and customize data collection templates. We performed a rapid current state assessment, identified gaps, and developed a target state analytics model. Our team then developed an automated self-service business intelligence dashboard to reduce manual efforts and capture important financial and operational metrics.

Justify Our Recommendations: In support of and to inform these recommendations, our team will develop a revised staffing model; process maps outlining recommended routines, protocols, and practices; and a framework for mapping relationships between indicators.

These documents will be critical for demonstrating the feasibility and rationale of our recommendations, moving them from the theoretical into the practical. It is easy to advise clients to develop metrics that measure outcome, but developing a framework for mapping indicators requires expertise and knowledge in what these data points mean and how metrics should be developed.

Look Forward to Implementation: To ensure that we are developing recommendations that the organization can and is excited to implement, we will host facilitated meetings for stakeholders to learn about and provide feedback on our findings and preliminary recommendations. This meeting will give our team an opportunity to leverage the insights and experience of management and staff to further refine and improve the quality and applicability of our recommendations. This collaborative approach will guide our team to propose recommendations that are realistic (from cost, governance, and resource perspectives), and build consensus among internal stakeholders, who will be responsible for implementation.

Prospect Park Alliance (PPA) – Strategic Planning and Staffing Model

For PPA, a public-private partnership between a non-profit and the New York City Department of Parks and Recreation, Guidehouse developed a strategic plan for the Alliance to respond to significant changes it faced. We conducted a series of interviews, workshops, and surveys with park users, staff, board members, donors and City staff members that resulted in a clear mission, vision, goals, and objectives; implementation roadmap prioritizing key activities for the next year; and initial near-, medium-, long-term recommendations. In addition, the team developed a staffing model to detail PPA's resource needs.

Implementation Roadmap

Once we have identified the desired future-state recommendations, we will focus on the steps necessary to make this new performance management approach a reality. We are not satisfied with simply providing a list of recommendations – especially if no clear direction exists on what to do next – so our goal in this final task will be to set you up with the tools and support you need to finish the job. We will develop an implementation plan that sequences recommendations, builds a stakeholder engagement strategy, and clearly outlines the timeline and resources needed for a successful implementation. This approach has five main components:

Implementation Timeline: Our team will work with the project team to facilitate knowledge transfer and to translate the recommendations into actionable next steps. Change can be hard to implement, especially when it impacts nearly every agency, so it is critical that the collaborative environment continues through implementation planning. As we develop the roadmap, we will work together to review, refine, prioritize, and sequence our list of recommendations. The timeline will consider staffing and budgetary constraints and provide sufficient detail so that your implementation team is able to effectively rollout new procedures, roles and responsibilities, and tools and technologies internally and externally. It will tackle the most meaningful, yet achievable, initiatives early on, and build momentum that extends beyond the conclusion of this engagement.

Case in Point: New York City Housing Authority - Current State Assessment & Future State Design

NYCHA engaged Guidehouse to guide decision making around consolidation, human resources, operations, staffing, customer service and facilities considerations for their call centers. We documented the current state of NYCHA's walk-in centers and leveraged that knowledge to design a future state operating model, technology requirements, and performance metrics. PwC also developed a decision-making tool to monitor customer service levels and operational efficiency.

Resource Plan: When we develop implementation plans for our clients, we not only consider the resources you need to maintain the future-state, but also the resources needed for a successful implementation rollout. As part of the implementation plan, we will provide a staffing analysis for the resource needs for each of the implementation initiatives and your long-term needs. This is not just about understanding headcount, but skills development, training, and technology requirements. Our goal will be to think about how your immediate resource needs for the implementation translate to the long-term. This will enable Operations to plan for its initiatives, and to think strategically about how to leverage outside vendors, while keeping institutional knowledge in-house.

Change Management Approach: All transformation efforts require some degree of change

management to bring stakeholders through the stages of change necessary to make the transformation a reality. Ideally, change management activities should be integrated into implementation planning to maximize the opportunity of success. This entails developing an understanding of who will be impacted and in what capacity; of how ready and receptive people will be to change; of where pockets of resistance might exist and who can serve as champions for new initiatives. The organization needs to address both the "skill" and the "will" of their people and that of their reporting agencies as part of this change initiative. In our experience, these activities are not "nice to haves"; they are critical to the successful rollout.

Spotlight: Chicago Public Schools Organizational Training and Change Management

Chicago Public Schools (CPS) developed a new district-wide strategic plan to govern the design and delivery of special education supports and services for nearly 60,000 students with special needs. Guidehouse led the change management work stream within a broader PMO established by CPS to facilitate the district-wide implementation of the new special education strategic plan. Guidehouse's efforts involved identifying and analyzing stakeholder needs associated with the proposed strategic program changes, and thereafter developing the corresponding change management plan. Guidehouse then facilitated the design, development, and delivery of training activities for more than 7,000 school administrators and special education practitioners to help the district implement its new special education program strategy

As a complement to the larger implementation plan, our team will develop a communication and outreach plan to engage internal and external stakeholders before, during, and after the implementation rollout. This will not only include guidance for communicating consistent messages often, but also providing internal and external training so leadership and reporting agencies' staff feel prepared to embrace the new performance management framework.

Evaluation Approach: Establishing concrete goals and clear, objective metrics is critical for measuring the success of any business process transformation. Our understanding of the organization's strategy and objectives for undertaking this project will position our team to identify quantifiable measurements of success. We will work with project leadership to document these performance measures and create tools and systems to track the progress of your implementation and evaluate whether you are achieving the intended outcomes. This process of working side-by-side will have two beneficial outcomes: 1) the Organization will be able to measure the success of its implementation and use data to inform decision-making, and 2) We will model a collaborative approach to metrics development that staff can leverage when rolling out the new framework to reporting agencies.

Risks and Mitigation Strategies: To round out the plan, we will identify main risks for the overall implementation, and develop strategies to mitigate them. We will review these with the stakeholders and update them as needed.

Support Participating Agency back-office strategy, lean management, and business process redesign efforts to improve performance, innovation, and service levels; including designing shared services transformations and process digitization as appropriate across function.

In order to drive organizational improvement, Guidehouse employs a comprehensive methodology known as *Transform*. This methodology combines leading change management practices with critical knowledge and firsthand industry experience. Our *Transform* approach differs from traditional methods in three critical ways:

- It integrates strategy creation, planning, and execution management to focus on the entire improvement spectrum, including strategy, people and change management, organizational design, business and process requirements, integrated process design and long-term planning;
- It links performance drivers and value to assessment, design, and implementation; and
- It drives towards sustainability and continuous improvement.

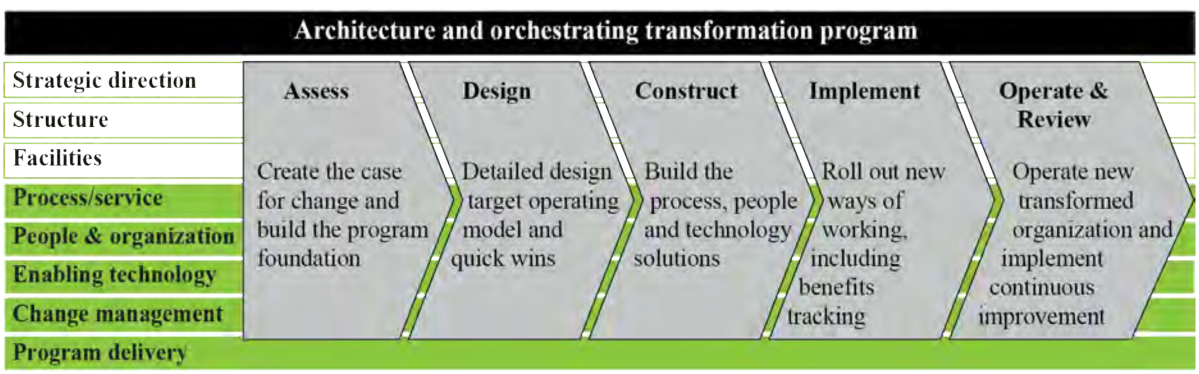


Figure 28. Guidehouse Transform Approach

Our team has significant expertise in providing business process improvement and reengineering services to government agencies – from administrative to operational functions – to improve efficiencies, eliminate redundancies, and reduce costs. A LEAN Six Sigma program must address six key elements to obtain sustainable enterprise operational excellence.

- **Customer Value.** Defining customer value to align people, processes, and the organization to perform at their best.
- **Process.** Using a LEAN improvement methodology to eliminate waste and defects in their workflows and allows process owners to be proactive and track capabilities based on LEAN

Six Sigma tools and results against customer satisfaction, quality, timeliness, cost, and safety metrics.

- **Performance Measurement.** Defining the connections between customer requirements, processes, and business management help align activities to strategy and control execution on a day-to-day basis, which sets the foundation for ongoing management and sustainable results.
- **Behaviors.** Establishing the discipline to follow standard work procedures, developing an awareness of waste, emphasizing continuous incremental improvements, and shifting from reactive to proactive management.
- **Organizational Capabilities.** Realigning from performing individual departmental tasks to collaborating across value streams and involving more than one person or group.
- **Leadership.** Demonstrating leadership commitment to LEAN Enterprise by continuously focusing and repeating these behaviors, by defining strategy to focus on customer value, and by establishing LEAN as the mechanism for achieving strategic operational objectives.

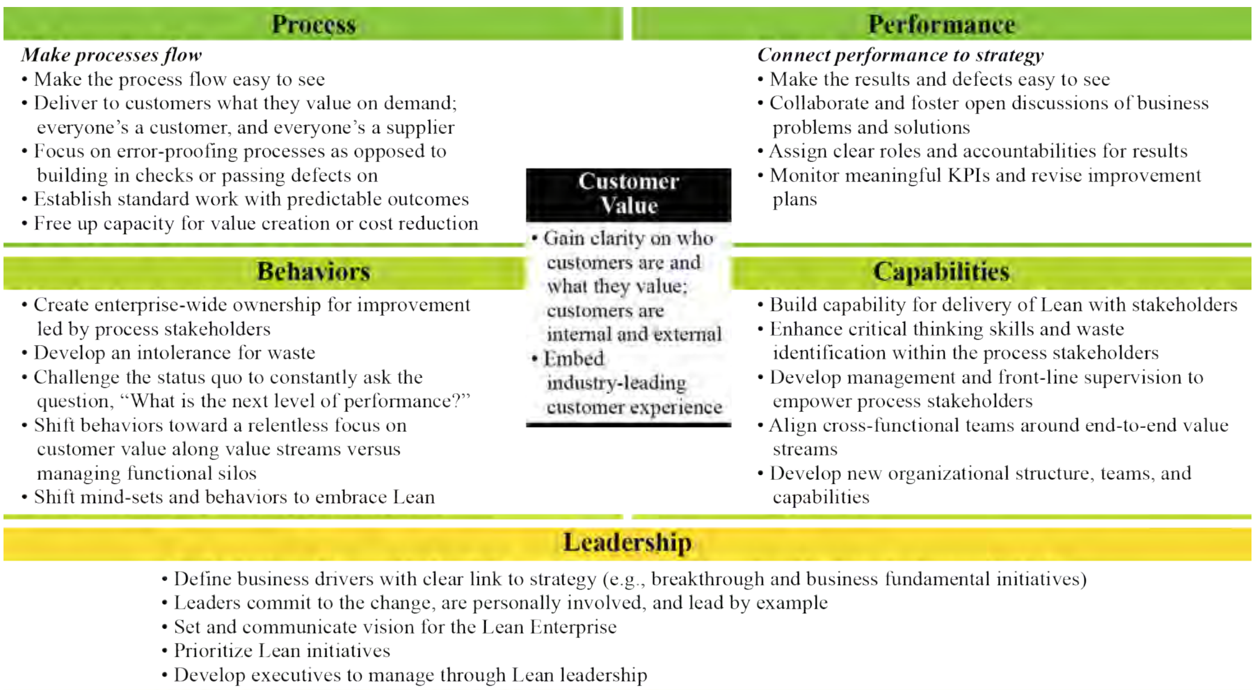


Figure 29. Guidehouse LEAN Six Sigma Framework

Our unique approach will leverage the knowledge gained through previous business application and process improvement successes with numerous state and local government organizations. As a nationally recognized team specializing in public sector work, we bring the insights and best practices from dozens of federal, state, and local clients to you.

Case in Point: Metropolitan Transportation Authority Headquarters (MTA HQ) Pension and HR Organizational Assessment
The Metropolitan Transportation Authority Headquarters (MTA HQ) engaged Guidehouse to perform a comprehensive organizational assessment of Pension and HR functions. The project's main objectives were to document and analyze all key processes for in-scope units, evaluate the current technology landscape and provide recommendations to enhance efficiency, and identify and provide recommendations on any other pain points originating from process, technology, and staffing dimensions. The team conducted an analysis of current processes, organizational structures, and tools and technologies to identify pain points, develop a recommendation, and create an implementation roadmap. Additionally, the team conducted stakeholder interviews and diagram review sessions to perform a current state assessment and then drafted 125 detailed diagrams and supporting detail documents for processes across in-scope MTA HQ departments. The team identified 50 salient staffing, process, and technology pain points contributing to inefficiency, inaccuracy, and

Case in Point: Metropolitan Transportation Authority Headquarters (MTA HQ) Pension and HR Organizational Assessment
decreased customer service. The research on leading practices, which included collaborative working sessions and continuous review cycles, further aided the team in their development of recommendations to address the identified pain points. This work documented and analyzed all key processes for in-scope business units, evaluated the current technology landscape, providing recommendations to enhance efficiency, and identified additional suggestions regarding any other pain points originating from process, technology, and staffing dimensions.

Develop or enhance strategic sourcing capabilities to optimize procurement effort and spending by identifying and applying best practices from the private and public sectors like clean-sheeting and fact-based negotiations; developing or enhancing staff capabilities in strategic sourcing and advisory firm management; and optimizing assets through initiatives such as application rationalization, architecture design and simplification, infrastructure consolidation, and/or technology rationalization.

Guidehouse has significant experience in assessing procurement functions and providing implementation support across the end-to-end procurement lifecycle. More recently, over the past five years our procurement assessment and implementation support has included multiple public sector organizations including the New York Housing Authority (NYCHA), Southern Pennsylvania Transportation Authority (SEPTA), United Nations, City of Detroit, Maryland Department of General Services (DGS), Metropolitan Transportation Authority (MTA), Port Authority of New York and New Jersey (PANYJ), and Washington Metropolitan Area Transportation Authority (WMATA). Furthermore, we also understand the complexities and opportunities for public institutions using federal funding sources.

A clear procurement strategy at the outset that determines the best solicitation approach based on the funding source, budget, and types of service required can go a long way to support the participating agency in increasing its vendor pool, streamlining its procurement efforts, and shortening the timeline between need identification and contract start. Our team has extensive experience managing the solicitation process in several public agencies. Building on our previous experience and lessons learned, we can provide an enhanced procurement team to continue to add more efficiency, structure, discipline and formal documentation processes required for federal funds. Our overarching approach can be found below.

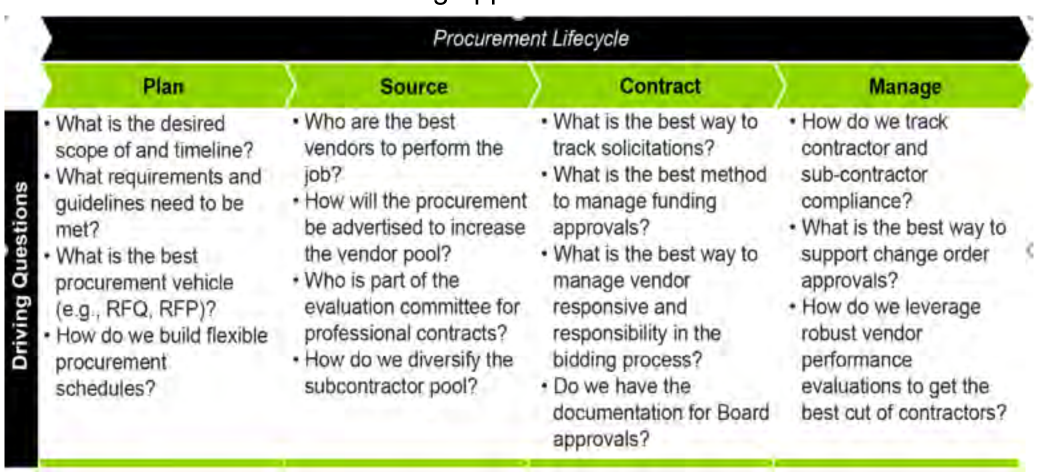


Figure 30. Approach to Procurement and Strategic Sourcing Strategy

This approach also includes activities such as:

- Analyze, evaluate and issue RFQs and RFPs, as a result of customer requisition
- Request quotations from suppliers, as needed

- Assist in procurement efforts to efficiently and effectively enable schools and departments to maximize the value they receive from suppliers
- Analyze and evaluate cost or price proposals and provide cost benefit analysis
- Track and report daily progress and status of procurements
- Provide Contract Administration Services

Public sector organizations all around the world have grappled with procurement for decades. These organizations have attempted to find a balance between the need to move the people's money efficiently, spend it effectively, ensure spending is transparent, and also, in many instances, ensure that the organization is supporting local diverse businesses in a way that spurs the local economy and supports underrepresented business owners. We understand that the constant tension with these mandates is hard to balance. In the wake of the COVID-19 pandemic, Guidehouse is equipped and prepared to help the participating agency with leading industry practices, and processes necessary to position the organization for long-term operational success in the realm of procurement.

To support participating agencies, we will:

- **Perform an in-depth review of the policies** that govern the organization's activities.
- ***Conduct interviews with key stakeholders*** involved in the procurement policy development process, developing an understanding of how the organization translates regulations into policies impacting the procurement process. This activity will also allow us to tap into the legal expertise, identifying any potential risk areas from the perspective of legal staff.
- **Evaluate MWBE sourcing policies**, determining if they adequately support fostering a healthy community of MWBE vendors.
- **Review existing policies around vendor responsibility and responsiveness**, establishing whether they adequately insulate the agency from risk related to vendor performance, while also being clear and open enough to support development of a healthy vendor community. We will also examine existing vendor contracts, determining if they leave the agency open to risk, and if there are any opportunities to include contract terms more advantageous to the agency.
- **Develop a regulations inventory**, assessing regulatory impact on procurement activities and identifying regulatory impact on various procurement stakeholders.
- **Create decision trees**, demonstrating how staff make procurement decisions based on regulations (e.g., competitive procurement thresholds) and procurement policies (i.e., p-cards for small purchases) around goods or services being procured and value of procurement.

Figure 31. Procurement Decision Tree Example

- ***Highlight areas where the agency's current policies*** might be out of compliance, potentially exposing risk, or where they are overly stringent, resulting in duplication of time and effort.

Upon completing the above activities, we will have a deep understanding of both the regulations and policies governing the Agency's operations. This will in turn allow us to identify areas where regulations might be adjusted to better fit the procurement needs for supporting ARPA federal grants or to its compliance risks. To execute on this approach, our process also includes your requested activities such as:

- Review and conduct complex analyses and quotes and/or RFQs issued and provide
- recommendations concerning the agency's procurement requirements
- Working in collaboration with departments to adhere to district policies and achieve the agency's goals
- Communicate, work in collaboration and assist with key persons, schools, and departments to ensure schools/department understand the procurement/RFP process so they can generate requisitions and receive purchases in a timely fashion

Develop IT strategies that directly help the Participating Agency achieve its goals and objectives, and design corresponding organization and governance approaches that deliver the highest value including optimizing core IT functions (e.g., architecture, infrastructure and application management), defining how technology supports business processes, and identifying opportunities to transition to new or updated technologies or systems.

Our numerous IT engagements have enabled us to gain experience in a broad range of technologies from mainframe applications to emerging innovations. Our firm has dedicated solutions teams that are constantly enhancing our body of knowledge as well as defining our proprietary methodologies and approaches. Our frameworks are not only theoretical and academic, but also are supported by implementation experience that has informed our methodologies and grounded our approach for real-world applications. This real-world experience includes extensive work within cybersecurity and systems planning as well as in other areas such as enterprise resources planning (ERP) system strategy and deployment, human capital management, business continuity planning, and process management services.

Case in Point: Regional Justice Information Services Commission IT Organizational Strategy Assessment

Guidehouse conducted an IT Organizational Strategy Assessment for the Regional Justice Information Services Commission (REJIS) in St. Louis, Missouri. REJIS serves as a law enforcement technology consortium whose goal is to provide support to police departments and other public sector agencies in the St. Louis metro-area. REJIS had been facing several challenges from both an information technology and organizational perspective that have impacted its role as the premier law enforcement software and data provider in the region. Our team provided REJIS with a list of strategies and recommendations to enhance their organization with a goal of catalyzing their software/product development process and supporting their long-term financial viability.

Strategic IT planning is critical if a state or agency want a coordinated, consistent, and efficient IT architecture. Too often, as institutions identify business needs, they work with their IT divisions to meet those needs—resulting in a patchwork of solutions built on potentially incompatible systems with data conversion challenges, latency issues, and redundancy. Guidehouse has experience working with government organizations throughout the IT lifecycle, helping them identify critical strategic questions, and developing the technical requirements or identifying the correct applications to meet the organization's needs. Guidehouse works to address questions such as:

- Where does it make sense to leverage enterprise-wide shared IT services, rather than keep the system within the agency?

- What can technology do to enable forward looking solutions within organizations? Too often, organizations identify and implement IT solutions when old systems or processes break down, sometimes with disastrous consequences. Strategic IT planning should focus on helping businesses identify IT opportunities before the disasters happen.
- What existing software is already in use by other organizations that can, with little additional cost, be customized or configured to meet the enterprise's need?
- What architecture is right for the enterprise going forward? Is a Service Oriented Architecture right for the agency/state? If so, what should it looks like? What requirements will the state/agency need to be included in future procurements to ensure technical alignment?

Help improve IT portfolio management and capital planning to align spending with service and IT organization strategies including assisting on IT project value assurance.

Guidehouse has a long history of providing project, program, and portfolio management strategy services to state and local governments and other public institutions. We have a suite of accelerators that will allow us to do this work efficiently and effectively. As illustrated below, our Target Operating Model Framework for Portfolio Management is a vital piece of our overall approach, to be deployed in tandem alongside program and project management.

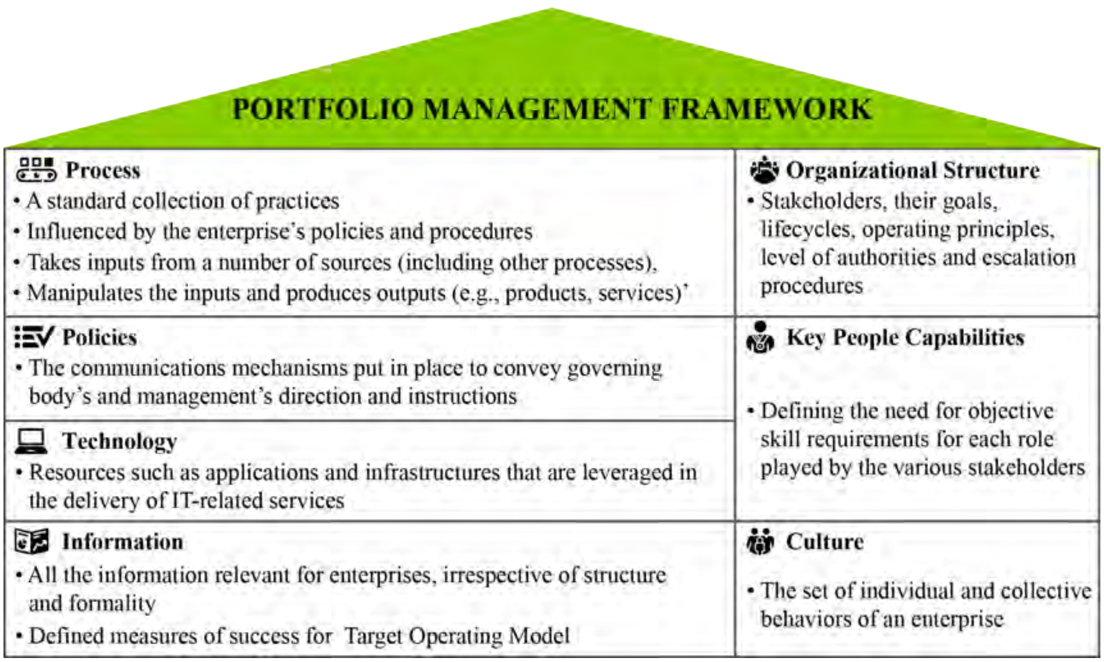


Figure 32. Our Portfolio Management Framework

Creating an organizational portfolio of change programs or projects requires a blend of experience and science. It requires the experience and knowledge of key individuals to set the direction and construct of the portfolio, together with the science behind portfolio management and optimization to ensure that it delivers value, manages risk and maximizes returns. Too often portfolios are left to chance and they are not developed and then managed in a methodical way.

Leveraging our framework and experience, we will adopt a methodical approach to get the most out of the change initiatives, that removes 'gaming' from the process of prioritization and selection. A well-conceived and managed portfolio will undoubtedly optimize an organization's return on overall project investment, and realize the following benefits:

- Optimize the selection of programs within the portfolio using quality data and objective criteria to help the organization more effectively achieve its change strategies;

- Look at the portfolio management capability with the objective of ensuring both program selection and reviews clearly support the organization's strategic goals – being brave enough to stop projects or programs that are not delivering;
- Create a portfolio management function from a business architecture perspective, ensuring the right people, process and tools are in place to effectively manage the portfolio of change programs that consistently align to business goals; and
- Build a sustainable and effective 'ideas pipeline' to continually enter new projects and programs into their portfolio.

Our framework and model will account for various project/initiative characteristics (including but not limited to):

- Funding: Capital vs. Non-Capital
- Alignment to goals: Strategic vs. Tactical
- Lifecycle: Replacements/Core system implementation vs. Upgrades/Enhancements
- Product Type: New System vs. Maintenance
- Methodology: Waterfall vs. Agile vs. Hybrid

Our proprietary **program/project management framework** for large scale transformations forms the basis of our approach. This outcomes-based methodology, that has its basis in our collective experience of executing, implementing and overseeing thousands of technology implementations over the last few decades, allows us to arm you with industry best-practices, evaluation criteria and benchmarking for informed, data-driven decisions.

From our experience in assisting government, quasi-government and commercial clients assess, implement and manage their enterprise IT transformations utilizing industry standards such as Control Objectives for Information and Related Technologies (COBIT), International Organization for Standardization (ISO), Information Technology Infrastructure Library (ITIL), and the Project Management Body of Knowledge (PMBOK), we will employ proven practice aids and accelerators for driving your projects through an inventory of necessary activities for each task area.

Each individual outcome, and their associated sub-categories have detailed tasks, success drivers and artifact templates associated with them. This framework combined with the deep expertise that our practitioners bring to an engagement allows our stakeholders to accelerate the process of project initiation and driving execution activities to help organizations realize their outcomes faster.

To coordinate, integrate, and execute all projects to successful delivery, the Guidehouse team will utilize its proven Program Management approach shown in the figure below. Based on our proprietary framework, our approach utilizes proven processes, tools, and techniques to ensure projects achieve client satisfaction while meeting cost, schedule, and performance requirements.

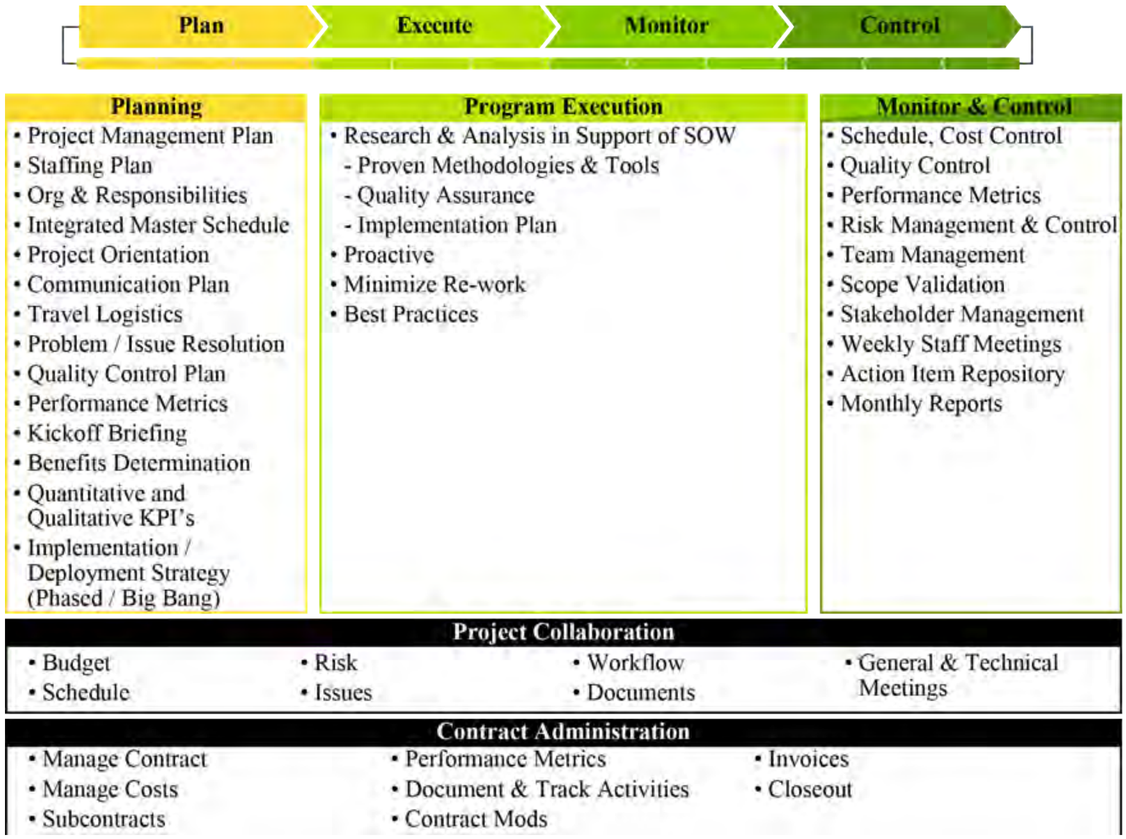


Figure 33. Proven Program Management Methodology

Planning Phase

Our Planning Phase includes the steps required to effectively define how the project will be executed, monitored, and controlled.

Execution Phase

Our Program Execution Phase encompasses development and delivery of the requirements, deliverables, and work products documented in the RFP. Communication in this phase is essential to ensure that we work closely with our clients to capture processes, analyze operations, measure performance, identify risks, and develop recommendations. Our approach is designed to capture and widely communicate goals, findings, impacts, and potential benefits as we progress to keep the entire team apprised and engaged.

Monitoring and Control Phase

Our Monitoring and Control Phase is one of the most important phases to ensure that we deliver on our word. This phase includes the measurement of ongoing project activities, monitoring the project variables against the schedule and cost parameters and previously identified performance metrics and ultimately identifying corrective actions to properly address issues.

Overarching Quality Management

A final key element of successful delivery lies within both the Execution and Monitoring phases; the implementation of our proven Quality Management processes. Our robust Quality Control and Assurance activities ensure that our work complies with the requirements of the contract. They are designed to identify and correct discrepancies before they become part of a deliverable. Our Quality Management process includes both Quality Assurance (prevention) and

Quality Control (detection and remediation). Our Quality Assurance processes are grounded in team delivery standards and product templates that improve standardization.

The goals of our quality control and assurance activities are

- Develop and deliver products that are consistent with the client and vendor's requirements
- Develop products that are high quality, accurate, inclusive, and delivered on time
- Implement procedures to identify, prevent, and ensure non-recurrence of any defective services.
- Implement consistent processes that use stakeholder feedback as a measure of quality
- Implement processes that allow for efficient execution of requirements in a cost-efficient manner

Case in Point: Centers for Disease Control and Prevention, Office of the Chief Information Officer IT Portfolio Management Strategy
Guidehouse was contracted by the CDC OCIO to provide IT Portfolio Management Strategy support and advice in maturing the governance model. The IT Strategic Roadmap serves as a key planning document that provides clear architectural direction by establishing a strategic pipeline for IT investment comparing technological needs of individual components against the fulfillment of larger mission critical goals and objectives. Our team developed and enhanced an initial phase of evaluation criteria for prioritizing BSO IT systems. This phase was developed in alignment with the CDC strategic plan, Office of the Chief Operating Officer (OCOO) and OCIO strategic objectives, and the CDC IT strategic plan; Piloted the evaluation criteria with select IT initiatives to determine areas for improvement so that the criteria is 'fit for mission.' The team is concurrently developing the second phase of evaluation criteria to inform a comprehensive evaluation model for prioritizing initiatives based on CDC priorities, preferred technical platforms, and scalability.

Resource Capacity Planning

Resource capacity planning is a critical function of portfolio management, and our portfolio management framework approaches this process beyond the simplified equation of supply and demand. To be sustainable, resource capacity planning should be high level and strategic, designed to withstand a dynamic, competitive, and constantly changing environment typical to business and technology transformations.

Factors to consider in effective resource capacity planning include:

- **Resource Allocation**. Often defined as assigning "the right people working on the right projects at the right time," strategic resource allocation is crucial in making sure that the project is on time, on budget, and on track. It also reduces unnecessary waste in time, money, and manpower throughout the different levels of project management.
- **Resource Demand**. A high level of visibility is crucial for project and portfolio managers to monitor resource demand in real-time and obtain a holistic view of the opportunities (or threats) that surround a project. Without this ability to see the big picture, resources are prone to be either overloaded or underutilized – neither of which adds value to your portfolio.
- **Resource Utilization.** You cannot maximize resource efficiency without having a clear idea of exactly where and how your different resources are being used. This is especially important when your organization is working on multiple projects simultaneously and you are compelled to make the most of available resources.
- **Project Prioritization.** Sound project portfolio management demands that resources are assigned to projects in order of their priority. Based on accurate project data and requirements, resource managers need to analyze and decide which projects to give precedence to. These decisions are usually influenced by factors such as urgency, cost-effectiveness, and overall sustainability.

Resource Sourcing and Management

Our portfolio management approach emphasizes ensuring that interconnected resources are allocated to the highest priority efforts, so that the organization can maximize on-time project execution and eliminate unnecessary costs that reduce project ROI. We do this by:

- **Taking a complete inventory of projects.** All current and future projects' resource needs should be mapped against time to produce a comprehensive understanding of resource constraints. Depending on the organization's structure/size it may be difficult to aggregate a truly comprehensive list and supporting plans. Any effort left uncaptured will create a resource drain impacting other projects that utilize similar resources.
- **Estimating project resource demand.** All current and future projects' resource needs should be mapped against time to produce a comprehensive understanding of resource constraints. Depending on the organization's structure / size it may be difficult to aggregate a truly comprehensive list and supporting plans. Any effort left uncaptured will create a resource drain impacting other projects that utilize similar resources.
- **Assessing resource supply and capacity.** Examine capacity for each functional organization contributing critical project resources. For each skillset detail the Full-Time Equivalent (FTE) headcount capacity available for project work. Account for available time shrinkage for each person to conduct non-project activities (meetings, admin, vacation, etc.). The aggregate skill-set buckets should not exceed roughly a dozen categories and should be mappable to the project demand skillset buckets used during project demand estimation.
- **Conducting project supply and demand analysis.** Combining the supply and demand data will produce a visualization map that highlights where the project portfolio has over-subscribed resources.

Time Management

Project success depends heavily on effective time management, since time is a limited resource. Our portfolio, program, and project management methodologies enable organizations to better prioritize project tasks, utilize teams' time, and skillsets, and consistently deliver projects on time and within budget. Our team has utilized the following approaches to ensure effective time management on projects:

- **Establishing a project baseline and a well-defined project plan.** You can't manage what you can't measure. Establishing a project baseline, often referred to as a performance measurement baseline, is one of the most important steps for project time management and success. This baseline should include the original project scope, work breakdown structure (WBS) and associated project phases with key milestones and dates. Publish progress reports on a weekly basis to learn how project performance is tracking to the original plan. Any change to the original project scope will require an adjustment to this baseline.
- **Assigning resources effectively.** Develop a robust understanding of your teams' skillsets, workloads, and the estimated time it takes them to complete tasks. When resources are assigned appropriately and time managed well, projects have a higher likelihood of success. On the other hand, poor allocation of resources and mismanagement of team time will lead to budget overages, missed milestones, and under or over utilization which increases the risk of project failure.
- **Engaging and communicating with stakeholders effectively.** Some of the biggest time-related issues project managers face are delays in communication, and more often than not, those delays are not happening within the project team itself. Instead, stakeholders who were so invested at the beginning of a project are often the first to go silent after time has passed, and their priorities—and attention—has shifted onto new tasks. The best way to maintain stakeholders' timeliness is to find ways to keep them engaged with the project.

Demand Management

Our portfolio management approach emphasizes on maintaining a clear demand management process, to help improve cross-departmental communication, and to manage the expectations of the IT department's "customers".

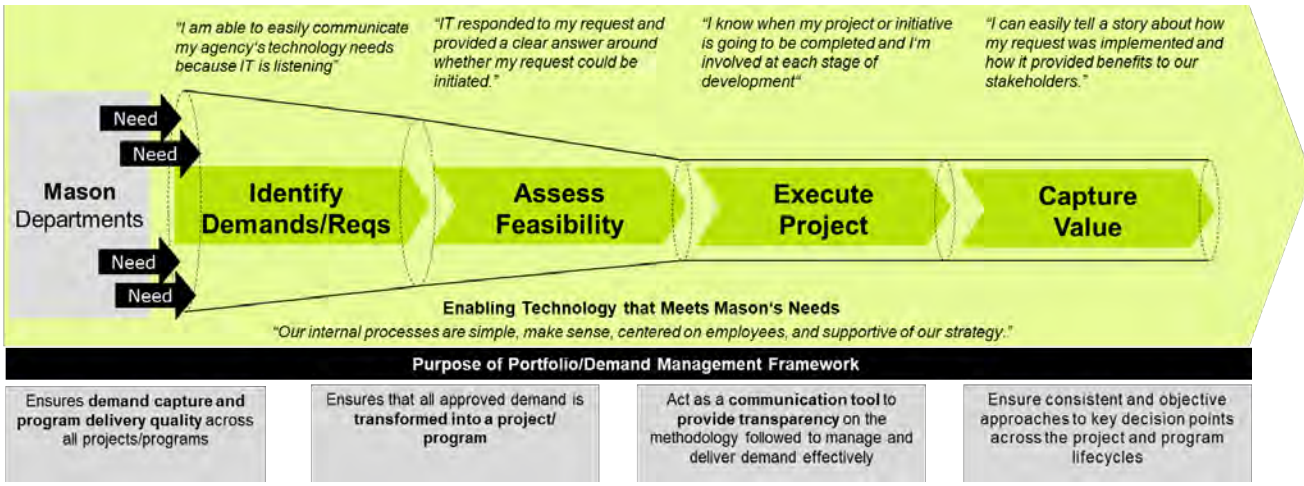


Figure 34. Our Approach to Demand Management

Support the Participating Agency, in implementing back office improvement strategies across any combination of back office functions.

Guidehouse has extensive experience with helping government entities through our comprehensive change management methodology ***(re)Vision™***. The ***(re)Vision™*** approach has been accredited by the Association for Change Management Professionals and goes beyond traditional change techniques. It focuses on stakeholders first to understand mindsets and behaviors and creates lasting impact through people centric change that applies human centered design and behavioral economics principles. ***(re)Vision™*** has also been featured at several government forums including the International Public Management Association for Human Resources Conference and the Association for Change Management Professionals annual national conference. This is a methodology that has been tested and implemented countless times on the ground and will enable the members of NCPA to gain the buy in necessary to not only execute and implement projects of different size, scale and context, and ensure lasting changes.

Driving Operational Transformations

At Guidehouse, we have extensive experience supporting our clients through transformational change and growth. For each department, agency, or program which we work, we aim to understand the unique challenges facing the organization and the root causes behind them. Guidehouse has experience working across industry and organizational areas from procurement, human capital, and finance to law, operations, and information technology at the federal, state, and local levels of government. Our transformational experience has addressed a wide array of challenges that range from cumbersome processes and antiquated technologies to compliance shortcomings and insufficient resourcing. We have tried and true frameworks and approaches that we will bring to bear. At the same time, we do not believe in a one size fits all approach. The framework for each engagement will be customized to reflect the unique needs of the operational transformation. We will adapt the methodologies outlined in the sections that follow to align with the scope of work for each individual project. Our broad portfolio of capabilities, extensive relevant experience, and network of subject matter experts will allow us to provide comprehensive support across areas of transformational needs and to be agile and responsive as those needs change and evolve.

Provide an independent perspective on current/trending department, agency, or program performance to assess issues, risks, and performance trajectory through tailored diagnostics and devise flexible, tailored solutions to address the department's, agency's, or program's particular operational needs.

Undertaking an organizational assessment will allow us to understand the department's, agency's, or program's current state and the opportunities that exist to increase organizational maturity. We have extensive experience in helping clients understand current strengths and gaps, and in identifying areas for improvement within their operations, structure, processes, tools, and staffing through organizational assessments. For example, our work often includes identifying the opportunity to consolidate multiple departments into one or the need for new business units or departments to address organizational gaps. Many of these areas for improvements will also become opportunities to engage in new ways of operating. For instance, the organization may be able to develop a shared services model to streamline back-office services or leverage new technologies to automate highly labor-intensive process steps. Our approach to organizational assessments and improvements will be adapted appropriately to cater to the vision and goals for the projects at hand. Our approach to organizational assessments broadly follows two phases:

- **Phase 1: Define Target State:** To determine what gaps and opportunities exist, we must paint a clear picture of where the organization is going. Leveraging or working to define the department's, agency's, or program's strategic plan, we will work with key stakeholders to develop a forward-looking and agreed upon target operating model. The target operating model will help provide a shared understanding of what the future state of the operational transformation could look like and will include a variety of considerations on how the organization can more effectively serve customers, from what the organization will be known for externally, to what internal systems and culture may look like.
- **Phase 2: Undertake a Current State Assessment:** Guided by the questions such as "what opportunities exist for new ventures and initiatives?", "what is the objective of the operational transformation?", "how will the change initiative benefit and better serve customers?", the current state assessment will allow the entity to better understand its organization, people, and processes through qualitative and quantitative insights. This will allow us to understand how the department, agency, or program is positioned against the defined target state, and better understand the gaps that need to be filled to actualize the vision. During this phase, we will undertake due diligence using desk research, stakeholder interviews and focus groups, surveys, journey mapping, review of existing documentation, and analysis of performance, staffing data, and analytical tools. For example, for a higher education department, this could include conducting focus groups on the status quo of academic leadership and coaching strengths and pain points. The team will develop a detailed documentation request including processes, staffing information, procedures, and performance data. We will use this data to conduct workforce analyses to pinpoint any staffing or organizational management issues that may serve as barriers to innovation or future ventures and generate business process mappings of current state organizational processes to pinpoint inefficiencies.

Assist with designing and planning implementation for new programs, including the concept, requirements, cost and resource estimates, and business case.

Based on identified gaps and areas of opportunity, we will develop a series of recommendations, including quick wins and long-term opportunities. These recommendations will include unit or role specific recommendations as well as those that apply more broadly across the program, agency, or department, with a focus on opportunities that leverage operational improvements and maximize resources and reach.

Guidehouse is well versed in supporting government agencies with benchmarking their performance against peers and industry leaders to understand their current maturity levels, see innovations that can be adopted or tailored, and more accurately set cost reduction goals. Our benchmarking phase consists of four activities, which include developing a tailored and relevant maturity model, identifying peer and leading agencies, assessing the program, agency, or department in scope against peers, and identifying innovative leading practices that can be applied to our clients. Benchmarking and market analyses allow us to understand the current state externally, how the internal current state compares to that of peers, and what untapped opportunities exist.

To round out this phase, business and financial modeling will help determine viable improvement scenarios to pursue. We are home to an expansive network of advanced analytics and artificial intelligence specialists who bring deep knowledge of financial, organizational, programmatic, and governance models to the table. Our approach is scenario driven, where we develop a series of models for assessment of potential economic and structural impacts of new ventures and partnership opportunities, evaluate synergies across missions, and define the value proposition. We will utilize the following approach to build business and financial models to inform evaluation decisions.

Table 2. Examples of Financial Analysis

Examples of Financial Analysis	Use and Benefit
Vertical	Examines the relationship between various items on a financial statement within one time period to help recognize any changes over time and compare various entities
Horizontal	Evaluates how financial statement figures change over time to identify trends to understand rates of change
Cost-Benefit	Examines costs/benefits (tangible and intangible) of a proposal to determine whether a project will yield net positive or net negative benefit to inform go/no go decisions
Return on Investment	Calculates the rate of return of an investment over a specific time period to understand the rate of value creation per dollar of investment
Break Even	Calculates the flow of benefits (tangible and intangible) to determine the point in time at which total investment cost will be recovered to help understand whether the timeline of cost recovery is optimal
Scenario and Sensitivity	Examines the impact of different variables to understand impact on potential outcomes to inform risk assessments and contingency planning
Variance	Analyzes differences between expected and actual outcomes to inform additional analysis requirements related to underlying assumptions, process efficiency and effectiveness and resource allocation

Help the Participating Agency sustain performance through capability building at all personnel levels and across all functions, applying continuous learning and cross-organizational communications, and designing performance management tools to keep the organization on track going forward.

Once the Guidehouse team has worked with you to select the transformational opportunity that will be pursued, we will work hand-in-hand with you to ensure that the organization has the capability to manage the change internally and successfully in the near and long-term. We do this through several approaches. One vital approach is knowledge management, in which we clearly and neatly document our work through procedure manuals, job aids, and process diagrams. We also develop and facilitate training to ensure the transfer of knowledge. Oftentimes, the training is recorded so that it can live on after the engagement ends and/or be used for reference at any point that a question may arise or a new staff member is onboarded. Another critical part of our process is simply collaboration. Throughout the engagement, we will work closely with internal project managers and key stakeholders who themselves will build a wealth of project knowledge and specialization. Our work is done well when our clients are self-sufficient and considered to be the leads of the transformation.

In addition to knowledge management, we will also work with you to define the performance management metrics and stand-up the performance management systems to track and measure outcomes. This will involve working sessions with project leadership and collaboration with your information technology and data analytics teams. Guidehouse has a wealth of experience in developing robust and interactive performance dashboards and we can work with you based on your maturity level and system needs to develop KPIs and reporting that meets your needs. Our approach includes the following steps: Establish, Define, Develop, Secure and Evaluate (**Figure**).

Figure 35. Developing Metrics for Success

Lastly in this phase, we believe it is important to identify challenges that may arise and to plan for them to the best of our ability. We will pinpoint risks that may include staffing implications, infrastructure restrictions, and contractual ramifications. With these risks in mind, Guidehouse can use our expertise to select an implementation approach and develop an implementation plan that is based in known and anticipated risks, and one that is flexible enough to adapt as new information presents itself.

Implementing program, department or agency level operational strategies, process transformations or new program deployments to improve delivery.

Guidehouse will facilitate the development of an implementation plan that outlines specific action steps and approaches to executing on the strategies to improve delivery **(Figure)**. Some of the activities we typically undertake would be as follows:

- **Select Implementation Approach:** The team will leverage its extensive implementation experience to weigh the pros and cons of various implementation approaches and select the implementation approach that best suits the organization.
- **Develop Implementation Plan:** We will work with you to develop comprehensive implementation roadmaps that prioritize the recommendations, identify tasks, resource needs (staff, funding, time), dependencies (e.g., completion of other tasks, technology implementation), and risks (i.e., lack of departmental coordination) that may impact the timeline or objectives.

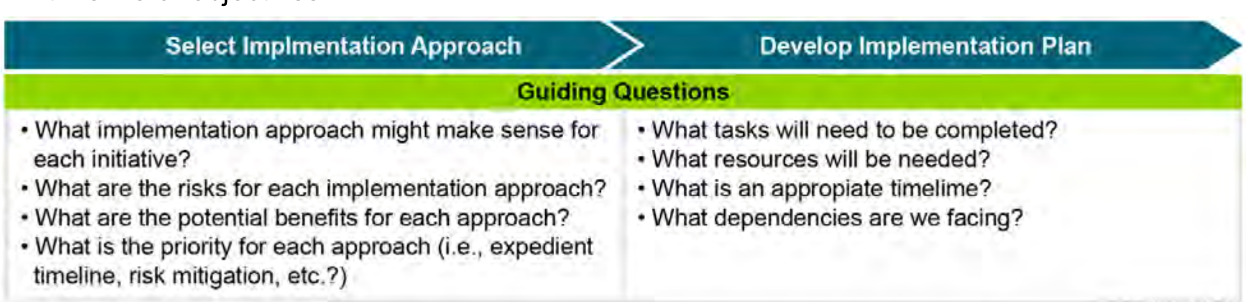


Figure 36. Implementation Approach and Plan

- **Implementation Support:** Guidehouse can provide continued support to you as the organization carries out the implementation plan. We have years of high stakes implementation experience and leverage this knowledge to provide guidance and an adaptable mindset throughout the launch process.
- **Program Management:** As new initiatives kick-off, we can provide project management support and risk and issue tracking. Project management activities may include generating timelines, defining milestones, monitoring milestone progress, implementing reporting processes and infrastructure, scheduling project management check ins, and conducting quality assurance checks. Guidehouse works to improve the performance and efficiency of the organizational transformation and will adapt our approach to doing so based on the environment and nature of the initiative.

Creating a Better Citizen Experience Including Digitization

Treating constituents as customers is not a new idea at any level of government—it's simply hard. The pandemic drastically changed the degree of public need as well as the channels through which residents communicate with and access services from government agencies. It is now more critical than ever for local, state, and federal governments to properly leverage the citizen or customer experience (CX) tools and techniques traditionally used in the private sector to deepen the level of insight and connection government organizations have with the public.

Constituents' expectations for receiving equitable access to services is changing. To address societies' needs and expectations, governments must shift away from an approach that requires residents to actively seek to have their needs met, regardless of barriers. Governments instead should reach out to those residents; understand constituent needs, wants, experiences, and feelings; and adapt their public service delivery to meet communities where they are.

Most government employees are very familiar with the challenges of public service delivery. We also know that the CX improvements that could help overcome some of those challenges will have certain fundamental differences from private sector CX. The question that has long troubled government entities is how exactly to implement CX in the public sector in a practical, effective way.

Guidehouse has extensive experience helping federal, state, and local, and international organizations design, develop, and successfully implement digital products and services; from website and mobile application development to innovation challenges, we specialize in customer research, user experience design (UX), service design, user interface design (UI), modern development best practices, and emerging technologies.

Our general approach to creating a better experience through citizen or resident experience is as follows **(Figure)**:

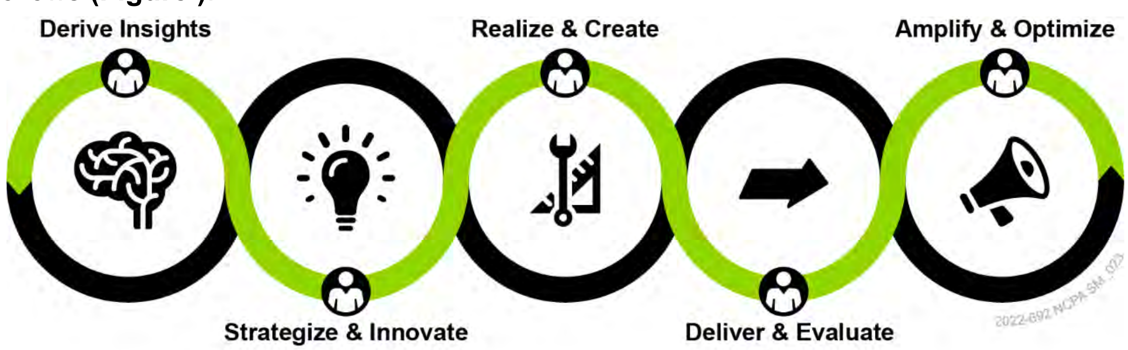


Figure 37. Creating a Better Citizen Experience

In our Derive Insights phase, we begin by researching and understanding problem statements between the user and product relationships. We evolve those insights and collaboratively ideate to create a better solution in our Strategize & Innovate phase. We build prototypes to share our solutions with end-users in our Realize & Create phase. Our concepts are tested in our Deliver & Evaluate phase to see how they perform and if they solve the original problem statement. We incorporate feedback from user testing sessions into our concept and support the adoption of each product and its corresponding processes during our Amplify & Optimize phase.

To develop digital solutions, Guidehouse typically utilizes an Agile approach and Human-Centered Design (HCD) techniques for managing and completing citizen-centric process transformations. We would assemble an Agile team equipped with public and private sector best practices in order to move efficiently from customer research to solution design and development to launch and measurement. Our team prefers to utilize an Agile approach and human-centered design (HCD) techniques for developing products, including digital ones. This allows us to iteratively incorporate feedback, maintain focus on the overall business and customer value proposition, reduce risk, and increase transparency into the product development for the sponsors and other stakeholders. Our team will help unearth and solve the complex problems impacting residents and citizens by working closely with them and tailoring solutions to meet their needs. We will continuously engage with stakeholders and citizens, encouraging the critical feedback that drives our iterative process.

Define and assess the "citizen journeys" that citizens, residents, and businesses experience in interacting with government through "voice of the customer" feedback, interviewing government officials, building a fact base around the channels through which citizens, residents, and businesses engage with the government (including in-person, phone, web and app-based interactions) and analyzing customer and employee perspectives with analysis of operational data, (e.g., service request volumes, speed to complete a request, cost to the Participating Agency to deliver an end-to-end service).

Phase 1: Derive Insights

Our team has extensive experience developing customer journey maps or "citizen journeys" with government agencies. To understand current customer experience and derive insights, we often create customer journey maps. While every journey mapping project is different with unique goals and customer groups, we detail below a general approach.

Documents and Data Review: Guidehouse will conduct an in-depth review of available current state documentation and data on the customer experience. Our goal is to understand what is known internally about customer pain points and opportunities. As we conduct our documentation review, key findings (pain points, love points) will be captured in a tracker so we can accurately cite our sources when we move on to the citizen journey maps. We will also seek to collect any available summary or operational data on your customers to review and use in the segmentation process. Guidehouse will work with data owners to detail the variables of interest and data requirements for the project (e.g., service request volumes, speed to complete a request, cost to the Participating Agency to deliver an end-to-end service).

Internal Stakeholder Interviews: Internal interviews and focus groups with internal stakeholders and employees will inform hypotheses for the key customer attributes that we will focus on during subsequent data collection and customer research. Key customer attributes that will contribute to segments may include demographic traits (e.g., age, income, preferred language), behavioral preferences (e.g., comfort with technology, communication preferences), and journey differentiators (e.g., engaging with one vs. multiple services). Guidehouse will seek to understand known inefficiencies, confusing, duplicative, or burdensome requests to customers, gaps in current outreach efforts, and current community perceptions. It will also be important to understand internal processes and operational data that could impact the journey or help us understand the customer experience, as well as current efforts underway to improve this experience.

As needed, we will also conduct interviews with employees and other stakeholders that may impact the customer experience (e.g., community organizations that assist customers in signing up for services). We will work with employees to determine the appropriate list of external stakeholders and the journey stages they have the greatest impact on, so we are able to tailor our interviews appropriately.

Voice of the Customer Feedback: Once an "inside out" perspective of key customer attributes and their journeys has been built with your internal input, Guidehouse usually then works to engage customers directly to capture direct "voice of the customer" feedback." This feedback avenue will include gathering insights from citizens, residents, and businesses to understand interactions with the government across multiple channels, including in-person, phone, web, and app-based interactions. Our team can also conduct analysis from the eyes of the customer, including mystery shopping (e.g., going through an app-based interaction as though we are a customer seeking to accomplish a task), and/or conducting "over the shoulder" observations of a customer using a website to identify inefficiencies or "drop off" points in the journey.

Every customer group is different, and how we engage customers will vary based on who they are and what they are experiencing. For instance, should we be surveying individuals at a domestic violence shelter, we will work with trauma-informed therapists and social workers to guide our work. We work to build an understanding of customer by gathering data and information using a variety of tactics, including qualitative ethnographic research techniques such as observation, interviews, and focus groups.

We will leverage our experience working on high-profile city and state engagements, including those with social services agencies and providers, to effectively manage the priorities and perspectives of external stakeholders. We have experience conducting interviews and focus groups virtually as well as in-person, and also have in-house language support to ensure that we reach critical populations in their own languages. For example, on a recent customer experience project our team conducted in-depth interviews over the phone in English, Spanish, Mandarin, Korean, and Tagalog. The multi-language interviews provided authentic customer feedback and journey pain points. We have successfully performed customer interviews via phone outreach, video conferencing technology, and in-person.

Conducting community listening sessions for National Institute on Minority Health and Health Disparities
Guidehouse planned and conducted the National Institute on Minority Health and Health Disparities (NIMHD) community listening sessions to bring issues including the power differential between communities of color, historical injustice, equity, and others to inform NIH's national strategy for minority health and health disparities research.

Create Customer Segments: Our team will also use available customer summary or operational data from the client to create meaningful, statistically backed customer segments. To create segments, we will determine the variables of highest business relevance (based on internal stakeholder discussions, customer research, and current state document and data review) and credibility. We will rule out variables that have high missing rates or do not provide useful insights, based on our understanding of the customers and input from your employees. To create the actual segments, we will perform mathematical regressions to test numerical variables against various features to identify the variables that provide the best balance of business interpretability and statistical scores. Once identified, statistical software will be used to form the optimal customer segment design.

If there is not available summary or administrative data to support mathematical segmentation, Guidehouse is experienced at a qualitative-focused segmentation process as well. This may include pulling quantitative data from smaller datasets (e.g., not representative of the entire customer population, but perhaps describing a key subset), and using "anecdata" and other qualitative research outputs to form meaningful and distinct customer segments.

Developing Data-Driven Segments for Port Authority Customers

Comprehensive data did not exist for the hundreds of thousands of travelers that utilize the Port Authority of New York and New Jersey's tunnels, bridges, and bus stations. Guidehouse leveraged internal experts, user interviews, observations, survey data and performance data to identify meaningful segments and personas. Through this work, the team demonstrated that while comprehensive data is the ideal, the lack of perfect information should not stand in the way of successful consumer segmentation.

Segments will be socialized with key stakeholders to build buy-in, to ensure staff feel they have been included in the process and understand not just the "what" and "how" of new tasks they are being asked to undertake, but the "why."

Develop Customer Personas: Using all previous activities as inputs, we will develop representative customer personas to bring each customer segment "to life". Personas will be built by layering data-driven customer insights from available research and analysis (existing and the newly created information collected through our customer research) onto the segmentation attributes. Each persona will include an image and narrative story, as well as key attributes across demographics (e.g., age, race, income, program eligibility), behavioral preferences (e.g., preferences for in-person or virtual assistance, priorities that drive decision making) and journey differentiators (a range of attributes to guide journeys, such as receiving key communications). Persona development will include collaborative working sessions with the project team, data and research leads, and other in-house experts to get the analysis and resulting personas right.

Develop Citizen Journey Maps: We will apply customer-centered design and design thinking techniques to map the selected personas end-to-end through each critical stage of the insurance journey. We will seek to build a strong understanding of what customers are thinking, feeling, and doing at each stage of their journey, including their explicit and implicit objectives and goals, leveraging insights from our qualitative and quantitative data analysis, such as customer interviews, mystery shopping, over the shoulder observations, and more. The journey map itself will not exhaustively capture every single detail and nuance, but instead a story to provide insights.

However, all feedback and findings will be meticulously documented for posterity's sake. Our team will identify key moments of truth that strongly impact the overall experience, as well as user perception of ease, effectiveness, and emotion along different interactions (like "pain points" and "wow moments"). We will then work with our client to complete detailed reviews of the customer journey, receive input, and revise as needed to ensure the final current state maps are an accurate picture of the true customer experience.

Developing an Improved Website with User Needs in Mind

We recently engaged with key stakeholders at the Centers for Disease Control and Prevention (CDC), to perform a thorough review of their Lead Poisoning Prevention website analytics to understand user navigation patterns, page views, user demographics, and bounce rates. This in-depth research and analysis allowed our team to make data-informed decisions and recommendations that we used to consolidate and reform the overall content strategy for the site. We conducted design workshops with several groups at CDC which helped us to create wireframes and updated page designs. We leveraged the latest version of the CDC WordPress themes in the development of the updated Lead Poisoning Prevention website.

Phase 2: Strategize and Innovate

Throughout the Derive Insights phase, we will be constantly cataloging and tracking potential recommendations to improve the citizen experience. In this next phase (Strategize & Innovate), using the voice of the customer learnings and citizen journey maps, we will identify a list of potential solutions and work with key stakeholders to conduct necessary socialization, incorporate feedback, and finalize our targeted, high-impact list of recommendations to improve and innovate how customer needs are met. These recommendations will be informed by a library of public and private sector best practices.

Review Public and Private Sector Best Practices: Our approach to best practices research begins with selecting benchmarking targets using specific criteria such as organizational similarity (e.g., size, geography, population served), industry, and performance measures. We aim to find a mix of comparable and best-in-class public and private sector examples and will work with you and your team to revise the list of benchmarking organizations based on these key criteria. Given our extensive experience supporting public and private sector agencies on customer experience and citizen experience improvements, the Guidehouse team can leverage and update past best practices research and tap our internal and external network for the latest lessons learned.

Once the list of benchmark public and private sector organizations are identified, we will engage in qualitative and quantitative research on their customer experience and digitization strategies. This research will include direct interviews with their team, desk research reviews of their initiatives and programs, reviews of third parties, academic synthesis of their programs, as well as government data, as available. Interviews are crucial for understanding leading practices because so much of what really makes successes and failures happens behind the glossy websites and brochures. These insights will be incorporated into a synthesis of leading practices. In reviewing local press, policy websites, social media, and other mediums, we will also examine how various public and private organizations have approached digitization of their customer experience across channels, as well has how these changes have been communicated. The goal of a best practice review is to present realistic recommendations for our clients based on their individual requirements, resource constraints, and organizational nuances while pulling from lessons learned and leading practices.

Develop Future State Journey Maps: With our current state citizen maps and leading practice research, we will develop new future state journey maps. We will resolve pain points from the current state to show the "ideal" journey for personas. Our team will conduct a gap analysis to identify potential changes needed to improve customer experience. We will record potential changes, and, along with an assessment of effort and cost, and will include them as materials for the visioning session.

Conduct Strategy & Innovation Workshops: We will design and facilitate a visioning session for senior executives and stakeholders to review future state maps, and rank/prioritize potential options for resolution. These sessions are designed to provide meaningful insight and informed direction on recommendations that will help achieve the future state journey maps. The Guidehouse team will share out initial recommendation drafts, future state journey maps, gap analysis, and leading practices key takeaways at these workshops to inform the discussion and prioritization sessions. This will help ensure the final recommendations will be pragmatic, achievable, and aligned with your future state goals. Together, the groups will co-create solutions leading to our final recommendations.

Finalize Recommendations: Finally, using the current state citizen journey maps, leading practices report, future state maps gap analysis, and visioning sessions, we will identify a list of potential recommendations to improve customer experience. We will then work with your team to conduct necessary socialization, incorporate feedback, and finalize our targeted, high-impact list of recommendations to improve and innovate how customer needs are met. These recommendations will be the basis for the transformation plan, prototypes, and pilots in the following phases.

Design a citizen centric process transformation including conducting design sprints, launching prototypes and pilots of redesigned experiences, creating a perspective on opportunities for digitization and other enabling technology changes, and building off a library of public and private sector best practices.

Phase 3: Realize and Create

During Phase 3, Realize and Create, we will translate the recommendations into an actionable and user-centric process transformation plan, including the key steps required to conduct design sprints, launch prototypes and pilots of redesigned experiences, and creating a perspective on opportunities for digitization and other enabling technology changes.

Develop Transformation Plan: Our goal is not only to define the path forward in the recommendations, but also to provide the tools and support necessary to be successful on the journey. Therefore, the customer-centric transformation plan will build on what we have learned throughout the project, taking in resource-restraints, organizational priorities, and culture considerations. We will address cross-agency strategies, communications and change management strategies (including citizen and employee engagement) and define on-going management processes to drive on-going improvements. Our team will develop a clear action plan that includes steps, timeline, and resources needed for implementation of each recommendation, along with an overall timeline view that identifies quick wins and sequences more in-depth efforts. The basis of this transformation plan will be an Agile approach, which relies on design sprints and rapid iterations to ensure that we are innovating on solutions and responding rapidly to any changes in the environment. The transformation plan will also identify recommendations that may benefit from a prototype or pilot. Success of this transformation plan will be measured via the performance measures and evaluation plan defined in Phase 4 (Deliver and Evaluate).

Build an overall service transformation plan, including cross-agency strategies, develop related communications and change management strategies (including citizen and employee engagement), and define on-going management processes to drive on-going improvements.

Phase 4: Deliver and Evaluate

Guidehouse understands that digital tools often provide an opportunity to deliver improved services and we can help support the implementation of citizen experience and digitization strategies within or across departments/agencies. Depending on the outputs of process transformation activities, Guidehouse could also help manage and redesign physical or digital experiences. We would work with your team to develop a solution, gather feedback and evaluate that solution, and then prepare for future iterations.

Solutions Delivery: Utilizing the outputs of the previous phase, we would first list out all of the anticipated tasks. We would work with clients to discuss these tasks and prioritize what will be completed in each sprint. The Guidehouse team will work closely with the identified product owner to prioritize tasks, discuss sprint status, and plan backlog items for upcoming sprints. At the end of each sprint, Guidehouse and the client team will review completed tasks and discuss feedback. This regular cadence increases transparency on sprint tasks and better controls risks.

We base our approach on delivery and management of this task on a core commitment by our team to Agile principles. This means that our approach provides the following advantages:

- **Greater Adaptability:** Flexibility and commitment to delivering high quality incremental delivery to find and fix early and often with input from product owners, business analysts, and developers.
- **Greater Visibility:** Short release cycles, frequent demos, and continuous business involvement.
- **Lower Cost:** Early test and defect detection, time boxed efforts, and level of effort visibility for leadership to reallocate based on priorities or changing needs.
- **Value Exceeds the Cost:** Value realized incrementally, and increased value from continuous re-evaluation.

The Guidehouse team has completed numerous projects through our Agile process implementation. Our extensively trained technology professionals and our domain knowledge provide us with a strong foundation to deliver efficient services that are effective. Our team has deep experience utilizing Agile processes, shown in **Figure** , throughout the operations and maintenance and continuous delivery of services.

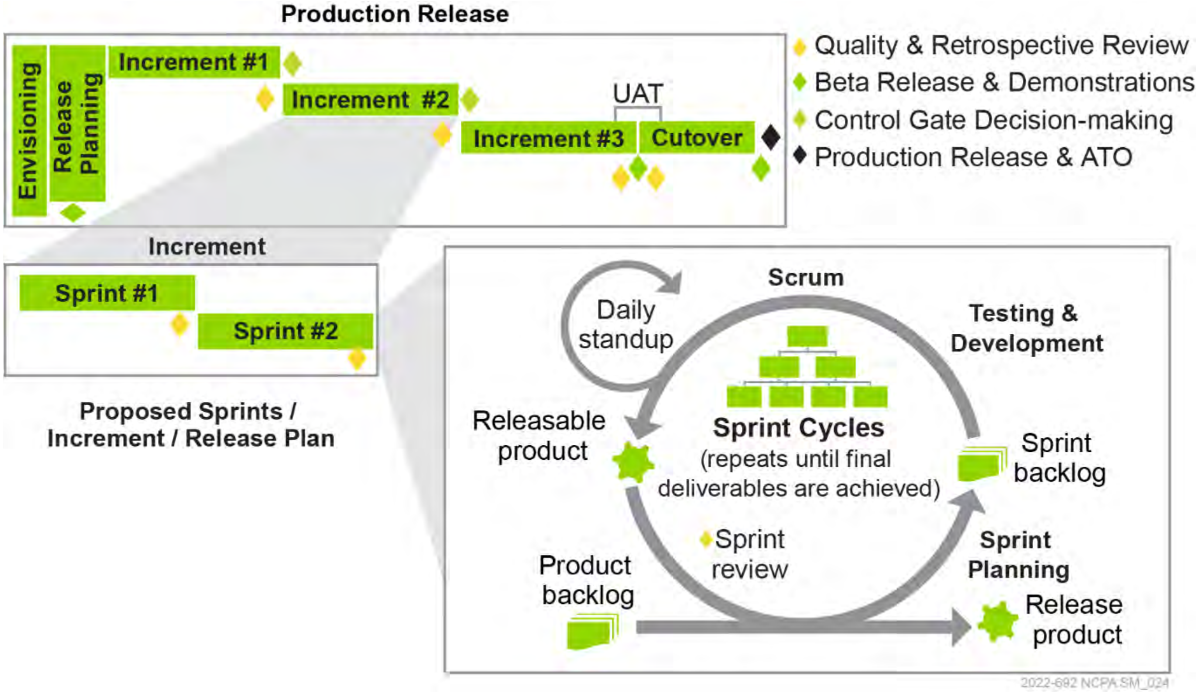


Figure 38. Our Agile Delivery Methodology

Guidehouse's usual approach incorporates core Agile fundamentals and ceremonies such as:

- **Backlog Grooming:** Coordinate with our clients to identify, estimate, and prioritize user stories and tasks.
- **Sprint Planning:** Identify team capacity and prioritize backlog items to complete in the current sprint.
- **Daily Scrums:** Coordinate efforts across the team and identify risks and roadblocks.
- **Agile Board:** Provide a common platform to track Agile efforts and progress.
- **Iterative:** Deliver task items by the end of each sprint, adding increased value each subsequent iteration.
- **Adaptive:** Develop, adapt, and integrate new ideas, approaches, tasks, and improvements into processes and future sprints.
- **Rapid:** Quickly provide fixes, updates, and new products to review and reallocate resources in response to the needs without losing momentum.

Develop Performance Measures and an Evaluation Plan.

It is critical for our clients to clearly articulate the value and effectiveness of any initiative and service delivery. We will work with you to identify key performance measures that should be captured on an ongoing basis and how progress and impact will be communicated to various stakeholders. We embed performance measures into the lifecycle of a project to facilitate ongoing learning and improvements. We will create an evaluation plan to set measurable goals, sustain momentum, and give staff a sense of progress, especially where results are realized incrementally. We will present a draft evaluation framework for your review. The framework will be developed in coordination with your team and other stakeholders as necessary and identify metrics to be used in evaluating the progress of improvement opportunities identified by the transformation plan.

Support implementation of citizen experience and digitization strategies within or across departments/agencies.

Phase 5: Amplify and Optimize

In the final phase, we would test the designed solution with a pilot group, gather insights, and institute techniques and processes to continually iterate on the solution. Guidehouse has the capabilities to lead every kind of technical application testing, including User Acceptance Testing, Quality Assurance Testing, Functional Testing, Performance Testing, Regression Testing, Integration Testing, and partnering with development teams to facilitate technical unit testing.

Assist with Developing and Running Pilots: Running pilots can be critical to test whether recommendations are feasible to implement and understand potential unintended outcomes. They can also be used as a proof point to instill a sense of confidence for employees impacted by the change. We will help you select and pilot recommendations that will be quick wins to mobilize engagement and gain momentum for future improvement opportunities.

Conduct Change Management: We would also ensure that there would be the appropriate supporting structure in place to implement this within the organization. Guidehouse's stakeholder readiness and change management services approach has four main components that provide comprehensive support for complex implementations. Even if the system is developed and implemented as per the requirements, if key stakeholders were not involved in the process, implementation may not be successful. Additionally, if stakeholders are not communicated to throughout the project lifecycle, the project could encounter setbacks and delays as users are slow to adopt and have issues using the system.

- **Stakeholder Readiness:** Working with key stakeholders to prepare them for business process and technology transformations
- **Vendor Readiness:** Developing and executing a strategic approach to prepare vendors for business process and technology transformations
- **Communication Support:** Developing an overall communications plan and supporting the execution
- **Training Support:** Providing strategic and logistical support for training and knowledge transfer execution

Establish and Update Training Manuals: We understand that changes will not happen all at once, or overnight. We will establish and update training manuals to institutionalize and sustain knowledge transfer, including practical documents such as job aids, templates, and detailed guides. We will incorporate these materials into staff training to increase adoption and answer any questions your team may have.

Develop and Deliver Staff Training: Training and staff development are integral components of our approach, working together to ensure successful adoption of new processes and future recommendations. We will work with staff at all levels to ensure training happens through continuous collaboration and co-creation, as well as a robust documentation process and knowledge transfer.

Guidehouse has extensive experience creating effective training programs with state and local government agencies. We have designed and implemented programs using our proven capabilities and experienced professionals to foster employee growth and development.

Developing and Piloting Change Management Training at the California DMV
For the California Department of Motor Vehicles, the team supported the stand-up and training of an enterprise Change Champion network, empowering over DMV team members to better plan for, adapt to, and advocate for change. The training was piloted with select members from one Division, iterated on, then rolled out enterprise-wide to over 120 team members across the organization. Trainings were targeted and differentiated by three different roles in the change process: Change Sponsors, Change Champions, and Change Agents.

Addressing Capital Productivity and Capital Management

Guidehouse provides professional solutions across the spectrum of management services. Guidehouse has a robust service offering covering the principal tangents of the real property lifecycle - from strategic planning through disposition strategies. Additionally, we have proven experience delivering process improvements to enhance organizational and productivity performance.

Real Estate/Facility Management

Guidehouse's real estate and facilities management solutions are tailored for, and scaled to, individual Federal agency needs from proven methodologies. Guidehouse pursues optimal portfolio value and minimal risk, while also meeting the facilities needs of the organization. Attuned to rapidly changing political agendas, Guidehouse understands that Federal agencies must take a least cost approach; however, managed correctly, a scaled back real estate configuration can deliver optimal utility and institutional agility.

Our approach to Portfolio Management focuses on the five categories outlined in **Figure** .

Each one focuses on a different phase in a real estate asset's lifecycle, and our team of professionals has the capabilities and experience to support our clients with all phases.

Guidehouse also addresses the sustainability factor. We advise clients on setting strategy, advising on policy, risk management, operational change, while monitoring, reporting and assuring their progress. Sustainability is a key element of strategic planning for the overall growth and well-being of an agency in the long run.

Figure 39. Guidehouse's Real Estate Capabilities

Guidehouse draws from a deep bench of resident Subject Matter Specialists who focus on clients' real estate and facilities portfolios. Our professionals have delivered real estate solutions resulting in calculable value for the Department of Justice (DOJ), DOT, General Services Administration (GSA), Department of Homeland Security (DHS), Department of the Interior (DOI), Department of State (DOS), and the North Atlantic Treaty Organization (NATO).

At FAA, Guidehouse provides support to enable strategic management and oversight of the FAA's real property portfolio in accordance with Federal Executive Orders and agency policies. The team also deliver insights and recommendations related to workplace strategies, process improvements and acquisition approaches to achieve cost savings and footprint reduction goals for FAA's real property portfolio. A few highlights include:

- Designed an official decision-making body responsible for providing governance and oversight of agency real property acquisition projects.
- Developed an annual strategic plan that articulates approaches to efficiently manage the diverse FAA real property portfolio in alignment with Executive orders, agency drivers, and industry trends.

Guidehouse supports GSA, Public Buildings Service, Office of Design and Construction, and Office of Leasing

- Developed a change management roadmap to maximize adoption of future state goals, objectives and strategic priorities across GSA's eleven regions
- Developed a national vision, roadmap, and change management strategy that prepared our client and its employees for a new way of doing business which includes increased emphasis on tenant delivery, operational excellence and a mission ready workforce
- Created a Cost/Benefit Analysis of GSA's net of utilities lease approach and suggested ways to reduce leasing costs and GSA's carbon footprint; supported greenhouse gas emissions reporting and analysis

Organizational and Productivity Performance

In addition to a depth of subject matter expertise in real estate, our team also brings exceptional expertise in business analysis and performance management and evaluation to further support management service requirements. We understand that for any program to be successful, it needs to have clear objectives and metrics to track the program performance.

Project Execution

Team Guidehouse's foremost priority is functioning as the facilitators of successful capital program execution. We believe strongly in our role as instruments of the NCPA executive team to be utilized in achieving their future state vision.

Guidehouse understands what effective and efficient execution looks like. Some of the key attributes of effective program execution include:

- Clarity of organizational structure, roles and responsibilities, and accountability
- Mechanisms to drive compliance with commercial and technical requirements, and to effectively manage changes
- Financial controls that promote transparency and accountability, that support accurate forecasting, and that provide a complete audit trail
- Schedule controls that are based on accurate progress updates
- Timely and complete progress reporting, including real-time access to progress data for key performance indicators
- An approach to decision-making that contributes to project success and withstands regulatory scrutiny ("reasonable and prudent")
- Structured approach to identifying and managing risks
- Contemporaneous documentation of management decisions that affect project cost, schedule, quality, and performance criteria

Leveraging our TruePMO methodologies and our vast experience standing up large PMO organizations, the Guidehouse Team will work in lockstep with NCPA leadership to develop the operating model that will enable the NCPA to successfully deliver capital projects. This will be an iterative process, beginning with stakeholder interviews, roundtable discussions, and careful document review, all guided by our experts' unique insights. Through this collaborative effort, we will provide NCPA Leadership with an overall organizational structure and supporting governance model for their review and approval. We believe the culmination of this work will result in the revision of and/or formation of several key documents, including:

- **Program Charter:** Outlines strategic objectives and deliverables. The Program Charter formally authorizes the existence of a program and (once approved) provides program manager(s) with the authority to activate program activities. The charter is often a public facing document, so it can also incorporate aspirational goals and objectives, such as resilience and sustainability considerations.
- **Portfolio Oversight Policy:** Used to summarize and communicate corporate standards that should be applied to all projects within the capital project portfolio. The document will include project / program management standards, and summary level processes / procedures.
- **Project Execution Plans:** Specific to each project, the PEP is the detailed execution plan for each of the projects within the portfolio.

Procurement

Guidehouse understands that a key aspect of capital project delivery is determining how projects will be managed and overseen. Defining the procurement strategy and setting up the RFP framework is vital to effectively managing projects. Guidehouse has served as a trusted advisor to numerous public sector organizations, helping them navigate their programs and projects through the procurement phase of the overall project lifecycle. From developing a procurement strategy to rolling up our sleeves and drafting an RFP or contract documents, Guidehouse understands public procurement processes, and we have extensive experience in this space.

Define Procurement Strategy

We believe developing an overall procurement strategy is the single most important task of this phase. Unfortunately, this strategy cannot be developed in isolation as it will be shaped by overall program requirements, cost/schedule constraints, organizational structure, phasing, execution strategy, and delivery methods. These inputs all hinge on overall strategy, but they will likely vary from project to project. Our aim is to help NCPA build an organization that is nimble, flexible, and in turn, develop a procurement strategy that allows for multiple delivery methods – from Design-Bid-Build to EPC and Design Build. Guidehouse will work with NCPA Supply Chain Management to develop an agile Procurement Strategy that is based on three key areas:

- Evaluating delivery capabilities and project goals
- Delivering strategy alternatives analysis and selection
- Contracting strategy alternatives analysis and selection

The contract delivery method is a key decision point in the procurement process. While the goal of each method is to provide a quality end-product, there are pros and cons of each that need to be evaluated on a project-by-project basis to determine which method can be leveraged to best achieve the project's goals. These project goals/considerations can include:

- Acceptable owner risk
- Design and construction costs
- Design and construction schedule
- Owner resources
- Control over design decisions.

Some delivery methods are known for minimizing project cost at the expense of owner risk while others minimize that risk and tend to expedite project schedules. The Guidehouse team will utilize our vast program and project management experience to evaluate each delivery method against the project goals to select the ideal method while mitigating risk to the NCPA.

Only after a strategy is in place and contract delivery methods are selected (taking into account cost, schedule, performance, and risk factors), can the actual "procurement" process begin.

Guidehouse has experience in selecting and managing construction contractors, systems integrators, and other third-party vendors for large complex programs. Our knowledge of the vendor landscape and individual vendor capabilities ensures that NCPA will receive best-in-class services from the selected vendor while reducing risk and cost.

Developing Effective Strategies and Plans

With budget cuts, increasing turnover, and changing mandates, government agencies are looking for innovative ways to accomplish its mission with fewer resources, all while enhancing the customer experience. Our approach to developing effective strategies and plans is grounded in business process improvement methodologies. Our approach aligns with Industrial Engineering standards and follows the Lean Six Sigma approach and encompasses five phases: Define, Measure, Analyze, Improve and Control (DMAIC) (**see Figure 40**). These stages align closely to each aspect of the service category and while distinct, each stage builds on one another.

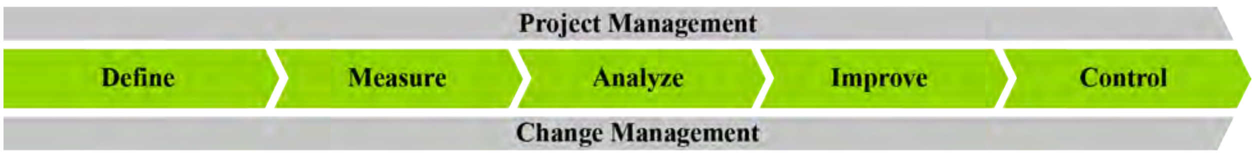


Figure 40. Guidehouse's Approach to Developing Effective Strategies and Plans

- ***Define*** *where you want to go and how you will get there:* At the onset, we will work with the management to establish context and begin building a vision and plan for a successful effort.
- ***Measure*** *the current state of your operations:* We will assess the current business process reengineering data, interview team members and managers, and measure activities. From this data-gathering effort, we will build as-is process maps to document the current operations. These activities together will highlight gaps in the Participating Agency's understanding of their current state. In this stage, the data collected and the process maps will be useful in identifying current performance measures that could be used to establish a current state baseline.
- ***Analyze*** *the data and confirm the root causes of the problem(s):* We will conduct a detailed analysis of all data collected to identify gaps and bottlenecks in Participating Agency's processes, understand their root causes, and define a process for real-time data collection. This phase will include alternatives analyses to compare efforts, demand, and capacity, as well as deep statistical analysis of available data.
- ***Improve*** *the process and pilot your solutions:* We will work hand-in-hand with the Participating Agency staff, management, and stakeholders to develop to-be process maps that illustrate potential opportunities/alternatives for improvement, including enhancing customer service and operational efficiency. The process documentation we will develop will be the groundwork for future state governance, organizational, and operational models. Special consideration will be given to relevant technologies/solutions available.
- ***Control*** *the process by implementing measures and developing dashboards to promote sustained improvements:* We take pride in our ability to carry strategies through implementation, and as such, will work to document all of these tools and conduct knowledge transfer sessions so that managers and team members are highly proficient in the new processes and process improvement practices more generally. To truly sustain and embed change, we will evaluate implementation efforts against metrics and key performance indicators, create, and refine a dashboard that will support staff and management as you continuously work towards and achieve your desired goals.

Conduct *assessments of Participating Agency's existing strategic and operational plans, procedures, and practices to document and/or define the business processes and develop* *baseline measurements to assess their effectiveness; assist with prioritizing critical output, productivity and outcome measures; and identify how the Participating Agency could better achieve its mission and reporting the findings.*

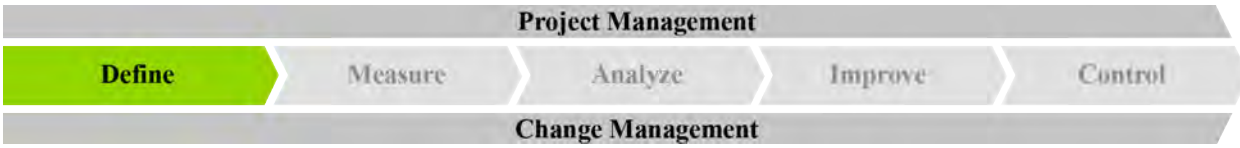


Figure 41. Conducting assessments starts with the Define stage of our approach

All thorough operational assessments need to start with a clear understanding of what an organization is trying to accomplish, before determining the personnel, processes, technology, services, etc. needed to meet its goals. We want to develop a thorough comprehensive understanding of where the Participating Agency is now and how they want to change in the future. A clear strategy can help balance these often-competing concepts while initially surfacing gaps between the current state and the vision. Through this endeavor, we will establish initial business objectives for the engagement, which will be incorporated into our Management Plan and Schedule.

Figure 42 provides an example of guiding questions that our team will address as part of early Define sessions and semi-structured interviews.

Sample Guiding Questions and Considerations

How does the organization currently operate? What are its strengths and weaknesses? Where are there opportunities?

Current Strategy:	Stakeholders:	Operations:	Trends
• What does the organization currently see as its role and mission, and how is it approaching it? • How does the organization currently measure its success? • How does the organization's strategy fit into adjacent or overall strategies?	• Who are the internal organization stakeholders and what are their roles in influencing the success of its programs? • Who are the organization's customers and external stakeholders? How are they typically engaged?	• What is the organization required to do according to legislation and how is that expected to evolve? • How is the organization's budget and resourcing determined? • How does the organization work with stakeholders?	• What trends are emerging and how will the organization address them? • What services and initiatives are leading peers adopting to serve their customers?

Figure 42. Sample Guiding Questions and Considerations

As we define the vision and plan, our focus during these sessions will also be on understanding customer value and requirements. Understanding what the customers want is essential to reducing process defects and building customer satisfaction. Our team will develop Critical to Quality Characteristics (CTQCs), or what customers have already expressed wanting. Where information is available, we will build upon the relevant CTQCs that have been identified to date as part of previous efforts. We will also employ customer satisfaction frameworks, such as the Kano model, and work with staff to understand where customer specifications fall along the customer satisfaction spectrum.

Figure 43. Conducting assessments continues with the Measure stage of our approach

In the 'Measure' phase, we deep dive in the Participating Agency's process data and documentation, conduct interviews, and measure current operations to gain the fullest understanding possible on what data is being collected, the systems at work, how that data is shared or manipulated, and who is owning it. By the conclusion of this effort, Guidehouse will have identified 'gaps' in performance and understanding through comparison of success measures to previous performance, and actual data capture and management to expectations.

Collect Documentation, Review, and Conduct Interviews

We will also document as-is processes and pain points through document collection, interviews, and data review. We begin by collecting and organizing the appropriate documents that provide insight into the relevant processes. Depending on what is available, we will likely collect any existing team, process, technical, and compliance documents. Following this collection, we will review the assembled data. Based on our extensive experience and strong project management skills, we have developed a systematic approach to reviewing documents. There is no secret methodology for reviewing and assessing documents, but reviewing a high-volume of documents in a short period can be difficult to digest. We will develop a document tracker, track insights, and regularly debrief across our team to prevent re-reviews and ensure everyone clearly understands the information.

Finally, Guidehouse will conduct interviews with appropriate staff to verify the information provided, ask questions to fill in any gaps in our understanding, understand current pain points, and solutions or workarounds they've developed and the reasons why. In advance of the interviews, we will work with the Participating Agency PM to identify appropriate interviewees, share an illustrative example of questions that will be asked, and work with the representative to schedule interviews. In our experience, documentation does not always tell the complete story or represent the most up-to-date circumstances and operations, so interviews can be an invaluable means of collecting information during the initial phases of a project, and are helpful for contextualizing many of the challenges, pain points, opportunities, and workforce activities.

Document and Verify As-Is Processes

Our team will work to document processes where needed, but more importantly, confirm challenges and pain points within the processes. **Figure** shows sample process flows. The first part of this step will be to shadow different members of the Participating Agency Teams while they carry out the key processes, asking pointed questions and documenting observations. Through this activity, we will also confirm if any written processes need to be updated to depict accurately how activities are conducted. All documented material during this phase and others will be made available with electronic copies.

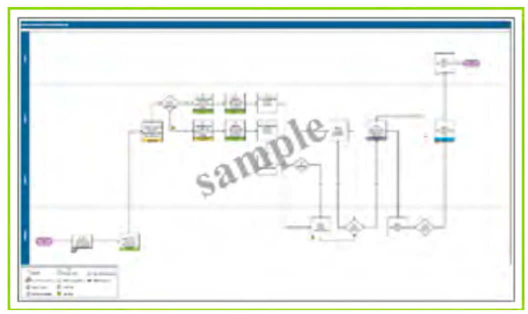


Figure 44. Sample Process Flows

We will focus on the key processes that you deem to be critical to your operations, but our assumption is that we would seek to examine processes and ask questions such as:

- **Workflows.** What processes are involved in executing the workflows? What types of waste are observed across workflows?
- **Tools and Technology.** What tools and technology systems are used in these processes, and how?
- **People:** Which staff are responsible at each step of the process?
- **Customer Satisfaction.** Do team members and other customers know what you provide to them and how? How pleased are they? How do you work with both internal (staff) and external customers?

At structured points in the review, we will collaborate with you to verify that the as-is process documentation is accurate. Inserting process reviews at interim points throughout our documentation will enable us to confirm processes early, iterate on drafts quickly, and optimize our time to develop a clear and correct representation of as-is processes.

Understand Business Process Improvement (BPI) Measures of Success

The sessions described in the 'Define' phase will also guide the development of initial performance measures that define success on this engagement. We will collaborate with stakeholders and refer to the Participating Agency's performance management system to identify key performance measures that are critically connected to identified workflows and thus serve as indicators of effective operations. Using value stream diagrams as our guide, our team will begin to quantify the key inputs (staffing levels, working hours, technology used etc.), outputs, and outcomes (e.g., on-time delivery and customer satisfaction). Looking at both outputs and outcomes strengthens the connection between the effort and the broader business objectives that it seeks to support.

Benchmark against the Measures of Success

Next, we will seek to establish baseline performance metrics across the core processes and understand the cause and effect between process inputs and outputs. Using the CTQCs and key processes identified in the 'Define' phase, we will use a combination of both descriptive statistics with more advanced statistical analysis to baseline how processes are performing today and where the greatest areas of opportunities are. We will seek to leverage existing data and performance reports where available and conduct statistical analysis where needed. This data will become a baseline against which to measure the short-term and long-term improvement measures. We will supplement this baseline with leading practices research. We will leverage Guidehouse's extensive experience to analyze leading practices across peer organizations/entities that have completed similar efforts.

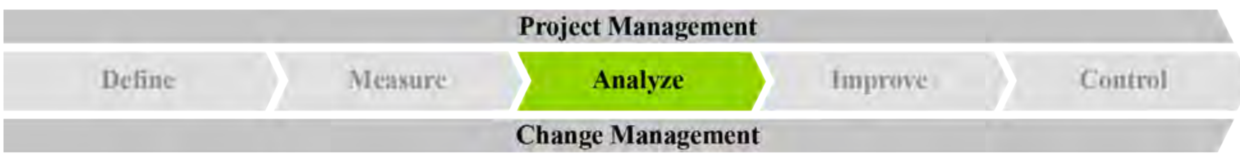


Figure 45. Conducting assessments concludes with the Analyze stage of our approach

Completion of the 'Measure' phase provides a performance baseline to understand where you are currently and determine how much progress is required to reach your end goals. However, a performance baseline alone is insufficient information to act upon without deeper insights as to why the baseline is where it currently stands. We thus enter the 'Analyze' phase, which complements our previous work to establish performance measures and baselines. In 'Analyze,' we delve into our current state to understand customer demands, what services are most important to them, and how the Participating Agency's teams can collect operations information in real time. Beyond collecting operations data, Guidehouse will examine process pain points, identify waste, and hone in on key processes that create backlogs and impact performance outcomes. From our analysis, we will build the necessary insights to create targeted improvements in the next phase.

Evaluate Pain Points for Demand Root Causes

Our analysis begins by making sense information gathered in the 'Define' and 'Measure' phases. Our goal in this step will be to conduct a combination of desk research as well as stakeholder engagement to drill deep into the root causes of identified pain points and the shortcomings revealed in the 'Measure' phase. We then supplement this information with additional context to create a holistic representation of how people, process, and technology relate to workflows. Finally, this understanding enables us to meaningfully analyze processes and determine opportunities to increase efficiency.

Our team recognizes the critical role that business processes play in meeting strategic objectives. Our initial list of recommended processes for improvement will thus be developed based on the ones that can most greatly impact the performance measures. We will also identify root causes of performance deviations and process ineffectiveness and target the right improvements that affect the Participating Agency's ability to execute its goals. Our approach comprises of (1) conducting value-add analysis on the current processes to identify non-value added steps (e.g., areas that include redundancies creating rework, inefficiencies creating delay, or resource mismanagement creating overburdened or underutilized staff), (2) identifying root causes for failure to achieve performance targets using the data collected and brainstorming techniques, such as Cause & Effect or Fishbone Diagrams and the Five Why's, (3) determining high-risk process steps prone to failure using Failure Modes and Effects Analysis (FMEA) to effectively select the most important areas for improvement, and (4) using statistical tools to test theories and uncover relationships based on the root cause analysis and raw data, to identify or verify the key factors that have the most impact on process performance (e.g., hypothesis t-tests, ANOVA, regression analysis).

Further discussion on developing models of strategic alternatives and recommendations are provided below.

Develop models to analyze the potential consequences of strategic alternatives and facilitate the Participating Agency's review and debate of strategic options, such as by validating and stress testing options or alternative approaches using stakeholder engagement and the applicable governance processes.

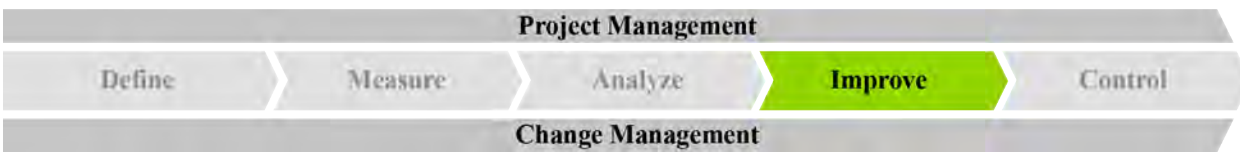


Figure 46. Developing models to analyze strategic alternatives is part of the Improve phase

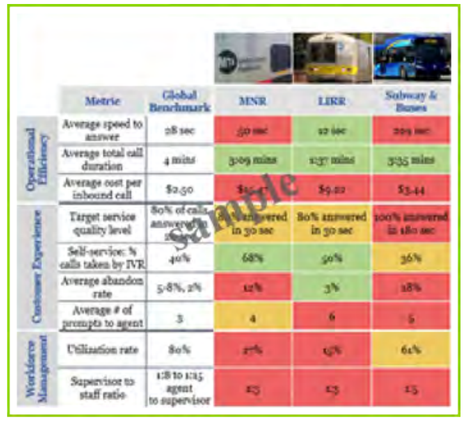
The 'Improve' phase marks our transition into the Future State. This component of the engagement builds upon our prior analysis to design the to-be processes and alternative channels that will ultimately inform process changes and implementation needs moving forward. We begin by documenting and redesigning, then evaluating solutions and iterating quickly to facilitate optimized process changes. These process changes shape the short-term and long-term recommendations, as well as the connected performance measures, that we will provide at the close of this phase.

Analyze Alternative Channels to Create a Capacity Model

We recognize that conducting an analysis is only as useful to the extent that we act upon our findings. We leverage our analysis in this step, as we use the results from our quantitative and qualitative assessments to identify current processes that require redesign and new processes that need to be developed. From our interactions, data, and analysis, we will have a firm understanding of the process's pain points. Guidehouse will determine opportunities to eliminate waste along the process chain, automate where possible, and propose alternative channels to the current-state ones identified in previous tasks. These processes and the resources available, taken together with other existing processes remaining unchanged and dedicated resources, will form the structure of the Capacity Model Guidehouse will develop. Our model will consider the timing for introducing the right improvements.

Identify Efficiencies to Create Demand & Capacity Models

To develop Demand and Capacity Models that will inform the goals for performance, we will take a data-driven approach. **Figure** shows sample volume and staffing analysis. The team will leverage performance data collected in the Measure phase to analyze specific demand and capacity metrics for each process. Our team will determine if historical data or performance measures were previously collected and, if there are any, to re-calibrate the baseline with the new data. The objective of this evaluation is to identify any areas where resources could be adjusted to better match supply and demand and create both Demand and Capacity Models that are responsive to the on-the-ground realities.



	Metric	Global Benchmark	MNR	LIRR	Subway & Buses
Operational Efficiency	Average speed to answer	28 sec	50 sec	[illegible]	[illegible]
	Average total call duration	4 mins	3:09 mins	1:37 mins	3:35 mins
	Average cost per inbound call	$2.50	[illegible]	$9.22	$3.44
Customer Experience	Target service quality level	80% of calls answered in [illegible]	[illegible] answered in 30 sec	80% answered in 30 sec	100% answered in 180 sec
	Self-service: % calls taken by IVR	40%	68%	50%	36%
	Average abandon rate	5-8%, 2%	12%	3%	18%
	Average # of prompts to agent	3	4	6	5
Workforce Management	Utilization rate	80%	[illegible]	[illegible]	61%
	Supervisor to staff ratio	1:8 to 1:15 agent to supervisor	[illegible]	[illegible]	[illegible]

Figure 47. Sample Volume & Staffing Analysis

Build Out Value Streams to Understand 'High Volume and High Effort'

Guidehouse will use a combination of process maps to understand the flow of activities, transactions, and information across the Participating Agency's Teams. This will help us begin to understand the relationship between various inputs and outputs and to identify value-add aspects in each process compared to the non-value-added operations. In this step, we will clarify our understanding of core process inputs and flows and their corresponding outputs with various managers to ensure we have an accurate understanding of all relevant processes.

Examples of process maps that would be relevant to this effort include:

- **Spaghetti Diagrams** for identifying physical flow of material and information in a typical setting
- **Value-Added Flow Chart** to identify types of waste within a process and to separate the portion of functions that are value-add vs non-value add
- **Deployment Flow Chart** for identifying functional responsibilities

Findings uncovered as a result of using these process mapping tools and others will feed into the knowledge materials and recommendations for possible actions that could significantly improve operations.

Develop and Evaluate Alternatives

Guidehouse project teams typically leverage the Strength-Weakness-Opportunity-Threat (SWOT) Analysis framework to assess possible consequences and options for strategic planning initiatives. A SWOT analysis will help the project team and stakeholders understand key considerations around each potential goal or recommendation.

The SWOT Framework will enable both a consistent understanding of the current state and a starting point for future state discussions around the strength, weakness, opportunities, and threats. Sample questions our team typically covers include (but not limited to):

- Strengths – How can the strengths reduce the probability of threats?
- Weaknesses – How can weaknesses prevent you from taking advantage of opportunities?
- Opportunities – How do you use your strengths to take advance of opportunities?
- Threats – What can you do about your weaknesses to make threats less likely?

Using the SWOT and the value streams, we will be able to develop possible scenarios or alternatives. We will evaluate each potential solution alternative against various organizational constraints. The first of these constraints is financial, and we will assess process change solutions using a Cost Benefit Analysis. The second of these constraints is resource capacity. Team GH will address resource capacity constraints by mapping each process change on a Prioritization Heat Map based on the level of effort and impact involved in the change. Finally, as people play a critical role in executing processes, our assessment will evaluate the change readiness of impacted stakeholders through surveys and focus groups.

In addition to our strategic solutions development and evaluation, our iterative, holistic approach ensures against the risk of failing to design effective processes. We develop and redesign with the end user and business objectives in mind, and our interim checkpoints with stakeholders enable us to continue validating the application of our analysis. From our process redesigns, we will propose policies and procedures, change requirements, identify impacted stakeholders, and seek regular feedback from key stakeholders to proactively source any risks or issues.

Define Future State Recommendations

We will draft a list of recommended short-term and long-term alternatives and process changes based on the final analysis and incorporate it into our knowledge transfer materials. We begin with a draft list of recommendations in this step but building final recommendations can be an iterative process.

The identification of these process changes also enables us to revisit the performance measures we identified at the beginning of the project. Recommended process changes will be mapped to the key performance measures that were determined to be highly impacted by processes. Linking these process changes to these performance measures will act as additional quality assurance in our approach by confirming that we are delivering strategic and impactful process recommendations.

Understand *current and future requirements and any perceived department or agency performance gap as input for a strategic plan or a major plan update by engaging key stakeholders, such as leadership, departmental or agency staff, industry, other government partners or other external stakeholder groups.*

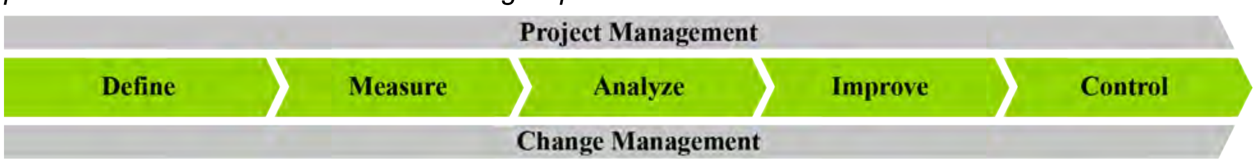


Figure 48. Engaging stakeholders for current and future requirements is essential across all phases of our approach

Guidehouse brings an extensive breadth of experience conducting focus groups and visioning sessions with C-suite executives, state and local government leadership groups, and other high-level stakeholders. Our project team will bring a data-informed approach to facilitating structured discussions and exercises that explore prioritization of goals and outcomes. This is reflected in the diversity of tools and processes Guidehouse brings, including visioning exercises and challenges, scenario planning, current state analysis, goal setting, guided brainstorming, and hypothesis-based problem solving. The **Error! Reference source not found.**below (**Figure**) is a sample workshop agenda which we have used with previous clients.

Session Topic	Description	Duration	Facilitators
Welcome / Introductions	Welcome and overview of goals for the day	15 minutes	Client leadership
Vision	Visioning exercise focused on where you hope the organization will be in 5-10 years. *Activity: Sticky note exercise. Participants write ideas on sticky notes aligned to client's three core strategic goals. Facilitators collect ideas and arrange into themes. Have the group vote on which themes they consider the most important.*	30 minutes	Guidehouse
Activities / Initiatives	Group discussion focused on highest value activities for inclusion in the funding request. *Activity: Project list of activities from existing strategic plan, highlighting those that are remaining. Add to the list based on the visioning exercise. Identify those likely to generate the most public attention, highest ROI, best branding, etc.*	1 hour	Guidehouse
Break / lunch		30 minutes	
Resources	Small group discussions focused on costing out the short list of activities. *Activity: Break out into smaller table groups, each assigned a subset of the short list of activities. Groups work on costing out their assigned activities and then present out their results.*	1.5 hours	Guidehouse
Messaging	Small group discussions focused on messaging the short list of activities. *Activity: Table groups reconvene to brainstorm resonant messaging for their activities, including audience, communication plans, means, timing, etc. and then present out their proposed plans.*	1 hour	Guidehouse
Closing discussion	Closing discussion and wrap up	30 minutes	Guidehouse / Client

Figure 49. Sample Workshop Agenda

For recommendations to avoid sitting on a shelf and be actionable, they need to be socialized early with the right audience. The best way to socialize is by including that audience in the development of the recommendations in a co-creation role. We envision this engagement to be done throughout the life of each project so that each of the stakeholders is brought along the way.

Proactive Plan for Stakeholder and Public Engagement Through Stakeholder and Community Ecosystem Mapping

We will work closely with the Participating Agency to develop relevant stakeholder list. Understanding these stakeholders and community members will define how strategic objectives can be achieved. **(See Figure 50 for sample stakeholder maps)**

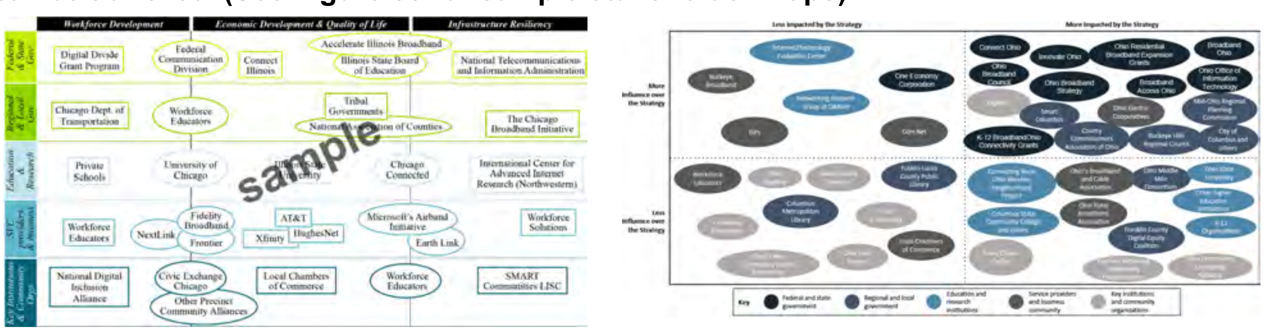


Figure 50. Sample Stakeholder Maps

Additionally, by identifying key stakeholders from the beginning, we can conduct subsequent analyses with stakeholder impact. A stakeholder list will then allow us to develop a comprehensive stakeholder mapping and analysis that will inform how we engage each one. This deep dive into stakeholder engagement from the onset can allow for increased support and buy-in for potential changes to come.

Beyond stakeholder identification, we will then need to move into stakeholder classification. This is not an academic exercise. The purpose of this is to triage a complex stakeholder ecosystem with various divergent voices into a manageable and coherent way for effectively including them in the development of initiatives. This allows us to be organized in terms of whom we speak to, and when, what messaging points are important to strike, and the level of input we are inviting them to provide. As part of this, we will also develop interview guides for each of the determined stakeholder groups. These guides will be tailored to the interviewee's connection to the project. In past projects, we have found success in the development of stakeholder working groups and steering committees. These forums can consist of internal and external stakeholders depending on the environment. We believe having recurring sessions of these stakeholder groups can hasten and facilitate the success of project recommendations that come later on in the project.

Interview stakeholders

Our interviews of stakeholders will be tailored depending on the entity. For example, community-based organizations may get more emphasis on the lived experience of residents.

Conduct public meetings to hear the lived experience from residents

If needed, we are also experienced at facilitating public meetings. Our team will work closely with the Participating Agency to determine whether these meetings would be most helpful as open forums for the community to broadly attend or be more targeted in invitation and attendance. Both instances have value and can lead to different outcomes. Either way, our team is experienced in leading the public or targeted stakeholders through these types of meetings.

From our experience in conducting community outreach, we know that running these meetings isn't simply a matter of booking a hotel conference room and hope a few people show up.

Rather, we will take a targeted approach—leveraging the insight we glean from our stakeholder ecosystem mapping—to identify the vector through which we can engage the community.

These vectors might include, for example, community-based organizations (CBOs), faith groups, schools, 501(c)3s and non-profit organizations—organizations through which people are actively involved. Our typical approach then is to work our way into their existing schedule. We will prep beforehand, not just the logistics (which will include virtual/remote options), but also the content and communications strategy—we want attendees to feel like they are being listened to and that this is an empowering process for them, rather than an extractive one. The way we accomplish that is developing a meeting outline with prompts to elicit a productive conversation. During the meeting itself, we often start by educating the audience, terminology, and the initiative—this allows a common language for us to hold more complex discussions. We then turn the microphone back to them and facilitate a series of brainstorming exercises. As we have done for many other organizations, we would facilitate these groups to identify how, from their unique perspectives, the Participating Agency can prioritize and invest in the community in terms of various projects. Hearing from people on the ground and listening to their needs will illustrate experiences and ensure our resulting recommendations are grounded in the needs of residents.

As we have conducted these focus groups, town halls, and community meetings dozens of times before, we can pre-empt the types of responses we expect to hear and tune our questions to laser in on the issue at heart. After the round of community meetings, we will create a summary of the feedback we receive, highlighting key themes and takeaways in an easy-to-digest format suitable for executive audiences.

Host design workshops to align stakeholders on current and future requirements

We will take a long list of recommendations and market test them through design workshops. Much like the earlier public meetings, these design workshops may be held either with key stakeholders or be a broader forum for the community. We will ultimately follow the Participating Agency's lead on this, but we recommend limiting the Design Workshops to the key stakeholders. We will certainly be educating the attendees at the start of each session to ensure we are all speaking from the same place but coming in with a nuanced perspective will be important. We can also split the Design Workshops between key stakeholders and the broader community to try and gather different inputs. In either case, these sessions will be focused on expressing the desired future state. Confirming our understanding of its needs, what do some potential solutions look like, what are their attributes, are there particular areas for us to focus on.

We will cover a wide range of future state topics that we will use as a launchpad into the other steps of this step. The results of these design workshops will help provide the critical stakeholder input over a variety of considerations depending on the topic.

_De__velop strategic roadmaps to implement strategic objectives including evaluating portfolio-based strategic planning approaches and developing a strategic performance management model to establish the governance, processes, and infrastructure required to manage transformation activities from concept through design and implementation._

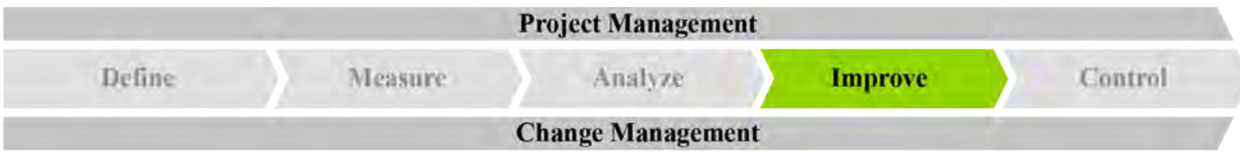


Figure 51. Developing strategic roadmaps is also part of the Improve phase

The Guidehouse team will build off the draft mission, vision, values, and goals in earlier efforts to drive into finer detail regarding the specific strategies, actions, and performance objectives required to accomplish those objectives. Our project team will analyze the estimated cost, impact on experience, and level of effort as well as any additional prioritization criteria. For each recommendation, the project team will provide a basis for guiding discussions around how to best invest resources. Development of the Implementation Roadmap typically includes the following activities.

Working Sessions to Finalize Goals, Actions, Performance Objectives, and Performance Metrics

The project team will continue facilitated conversations to finalize goals and identify top strategies, actions, objectives, and relevant performance metrics aligning with each of the goals. To ensure a reasonable implementation scope, we anticipate between 3-5 goals with 2-3 strategies within each goal. Those strategies would then be enacted by approximately 3-5 actions. Actions should be specific, tangible, and measurable that clearly flow up to goals. The measurability of the actions, strategies, and goals is essential for developing performance objectives and other KPIs. We expect the development of strategies, actions, and objectives to be an iterative process as we identify risks and impact of each one.

Impacts and Risks Evaluation across People, Processes, and Technology

Our team will evaluate the impacts of proposed strategies, actions, and objectives on people (staffing and training), processes (internal and external facing), and technology (existing and future). For each action, we will prepare a brief report summarizing our findings across a number parameters, including: 1) Cost; 2) Risks; 3) Degree of Impact on Current Operations; 4) Complexity of Implementation; 5) Time Frame; 6) Priority within strategic plan and 7) Required Resourcing.

Develop Recommendations to Address Significant Changes and Impacts – As we finalize the strategies, actions, objectives, and review of potential impacts, we will work with the stakeholders to prepare key recommendations on supporting processes needed and how to mitigate high-risk objectives across people, process, and technologies. We will assess feasibility of recommendations from both a resourcing and organizational management perspective.

Prioritize Recommendations – In preparation for development of the roadmap, we will begin to prioritize, and sequence recommendations based on their complexity, anticipated impact on meeting objectives and their required resources. Typically, the Guidehouse team will highlight quick win opportunities to build momentum for the initiative.

Report Development – The final strategic roadmap needs to accomplish a few things:

- Nest within the existing frameworks and priorities of the client's organization and not create 'framework fatigue
- Be logically coherent in tying multiple issues together
- Strike the right note between structure and flexibility, to be future proof for unforeseen trends
- Ultimately, speak to the needs and desires of stakeholders

This activity will tie in and synthesize all of the body of work conducted in this task into a written, highly accessible, potentially public-facing strategic roadmap. The components of typical Guidehouse Roadmaps are listed below:

- Implementation Steps: The tasks that need to be undertaken as part of the initiative.
- Owner: The individual(s) responsible for ensuring the implementation step is completed according to the defined timeline.
- Dependencies: Events that need to occur before the implementation task can be undertaken.
- Risks: Issues that could delay the initiative or prevent it from moving forward entirely. Common risks include availability of leadership, staff retirement, and access to data.
- Timeline: The targeted start and end dates of the specific initiative tasks.
- Performance Metrics: Metrics assigned to each initiative task that will provide measurement for understanding progress/success of initiative.
- Resources: The Full Time Equivalents (FTEs) necessary to support the initiative.

***Support** implementation to deliver against strategic objectives of Participating Agency.*

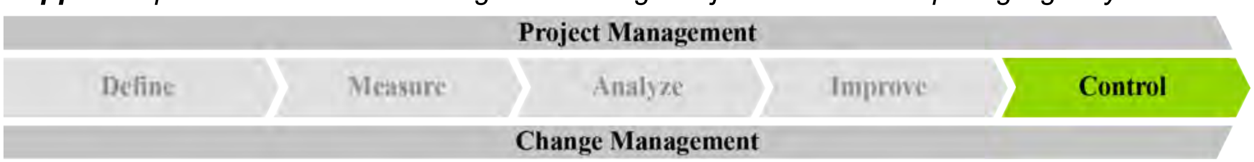


Figure 52. Control Phase

Embedding improvements and changes into the normal operations of an organization requires sustained effort over time. As part of this effort, we will conduct knowledge transfer sessions regularly so that this future state is being both communicated and influenced by feedback being activity solicited. The last phase of the DMAIC framework aims to establish structures that facilitate this sustained effort. In 'Control,' we prepare the Teams with implementation supports that span the development of specific performance metrics, an implementation plan, and a cycle for continuous improvement. At the end of this phase, we draw upon each of these supports as we activate an implementation plan, measure initial performance, create a dashboard to measure and record performance, and facilitate initial updates based on our pilot learnings. This phase also brings us to the end of our DMAIC approach.

Establish KPI Metrics

Establishing concrete goals and clear, objective metrics is critical for measuring the success of any transformation.

Create Guidehouse Dashboards

The dashboard examples below demonstrate how our team is capable of creating dashboards that convey data and information in numerous formats: geographic, historical, and relative. Our team will work with the Participating Agency management group to design a dashboard aesthetic that meets their needs and expectations. Our team is experienced creating visually appealing dashboards that also quickly and clearly communicate key information.

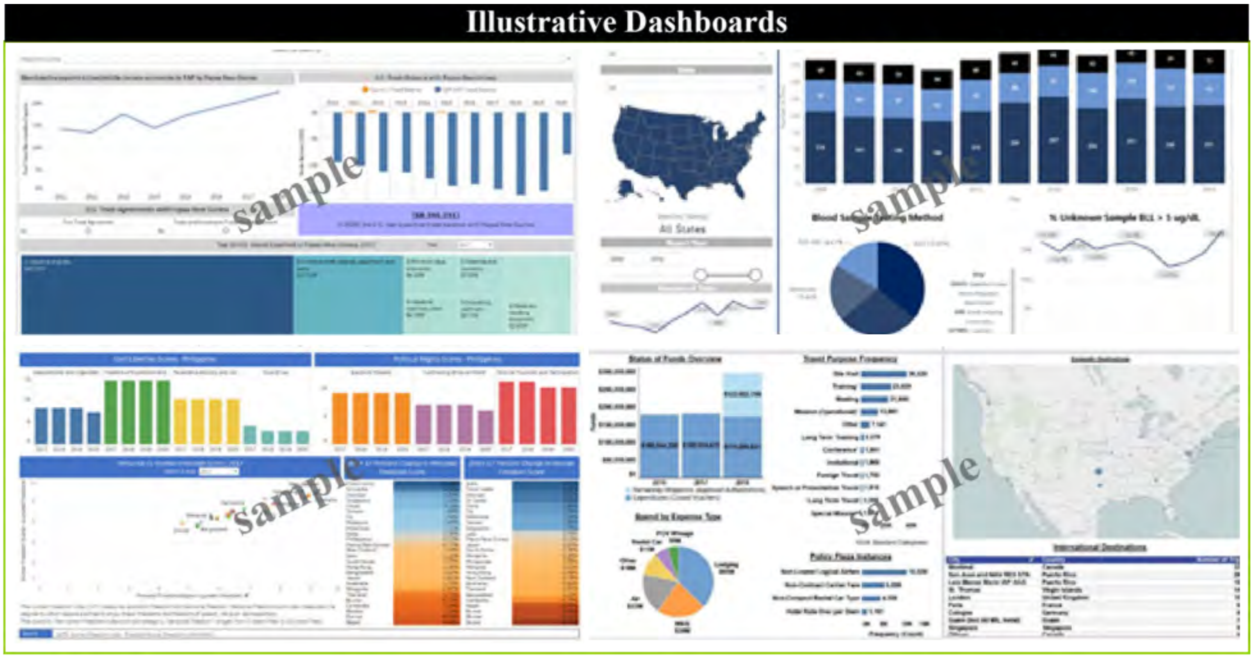


Figure 53. Dashboard Examples

Provide additional change management support

Guidehouse believes that a good partner does not leave when the time is up but sees our clients through to implementation success. For that reason, our project teams are willing and able to remain by your side as you see through the project from strategy through implementation. We understand that instituting change, developing a vision and strategy, monitoring and enhancing performance, and improving outcomes is no easy feat. As you see your programs through implementation, our project teams can provide implementation support including meeting and reporting facilitation, performance evaluation, and change management.

To support Organizational Change Management, Guidehouse will use (re)Vision™ homegrown Change Management methodology throughout implementation support (**Figure 54**). Guidehouse project teams will develop a set of quantitative and qualitative metrics based on the "Commitment Curve" as a starting point to assess change readiness and adoption. These metrics will measure change adoption at various points in the implementation to provide insight into stakeholders' understanding of the project and commitment to its ultimate success.

Guidehouse's five-phase (re)Vision™ framework combined with iterative processes, tools, accelerators, and techniques, helps engage stakeholders through strategic planning and implementation roadmaps to drive buy-in and sustainable change.

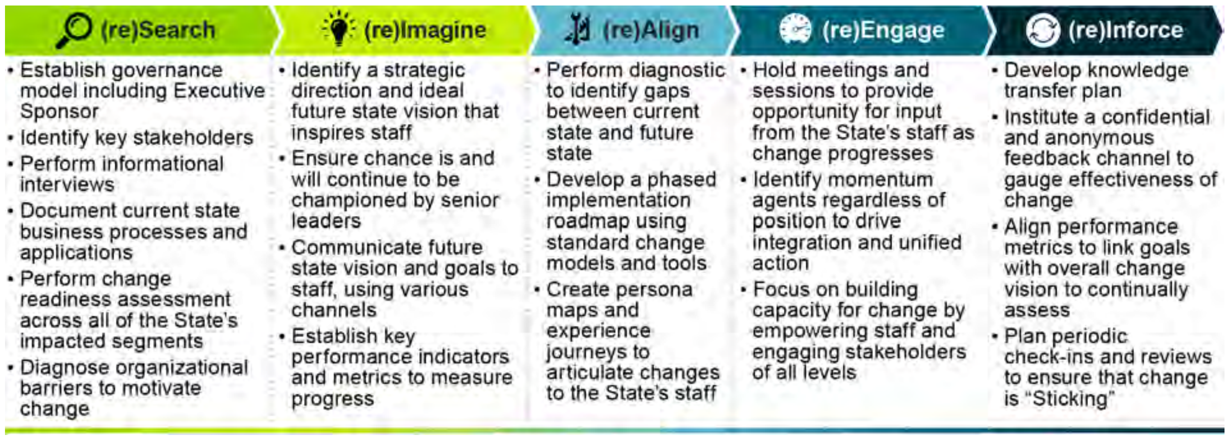


Figure 54. (re)Vision™ Change Management Methodology

We are an industry leader in change and recognized by the Association of Change Management Professionals for our alignment with the leading industry standard. Guidehouse will deploy an agile, flexible (re)Vision™ methodology that supports our clients throughout the transformation.

Applying Advanced Analytics

Our Understanding

As organizations rely on data-driven decision-making as the standard for their programs and administrative operations, it is critical that uniform, robust, and scalable infrastructures are in place to support data, data users, and data analytics in an efficient manner. These can include not only solutions for data across the technical stack – such as cloud infrastructure, data engineering and storage, systems integration, and analytics – but also strategies around IT and data governance to enhance how data is responsibly accessed, used, and leveraged. Guidehouse understands that accurate data insights are dependent on this larger data ecosystem and interactions between its components and stakeholders, having provided a long history of cohesive strategy, technology, and data services to commercial and public sector organizations, including federal, state, and local governments.

Guidehouse's best-in-class technology program brings together expertise across IT strategy, cybersecurity, emerging technology, enterprise solutions, and advanced data analytics with strong project management to meet an organization's mission needs. From our experience establishing multiple Data & Analytics Center of Excellence (CoE) with the US Patent and Trademark Office and the Tennessee Valley Authority – including governance, requirements, automated solutions deployed in a cloud-hosted environment – we understand the value that a modern analytics infrastructure can have on an organization's ability to drive efficiencies through performance and program outcomes.

Guidehouse also has a proven track record in building and deploying a robust suite of advanced data analytics, artificial intelligence (AI), machine learning (ML), robotic process automation (RPA), data engineering, and data visualization solutions to help organizations enable data-driven decision-making and data story-telling based on a single, trusted data landscape (**see Figure 55**). Over the past two years alone, the team has supported 200+ engagements in both government and commercial programs, and across multiple domains such as health, finance, energy, etc. Since its inception in 2015, our team has grown to 300+ experienced professionals including data scientists, visualization experts, data and machine learning engineers, cloud and solution architects, and statisticians with extensive experience in 350+ technologies, tools, and frameworks (i.e., R, Python, SQL, Statistical Analysis System (SAS), Tableau, Power BI, Amazon Web Services (AWS), Azure, Databricks, Docker, Kubernetes, and Streamlit). Our technology-agnostic approach allows us to recommend and deploy “best fit” solutions for our clients depending on their environment, approved tools, desired investment, and intended use.

Figure 55. Guidehouse's Advanced Analytics and Intelligent Automation Service Offerings

Approach, Methods, and Techniques

Focused on customer experience principles and industry standard agile best practices, our iterative approach integrates five primary phases from performing a current state assessment, defining the strategy, and assessing business use cases to scaling solution development for a sustainable implementation of the advanced analytics solution. Throughout our approach, we place a primary focus on collaborating with stakeholders, such as change agents, analytic and data consumers, and end-users/decision makers, to better understand the vision and strategy for how implementation of each use case will impact the enterprise and be most easily adopted by users. As detailed in the following subsections, we **define and assess** the long-term strategy and use cases, **enable** success by initiating activities and developing policies and procedures, **pilot** the analytical solutions, and **scale** for modernization and transition to **implementation**.

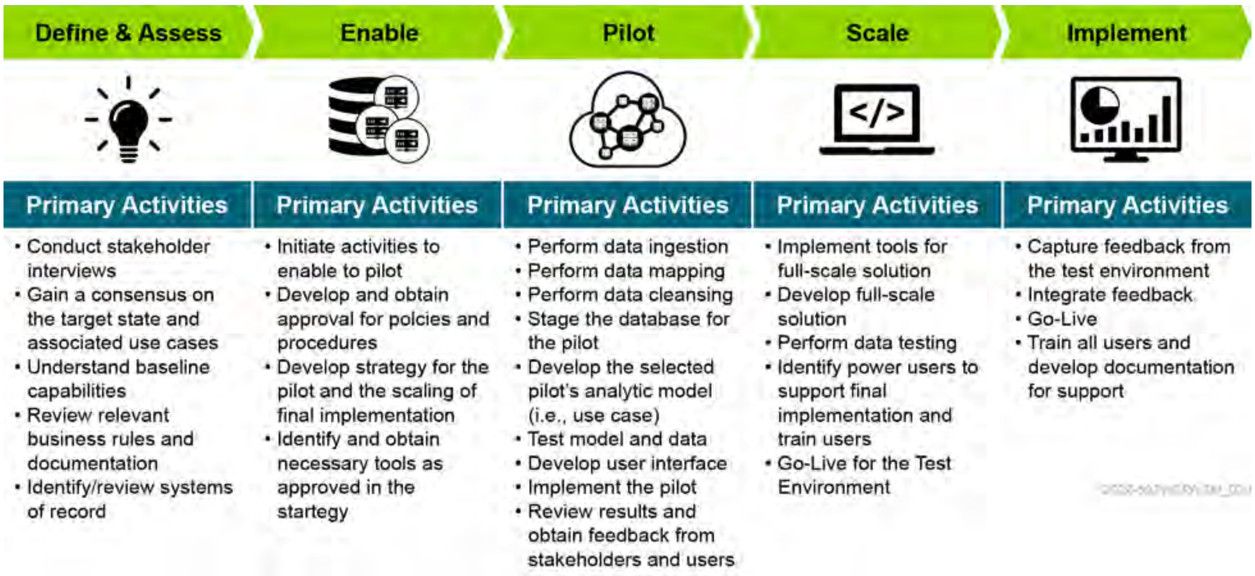


Figure 56. Advanced Analytics Approach

Define & Assess: Upon the start of the engagement, Guidehouse will quickly leverage and review agency documentation on goals, objectives, current/future analytics efforts, and other relevant documentation and artifacts. We then meet with agency leadership, product owners, and SMEs: (i) to gain insights into how 'success' is envisioned within the realm of analytics, (ii) how to optimally position for the Implementation phase, and (iii) to understand priorities, goals and known barriers or constraints. With a baseline understanding of the current state, we will develop and deliver a Strategic Analytics Plan, including primary focus areas, objectives, and goals. As part of the strategy, our team will develop a set of initial use cases, which will continue to be refined through the Pilot phase. As a best practice, Guidehouse practices careful due diligence in selecting the analytical tools and techniques we identify when developing a Strategic Analytics Plan, understanding that each method has its own strengths, weaknesses, and associated data quality and availability requirements. We recognize that often simpler models can fit client needs as well as or better than "advanced" or black-box models, especially when client preferences or industry regulations require models to be interpretable and transparent. Thus, our current state assessment will be thorough and consider a range of techniques from traditional statistical forecasting, through more advanced machine learning, to complex ensemble and stratified modeling, to determine the appropriate solution tailored to fit our clients' unique needs. All developed solutions are monitored via intuitive dashboards to enable continued performance and maintenance. Additionally, it will likely be necessary to reevaluate and refine the Analytics Strategy Plan to remain flexible and responsive to emerging issues and new learnings.

Analytics Strategy at Texas Department of Transportation (TxDOT)

TxDOT needed to create a data strategy and roadmap of programs to guide enterprise information management for the next decade. We used our Data Strategy Methodology to first define the data needs and challenges of TxDOT employees across the state by holding 80+ interviews at headquarters and field offices and using crowdsourcing software to reach additional stakeholders. From those needs and challenges, we defined goals and objectives as a "to-be" environment of data management and analytics. We identified the capabilities, processes, and tools needed to move TxDOT from its current state to the to-be environment. Lastly, we developed an implementation roadmap that consisted of 54 data management projects in a phased and sequenced order that reflected TxDOT's priorities, including approximate costs and resources. As a result, we provided TxDOT with an evidence-based assessment of the organization's data and analytics needs, the path for achieving its goals, and the materials needed to begin the projects that sets TxDOT on its 10-year journey.

As part of the current state assessment, we will assess the agencies capabilities across the five primary impact areas to determine the baseline environment, including:

- **Maturity:** Descriptive (what happened?), Diagnostic (why did it happen?), Predictive (what is next?), Prescriptive (what is the next best action?) and Cognitive (what should we ask?);
- **Goals:** Short-term (<6 months), mid-term (1 year) and long-term (>1 year);
- **Barriers:** Inconsistent data sources, no single source of information, and decentralization (amongst others);
- **Pillars:** Communication, governance, talent, tools, data accessibility, architecture, and hardware; and
- **Solutions:** Efforts currently ongoing across the agency and the purpose/intent of each.

An overall maturity rating (using a 1 to 5 scale) will be applied to each primary impact area. The outcomes of the assessment will be compiled in the form of a Current State Assessment and Recommendations Analysis report providing the agency a clear understanding of analytics usage - where and how it is (or is not) being used as an enabler to achieve business outcome and identifying existing gaps between the current state and target state, as well as areas of opportunity (i.e., recommendations) to close gaps and inherent risks.

Enabling Data Analytics with Data Architecture at Department of Defense (DoD)

We developed an enterprise data architecture that applies to all non-appropriated (NAFI) funding programs across the DoD. With NAFI programs implemented separately by the Army, Navy, Air Force, and Marines, DoD had no means of accessing cross-Service NAFI information easily. DoD contracted with us to develop an enterprise data architecture in the form of three data model specifications (i.e., conceptual, logical, physical). This architecture was intended to represent what data that NAFI program managers needed, not necessarily just the data to which they had current access. Through hundreds of interviews and modeling sessions, we developed data definitions and structures, negotiating changes until all of the Services could agree on a standard representation of NAFI data. This data architecture has provided DoD value since by (1) using it to supplement system modernization efforts by summarizing their data requirements in RFPs, (2) acting as a communication mechanism for NAFI programs to speak a common language, and (3) serving as a blueprint for the NAFI Enterprise Data Warehouse, which we are constructing currently.

Enable: Building on insights gathered from the first two phases and lessons learned from our support of previous analytics initiatives, we will begin enabling activities – the activities that support analytics such as data management (e.g., storage, access, data quality, and integration). As identified in the Analytics Strategic Plan, we will begin developing the policies and processes to close existing gaps and capitalize on the previously identified recommendations, including technology changes, identifying, and adding additional data sets, and training users. Next, we will submit the drafted policies and procedures for review and approval by the agency. We will also submit our recommendations for the selected architecture, such as a data lake. Once approved, we will draft a plan for the implementation of the pilot.

Pilot/Prototype: Use cases will be identified during the initial stakeholder sessions and documented in the Analytics Strategic Plan. Thus, our team and the agency will identify one use case as a pilot to expand upon further by refining the use case with stakeholders. With this additional information, such as the required fields necessary for the analytical models, we leverage our flexible analytic development approach, based on the industry standard CRISP-DM framework, we will prototype analytic solutions. This rapid prototyping process is built on agile delivery practices, allowing us to develop solutions in a condensed period to receive stakeholder feedback and deploy solutions to end users sooner for greater ROI. As we continue prototyping efforts, we refine the Analytics Strategic Plan, drawing lessons learned and prioritized implementation steps for scaling of results. Following the deployment of the pilot, we measure the impact of the solution against tangible targets and the initial definition of success using after action reports (AAR).

Figure 57. ADDIE Process

As with any pilot and implementation, training the end users and the front-line managers is paramount. We have conducted training and organization transformation at some of the world's largest and most complex public sector organizations, and we use this training approach for both the pilot and the scaled implemented analytics solution. To support training and transition to the agency, we will coordinate with key stakeholders to design training with a special focus on user groups, with an understanding that no two user groups may be the same. Upon completion of tailored curriculum development, our training materials are structured so that our clients will be able to use the documentation to train new personnel as needed. We utilize the ADDIE process (**Figure 57**) a generally accepted training industry standard used by instructional system designers and training developers to build effective training and performance support tools, to break the work out into six phases: (0) Mobilize (1) Analyze, (2) Design, (3) Develop, (4) Implement, and (5) Evaluate. Throughout training engagements, we coordinate project management and stakeholder engagement and change management activities so that all stakeholders are aligned to avoid risks and challenges throughout the project.

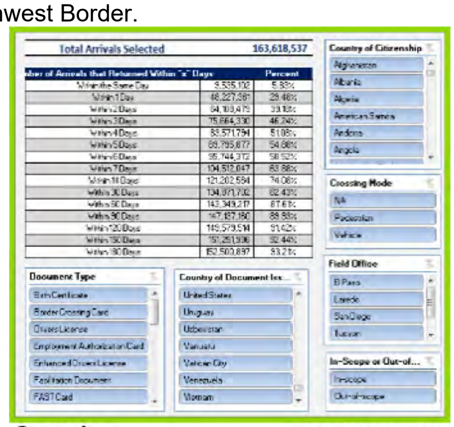
Our training methodology will leverage our past experiences in change management so that the agency's employees are fully equipped to maximize the benefits from the technology adoption. We will leverage our network of specialists to provide expertise on identified IT issues, conduct on-site training classes, and provide training guides, manuals, and templates as deliverables for agency employees to draw on during and after our engagement to relay best practices to additional staff. This "Train-the-trainer" methodology will ensure replicable results and comprehensive understanding from employees of key IT issues and solutions long after our engagement has been finalized.

Scale: The most critical transition in any transformation initiative is between planning and implementation. These activities will enable the required alignment, direction, and scalability to accelerate a successful implementation. Activities in this step will be designed to not only result in a clear path forward and detailed implementation package, but also the required leadership approvals and organizational buy-in required for long-term organizational acceptance.

Implement: We understand the analytics solutions requires a variety of potential solutions of various scope, including application development, data warehousing, advanced analytics, information security and general IT Consulting. Our general approach incorporates an iterative hybrid agile and waterfall software

Analytics Modeling Implementation at Customs Border Patrol (CBP)

We created a first-of-a-kind analytics modeling solution to inform the design of future Southwest border CBP biometric pilots. We conducted a Southwest Border Subsequent Arrival Analysis to identify potential overstay risks and inform future land exit strategy formulation. We analyzed 180+ million annual traveler records, performed significant data munging (including various fuzzy matching techniques) and built a unified dataset from which Southwest Border Point of Entries could be examined for the first time ever. We developed an inferential, statistical model to determine overstay sub-populations and at-risk groups, presenting results to the layperson through a simplified set of dynamic visualizations to illustrate traveler crossing trends, patterns, and demographics. The analysis provided DHS with a first-ever window into overstays, by country, for foreign visitors to the U.S. whom CBP expected to depart each year, along with a defensible strategy for identifying potential overstays along the Southwest Border.



Sample 2022-692 NCPA SM_030

delivery methodology that will allow the agency to meet timeline and quality objectives. Beyond the natural iteration that will come with staggered phases that may be a part of many projects, we have incorporated agile sprints for design and development, that allow the agency's IT the benefit of early prototypes, review of actual system functionality, and frequent interaction of end users with the solution. Furthermore, our approach, shown in **Figure 58**, is tested and adopted on multiple application development, data warehousing, analytics, and business intelligence projects.

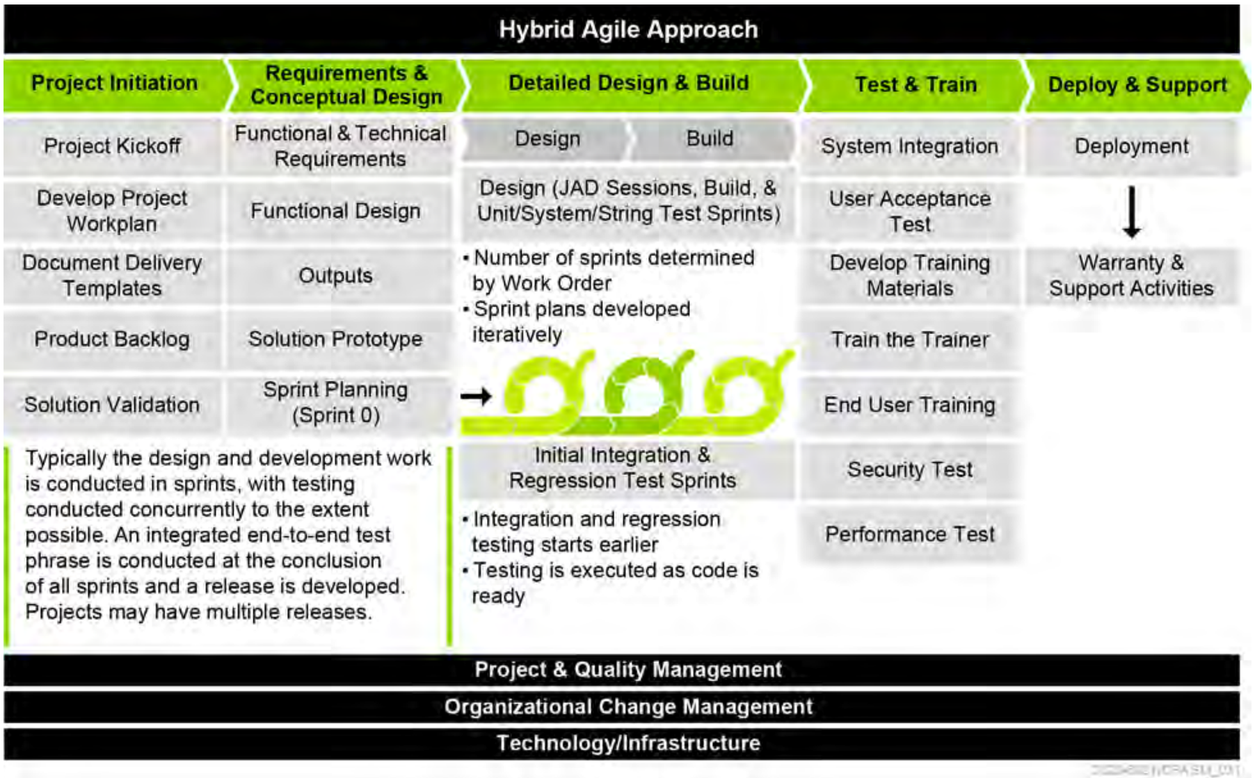


Figure 58. Hybrid Agile Approach

Guidehouse's methodology allows for a more predictable release cycle, and enables frequent feedback loops, which lowers the cost of change and helps organizations realize the benefits of their investment faster. Further, the approach encourages continuous collaboration between the agency and Guidehouse, promoting the development of a user centered solution. In particular, the following benefits (**Figure 59**) are expected.

Figure 59. Benefits of our Hybrid Agile Approach

Our overall testing approach provides high end testing capabilities and solutions crafted using best-in-class methodologies, tools, and accelerators. Guidehouse's test strategy incorporates a proactive approach that begins with testing as development occurs. When bugs are identified they are resolved prior to the technology assets being completed. In addition to primary testing completed by developer, additional reviews and unit testing will be executed by peer developer and/or Technical Lead. The testing resource is independent of the development team, eliminating testing bias and enabling testing team to rigorously test application elements from different perspectives. summarizes the anticipated testing methods and responsibilities.

Team Guidehouse Developers	Team Guidehouse Testing Resources		Chicago IT Resources
Development Testing	Requirements Mapping	System Integration Testing	UAT
Requirements Mapping	Unit Testing	End to End Testing	Regression Testing
	Regression Testing	UAT Support	

Figure 60. Methods and Responsibilities for Testing

As indicated in the above responsibility matrix, specialized testing resources will be responsible for development of the Test Plan, Test Scripts, Test Scenarios, Test Cases, and Test Reports. In addition, they will be responsible for executing the Test Scripts, Test Scenarios, and Test Cases as well as logging defects, issues, requirement clarification, and enhancement requests for each testing cycle. This testing workflow is expressed in the **Figure 61**.

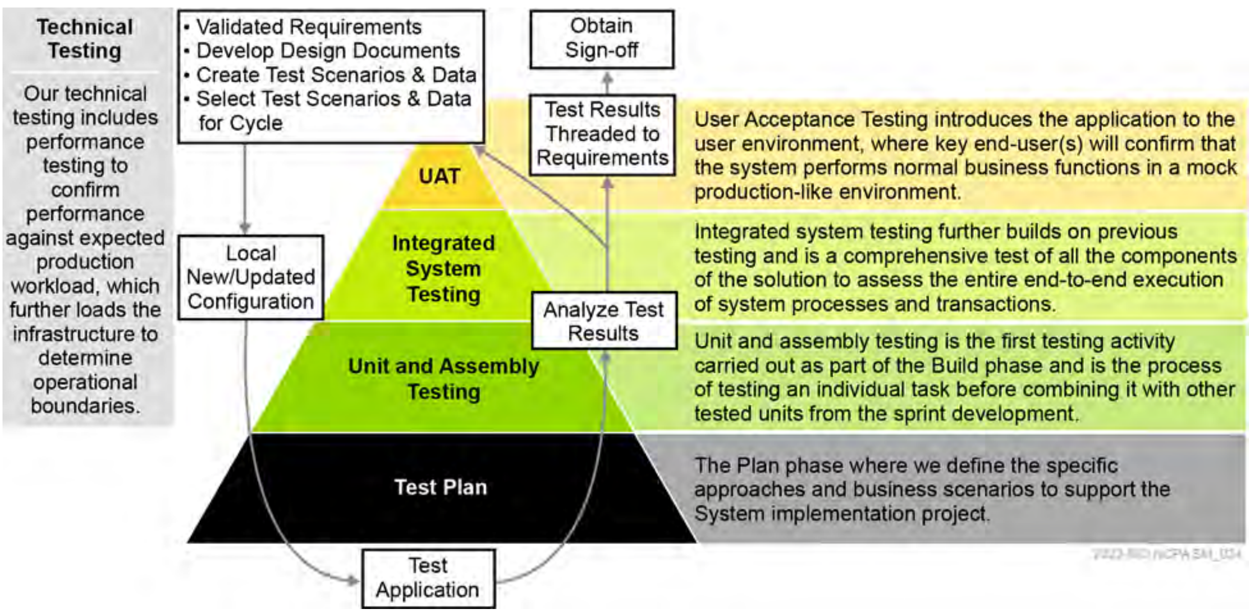


Figure 61. Testing Approach

Transforming Organizations, Workforce and Culture

Evaluate current state of organizational design, governance and management processes, and provide organizational design services to develop or refine department or agency-level structure, functional structure, governance, management processes, decision-making, and/or top teams (group organization or individual roles).

We are familiar with the gradual process, and year-over-year changes that lead to a state or local government that is very difficult to efficiently manage. We hold the view that a more efficient and manageable staff could dramatically enhance state and local government services, operational efficiency, and responsiveness to citizen concerns.

Today, NCPA members can target their services to the correct clients and deliver them more efficiently, with less redundancy and wasted effort. Refreshing the approach to key departments allows for improved outcomes, increased efficiency, and a better perception of the government.

We understand the importance of aligning operations to the existing needs and priorities of its taxpayers and constituencies. Increasing efficiency and consolidation of duplicative functions is a first critical step.

We will help the public sector participants in NCPA to create the structure to make the entity more efficient and accountable through organizational design and transformation.

Guidehouse has worked with many state and local government agencies to create organizational plans, while also identifying better ways of working. Armed with this knowledge, we can build an approach based on the state's unique needs and goals.

Our overall approach seeks not just to produce reports but to catalyze action. We seek to build an optimized organizational structure that is centered on residents and businesses, with a strong technology backbone and a culture of excellence. These improve outcomes, grow trust in government, and create a vibrant economy. We believe in the use of data and evidence to inform a coherent vision, and that strategies are better executed when staff are brought into that vision, with both staff and stakeholders understanding how their focus areas or programs serve the broader strategy. As such, we understand the importance of gathering and compiling information and data from specified state agencies to produce a comprehensive analysis of agency functions.

A long-term transformation is enabled by short-term results. To create culture change, you need to identify and realize the benefits of "quick wins" to generate momentum. We are prepared to identify and facilitate the implementation of short-term strategies to help achieve quick results.

Transformation does not happen overnight, and NCPA members will need a vision and a roadmap for this transformation. Developing a structure to further reorganize state government, as well as a longer-term business plan to guide the implementation of this strategy, will help to ensure the benefits of this transformation are long-standing.

Our approach to assisting you with this critical work is designed around high degrees of facilitation by - and collaboration with - our team working intensively with you throughout this process.

We see **three** key steps to this work:

1. **Develop a Vision and Reorganize.** The first step is to develop a vision to reorganize and realign government. We will facilitate the creation of a vision for the state and support reorganization efforts to align state government around current priorities.
2. **Identify Short-Term Strategies.** The second step is identifying short-term strategies to realize immediate benefits. In just a few months, we will quickly identify key areas for increased efficiency, understand what changes are worth implementing, and develop a roadmap for implementation.
3. **Develop Long-Term Strategies, Implementation Roadmap and Business Case.** The final step will be to build upon the successes of the previous two activities. We will utilize the data collected and short-term strategies identified to develop a business case for longer-term transformation, and a high-level implementation roadmap to guide future efforts.

Develop a Vision and Reorganize

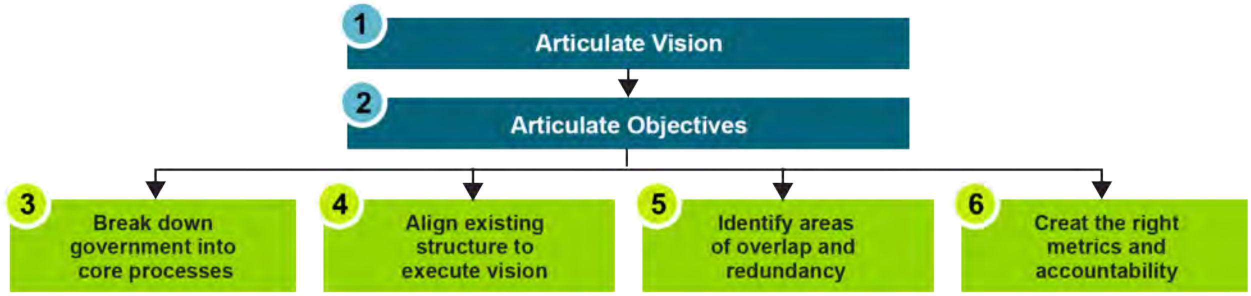


Figure 62. Developing and Approach to A Future State Vision

Throughout the course of our engagement, Guidehouse will apply *Fit for Mission* (FFM), an assessment tool adapted to the unique needs of the public sector. FFM is based on well-documented evidence that transformations are more successful when there is an early and persistent focus on developing the core capabilities to enable the transformed organizations to achieve more. In essence, the intent of FFM is to answer the questions: Is the entity's leadership as efficient as it can be to deliver on its core mission? What capabilities exist and are essential to meet the mission? How could leadership be better organized to enhance collaboration and mission delivery?

Our FFM tools and templates for conducting this analysis will evaluate three dimensions:

- Leadership and Service Offerings: What do we do?
  - Articulate the strategic value proposition and clarify core mission
  - Identify current and expected landscape shifts that will impact your core mission
  - Set clear priorities and identify what strategic investments will strengthen capabilities
- Organization and Location: Where do we do it?
  - Reconsider the organizational structure and re-architect the organization to manage more effectively as an enterprise
  - Assess proposed organizational construct of the governing body and its agencies
  - Consolidate back-office and routine work
  - Outsource and adopt commercial technology for enterprise decision making
- Operational Excellence: How (and how well) do we do it?
  - Improve processes and routines where there may be duplication or overlap between state departments
  - Instill an innovative culture that embraces efficiency and cross collaboration
  - Mature infrastructure such as enterprise resource planning for more agile operations
  - Collaborate and develop partnerships with community and not-for-profit organizations
  - Empower the workforce through training and skill building

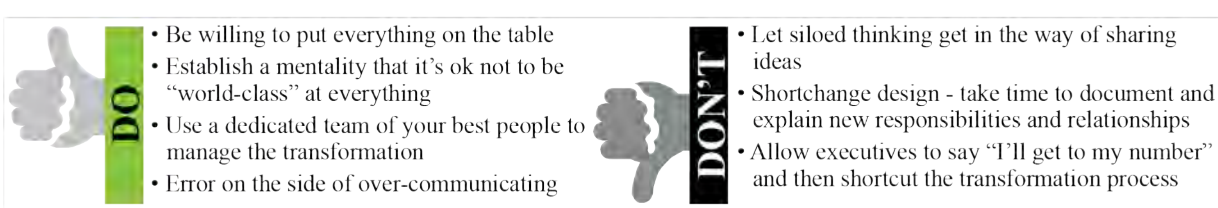


Figure 63. Dos and Don'ts of Transformative Projects

Finally, we know that each of these underlying agencies have their own internal strategic plans, processes, and organizational analyses. As such, we do not want to reinvent the wheel. Rather, we want to leverage the client's expertise and our more than 200 years of client service experience to co-create an assessment and plan that is feasible, actionable, and sustainable.

Provide recommendations for improving organizational health, deploying diagnostic tools, and helping Participating Agency leadership to drive cultural change, aligning the organization to execute on its mission and adapt to new challenges ("Organizational health" is the organization's ability to align, execute, and renew itself to sustain exceptional performance over time.)

Organizational change management (OCM) is critical to the success of any organizational transformation. Guidehouse has developed the scientific, interdisciplinary ***(re)Vision***TM solution to help our clients actively plan for and manage the human dimensions of large-scale organizational transformation. Our ***(re)Vision***TM approach goes beyond traditional change techniques and gets into stakeholders' minds to truly change behavior.

Our tested approach utilizing ***(re)Vision***TM is made up of the following five phases:

- ***Phase 1: Project Initiation –*** Launch the project, create alignment across project stakeholders, institute project governance structure, develop project management templates, and make initial data request
- ***Phase 2: (re)Search and (re)Imagine –*** Understand change readiness within NYSDOL and work with key leaders and stakeholders to define a future state
- ***Phase 3: (re)Align –*** Utilize the work done in the previous phase to translate the vision into an OCM plan, communications plan, and build change agent networks
- ***Phase 4: (re)Engage –*** Work with senior leaders and the change agent network to execute the change plan and measure against key performance indicators (KPIs) to evaluate progress and performance
- ***Phase 5: (re)Inforce –*** Review, iterate on, and continuously improve our enterprise level framework by incorporating feedback and lessons learned

Some agencies we have supported with change management and transformation services include:

- **New York State Metropolitan Transportation Authority (MTA)**
- **New York City Department for the Aging**
- **New York City Department of Parks and Recreation**
- **State of Arkansas, Governor's Office**
- **State of Michigan**
- **State of Oklahoma Executive Branch**
- **State of Arizona Department of Corrections**
- **Housing Authority of Baltimore City**
- **State of California Department of Motor Vehicles**
- **Indianapolis Housing Agency**
- **State of Massachusetts Department of Transportation**
- **San Antonio Housing Authority**
- **Santa Clara Housing Authority**
- **The U.S. Food and Drug Administration**
- **United Nations Executive Office of the Secretary General**

Throughout these five phases, the Guidehouse team typically organizes weekly team check-in meetings, submit weekly progress reports outlining activities and milestones, maintain an updated project schedule, and manage an "open issue" log to quickly raise any potential risks or roadblocks so that they may be addressed quickly.

Tab 7 – Value Added Products and Services

Include any additional products and/or services available that vendor currently performs in their normal course of business that is not included in the scope of the solicitation that you think will enhance and add value to this contract for Region 14 ESC and all NCPA participating entities.

Guidehouse offers **extensive employee engagement and survey experience specifically in the public sector.** Workforce retention is a critical issue for nearly every city, state and K-12 entity, and we understand how to perform an employee engagement survey process that achieves measurable results and sustainable positive change. We understand how to develop innovative engagement solutions that positively transform public service.

Research studies over the past two decades have demonstrated that greater levels of engagement are associated with better organizational performance. Engagement translates into positive results for an organization, thus reinforcing the value in measuring, monitoring, and improving employee engagement.

An engagement survey is only useful if the data is meaningful for leaders, managers, and employees. We will work closely with NCPA members to identify the areas of greatest importance for leaders and managers. We frequently conduct stakeholder interviews and employee focus groups to identify critical areas of focus. This becomes a guidepost for each step of the program's design. Our focus is on what is actionable and who is best equipped to take those actions.

Our approach to survey design will allow you to measure what matters most in your specific environment, such as engagement, wellbeing, and diversity and inclusion. The approach takes advantage of our extensive resources and research, and the participating entity's people strategies. Typical inputs into survey design are:

- **Stakeholder Input.** We will engage you in a discussion to understand the goals, strategies, and critical issues, including the sharing of any relevant documentation. If appropriate, we will also conduct employee focus groups and executive interviews to further understand the organization, its strengths and opportunities, as well as strategies from the executive perspective.
- **Employee Focus Groups (Optional).** We will conduct a series of focus groups with employees across the organization to understand what people like best about working for the public sector entity and what areas of could be improved. The focus group process will also allow us to address any concerns regarding the survey process (e.g., confidentiality, retribution, and our role in the process), create buy-in from the broad population, and set expectations regarding survey follow-up and use of results.
- **Strategic Priorities.** We understand that, beyond employee engagement, there may be other strategic priorities that may be advisable to include in the current effort (e.g., Wellbeing and an inclusive work environment). We will use our discussions with the core project team and the executive interviews to align survey content with your strategic priorities.
- **Research on Employee Engagement and the Employee Experience.** We will work with Guidehouse teaming partners to share ongoing research efforts, including the annual Global Landscape Study, will allow us to design employee surveys that draw out the most important information for improving the performance of individuals, teams, and organizations. This research provides a roadmap of what differentiates the work environment and employee experience at high-performing organizations.

Through our research, we developed our **Activated Engagement Framework** to provide a toolkit to better understand employee engagement, make progress toward removing barriers most affecting engagement, and support action planning that will lead to desired change.

Our research and work with clients has shown that engagement is driven by a number of factors related to leadership and manager effectiveness. Addressing those drivers helps influence engagement; however, such efforts can go to waste if there are obstacles standing in the way of transforming that engagement into performance. Our surveys are customized with the “end in mind” – that is, thinking what specific business outcomes and talent strategy would ideally be influenced from action on the survey. From there, we can help determine who would be implement those actions at what levels, and use that to determine the appropriate behaviors and processes to measure in the survey.
With this in mind, engagement is a means to an end (business/operational goals) rather than the end in of itself, and the drivers of engagement become more specific aspects of the work experience that are most likely to help lead to the desired goals. Identifying obstacles that might impede on this impact allows managers and leaders to help make the most of the engagement energy that they are working to create in their work environments.

The following are items that reflect our standard engagement index, however, we have flexibility to work with legacy measures the public sector entity may have used, and are exploring new engagement measures that reflect more research recent on the construct:

- I understand how my role contributes to the success of my company
- My colleagues are passionate about providing exceptional customer service
- My colleagues are willing to go beyond what is expected for the success of my company
- I am proud to work for my company
- I would recommend my company to friends and family as a great place to work
- I intend to stay with my company for at least another 12 months

In addition to providing an engagement index score, this index allows us to create an engagement landscape that identifies the intersection between engagement and intent to stay. This adds an additional dimension to understand level of engagement that exist in the organization and the kinds of actions that may be required.

Response Rate

We will work with the participating entity to design the survey with the goal of providing a seamless and positive user experience. Our survey platform is completely flexible, allowing for any number of customizations across branding and formatting, scales, item types, branching and multimedia components to fit your needs.

Our system allows for multiple sessions (i.e., leave survey and come back to finish at a later time) and is set up with the expected completion time to be approximately 10 to 15 minutes. Hundreds of thousands of users can access the system at any one time, so there won’t be any issues in deploying the survey to the full Employee population. Our goal is to create an easy-to-use experience for your employees and provide follow-up and guidance to help produce high participation.

In our experience, response rates tend to vary based on the size of the organization, the level of communications that are disseminated, the organizational culture around feedback and surveys, and historical visibility around action planning and initiatives. Our global average response rate is 80%, with several organizations reaching more than 90%.

Survey Administration

The city, state or K-12 entity will have the ability to customize questions. We recognize that there is no “one size fits all” approach to any survey program; our engagement team will work closely with leadership to tailor our approach and methodology to fit your unique needs.

We can administer the survey online, either through a generic link (posted on an intranet or sent via email), a personalized link sent out to each employee, or a single sign-on with a username and password provided (often selected for kiosk administration). Our online survey is able to fully render on mobile devices and tablets and meet all ADA requirements.

- Survey administration functionality and look and feel
- Variety of question types
- Single-response or multiple-response option questions
- Supplemental questions (targeted to specific departments)
- Branching questions
- Open-ended comment fields
- Customized branding, color schemes and rating scale options
- Images and videos

Our online survey administration platform has multiple options for accessing the survey, including computer, tablet, kiosk or smartphone. The platform is web- and mobile-agnostic– surveys render seamlessly regardless of browser (Chrome, Firefox, IE, Opera, and Safari) or mobile type (Android, iPad, iPhone).

We can also administer paper surveys. Our paper survey process can involve tagging surveys with a unique code so that we can report on the same demographics that we receive for online participants, but without having to ask paper respondents to identify all of their information. Or, we can ask respondents to self-identify their demographics directly on the survey. Our industrial strength technology not only supports the deployment and administration of paper surveys in an efficient manner, but more importantly, it allows us to report results within days of the survey close date, enabling action planning and performance improvement to take place while the survey is top-of-mind for leaders and also sends a powerful message to employees that their opinions matter.

Additionally, we will work with you to brainstorm the right strategy to reduce the number of paper surveys. If certain departments/locations have access to a centralized computer station, we can deploy a generic link as a replacement for paper surveys. Employees can use the same link to enter in their survey responses. Once the respondent clicks “submit” at the end of the survey, their individual response is stored in our database and the next employee will be able to use the same link to submit his/her response.

Survey Communications

We understand that a key success factor to your survey program is a proper communications plan and change management. With you, we’ll assess your various previous communications channels and determine the right approach based on this year’s goals and objectives. We have a number of communications templates that can be used, as well. These have been designed with both employees and leaders in mind to:

- Demonstrate the commitment and support that the leadership has for the employee engagement process
- Promote employee participation in the survey, as well as in post-survey results sharing and the action planning process
- Establish confidentiality and that individual responses will not be shared with managers
- Address the frequently asked questions that employees have and enable managers to explain the purpose and process of the employee engagement survey
- Additionally, we will recommend and work with the team to build a strategy to proactively communicate and engage with your labor partners. Based on our experience with other States and Local Governments, our collaborative approach was a key factor to our outstanding response rates and ultimately leading to the North American Employee Engagement award for public sector.

Our communications plan will cover messages throughout the course of the survey:

Pre-Survey

- Pre-notification e-mail from senior leaders to communicate the purpose of the survey
- Introduction of upcoming survey into manager-staff meetings
- Sample posters, table tents, video clips, streaming media, and social media content

During Survey

- Survey invitation and periodic reminders to those who haven't participated
- Target communications and follow-up reminders for groups with lower participation
- Documents to assist managers in describing expectations and their roles
- Informational overview and FAQs provided to people leaders to facilitate discussion of the survey purpose, logistics, and issue resolution; and identify local points of contact

Post-Survey

- Thank you note from senior and local leadership to employees announcing overall participation and explaining how the survey results will be used
- Templates of success stories regarding the survey action planning process for distribution in the company newsletter or intranet site

Table 3. Sample Communications Plan

Activity	Channel	Vehicle	Purpose	Timing
Develop a survey theme	Organizational Leader/Communication Team	Multiple	To help communicate the purpose of the survey in a memorable way	1 month prior to survey
Pre-survey notification email	Leader	Email	To communicate the purpose of the survey	2 weeks prior to survey
In-person announcement	Manager, supervisor within the organization	Team meeting	To reinforce the importance of the survey; to answer any question	1-2 weeks prior to survey
Additional promotions	Various	Newsletter, Intranet, YouTube, Posters, etc.	To communicate the impending launch of the survey	0-2 weeks prior to survey
Talking points for manager/supervisors	Leaders/Communications team	Email	To provide managers and supervisors a way to describe benefits of the survey	2 weeks prior to survey through survey administration
Launch email	System-generated	Email	To provide directions to completion	Day of survey launch (following email from leader)
2-3 Reminder	System-generated	Email	To remind employees who have not	Throughout the survey

We can administer any scale desired to make sure we capture the necessary responses from your organization.

- Single response option items (scale based)
- Matrix response items (multiple items responding to same step or grouped against the same response scale)
- Multiple response option items (including ranking, check-one, check-n)
- Open ended questions for free form text comments (with or without size limits)
- Flexibility in response scale options (e.g., agree, satisfaction, frequency, 5-point, 7-point, N/A options)
- Flexibility in formatting of responses (e.g., check box, sliders, smile scale)

For most clients, we typically recommend a standard five-point Likert scale for survey items. This is the most widely used approach to scaling responses in survey research and is proven valid, and aligned to most of our normative items. We utilize natural language processing (NLP) algorithms to analyze free text comments and automatically categorize them based on a custom-built taxonomy that is focused on critical employee facets. The output of this analysis can be in the form of a word cloud which is an interactive output that allows users to click on themes to show the verbatim comments that compose those themes. Furthermore, comments are sortable, searchable by keywords, and filterable by multiple demographic cuts.

Deliver Survey Results Reports and Provide Recommendations

After completing the survey administration, we will take a customized approach to bring the right story and focus on leadership, helping them focus on the right strengths and priorities to lead the action responses. We'll work with you early in the planning process to determine the most compelling and relevant styles and approaches for your reporting and presentation, helping us keep priority areas in the results aligned with what is most relevant to your leadership. We understand that this storyline may change year over year; so, with each cycle, we intentionally transform the presentation and reporting content to build a richer and deeper story with each year's presentation.

Some common deliverables include

- A presentation report with analyses into key opportunities and strengths, along with potential directions for consideration
- A brief, one or two-page document that summarizes the overall story, key findings, and recommendations; this "placemat" would form the outline for subsequent conversations, augmented by a heat map report to quickly visualize strengths/opportunities, as well as a reference report

Benchmarking

In order to help organizations manage their human capital, we maintain a premier employee opinion normative database comprised of client survey results with external benchmarks for many different employee and employer demographics. Built upon PwC's 40-year heritage of metrics and benchmarking (through our Saratoga Human Capital Effectiveness Report which contains hundreds of metrics and benchmarks related to human capital), we combine engagement survey data from our own client base, worldwide market panel studies, and data submitted by our clients participating in PwC's metrics and benchmarking services.

We continually update our global normative database to provide comparisons to a cross-section of companies across industries (such as technology, professional services, manufacturing, financial services, etc.), demographics, geographical regions, and countries.

We maintain normative data for the 300+ survey items in our library that allow clients to incorporate country, industry, demographic (job level, gender, race/ethnicity), and specific performance norms into survey reports and action planning. We have outlined a number of benchmarking options that may be of particular interest to you:

- **Public sector norm** represents responses from employees employed in the public sector. Employees are from across organization type including federal, state, and local governments, other governmental entities and quasi-governmental organizations
- **High performing organizations** represents responses from employees who work at high performing organizations globally across industries including banking/finance, manufacturing, healthcare, professional services, public sector, retail, energy/oil, technology, communications/media, insurance, retail, and utilities
- **Customer centric organizations** represents employees who work for organizations that have been recognized as providing exceptional customer service

Follow-Up Strategy

We will support and provide guidance to you to optimize action planning and post-survey activities. Specifically, we will share leading practices and direction customized to your environment in order to assist the NCPA member in building its action planning roadmaps and process.

We will consult the NCPA member team on creating a strategy for follow-up on the employee survey, including development of an action planning methodology to apply to all agencies and guidance on a communications plan for implementing changes based on the feedback gathered in the survey. We will provide recommendations based on leading practices in order to help the NCPA member team address key issues highlighted by the survey results. We will also provide suggested ways to leverage, further strengthen and sustain positive strengths identified by the survey. This guidance will be provided not only during the survey results review sessions and presentations, but also on an ongoing basis after results have been disseminated throughout the organization.

During our presentation of results, we will also share recommendations for action based on the aforementioned linkage analysis that will be conducted between survey results and operational metrics. We will provide compelling, meaningful findings from these linkage analyses which will not only assist in reinforcing the importance of employee engagement due to its direct connection to specific outcomes, but will also help guide the direction of post-survey efforts.

Tab 8 – Requested Document

Federal Funds Certifications

FEDERAL FUNDS CERTIFICATIONS

Participating Agencies may elect to use federal funds to purchase under the Master Agreement. The following certifications and provisions may be required and apply when a Participating Agency expends federal funds for any purchase resulting from this procurement process. Pursuant to 2 C.F.R. § 200.326, all contracts, including small purchases, awarded by the Participating Agency and the Participating Agency's subcontractors shall contain the procurement provisions of Appendix II to Part 200, as applicable.

APPENDIX II TO 2 CFR PART 200

(A) Contracts for more than the simplified acquisition threshold currently set at $250,000, which is the inflation adjusted amount determined by the Civilian Agency Acquisition Council and the Defense Acquisition Regulations Council (Councils) as authorized by 41 U.S.C. 1908, must address administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms, and provide for such sanctions and penalties as appropriate.

- Pursuant to Federal Rule (A) above, when a Participating Agency expends federal funds, the Participating Agency and Offeror reserves all rights and privileges under the applicable laws and regulations with respect to this procurement in the event of breach of contract by either party.

(B) Termination for cause and for convenience by the grantee or subgrantee including the manner by which it will be effected and the basis for settlement. (All contracts in excess of $10,000)

- Pursuant to Federal Rule (B) above, when a Participating Agency expends federal funds, the Participating Agency reserves the right to terminate any agreement in excess of $10,000 resulting from this procurement process in the event of a breach or default of the agreement by Offeror as detailed in the terms of the contract

(C) Equal Employment Opportunity. Except as otherwise provided under 41 CFR Part 60, all contracts that meet the definition of "federally assisted construction contract" in 41 CFR Part 60-1.3 must include the equal opportunity clause provided under 41 CFR 60-1.4(b), in accordance with Executive Order 11246, "Equal Employment Opportunity" (30 CFR 12319, 12935, 3 CFR Part, 1964-1965 Comp., p. 339), as amended by Executive Order 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," and implementing regulations at 41 CFR part 60, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor."

- Pursuant to Federal Rule (C) above, when a Participating Agency expends federal funds on any federally assisted construction contract, the equal opportunity clause is incorporated by reference herein.

(D) Davis-Bacon Act, as amended (40 U.S.C. 3141-3148). When required by Federal program legislation, all prime construction contracts in excess of $2,000 awarded by non-Federal entities must include a provision for compliance with the Davis-Bacon Act (40 U.S.C. 3141-3144, and 3146-3148) as supplemented by Department of Labor regulations (29 CFR Part 5, "Labor Standards Provisions Applicable to Contracts Covering Federally Financed and Assisted Construction"). In accordance with the statute, contractors must be required to pay wages to laborers and mechanics at a rate not less than the prevailing wages specified in a wage determination made by the Secretary of Labor. In addition, contractors must be required to pay wages not less than once a week. The non-Federal entity must place a copy of the current prevailing wage determination issued by the Department of Labor in each solicitation. The decision to award a contract or subcontract must be conditioned upon the acceptance of the wage determination. The non- Federal entity must report all suspected or reported violations to the Federal awarding agency. The contracts must also include a provision for compliance with the Copeland "Anti-Kickback" Act (40 U.S.C. 3145), as supplemented by Department of Labor regulations (29 CFR Part 3, "Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States"). The Act provides that each contractor or subrecipient must be prohibited from inducing, by any means, any person employed in the construction, completion, or repair of public work, to give up any part of the compensation to which he or she is otherwise entitled. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency.

- Pursuant to Federal Rule (D) above, when a Participating Agency expends federal funds during the term of an award for all contracts and subgrants for construction or repair, offeror will be in compliance with all applicable Davis-Bacon Act provisions
- Any Participating Agency will include any current and applicable prevailing wage determination in each issued solicitation and provide Offeror with any required documentation and/or forms that must be completed by Offeror to remain in compliance the applicable Davis-Bacon Act provisions.

(E) Contract Work Hours and Safety Standards Act (40 U.S.C. 3701-3708). Where applicable, all contracts awarded by the non-Federal entity in excess of $100,000 that involve the employment of mechanics or laborers must include a provision for compliance with 40 U.S.C. 3702 and 3704, as supplemented by Department of Labor regulations (29 CFR Part 5). Under 40 U.S.C. 3702 of the Act, each contractor must be required to compute the wages of every mechanic and laborer on the basis of a standard work week of 40 hours. Work in excess of the standard work week is permissible provided that the worker is compensated at a rate of not less than one and a half times the basic rate of pay for all hours worked in excess of 40 hours in the work week. The requirements of 40 U.S.C. 3704 are applicable to construction work and provide that no laborer or mechanic must be required to work in surroundings or under working conditions which are unsanitary, hazardous or dangerous. These requirements do not apply to the purchases of supplies or materials or articles ordinarily available on the open market, or contracts for transportation or transmission of intelligence.

- Pursuant to Federal Rule (E) above, when a Participating Agency expends federal funds, offeror certifies that offeror will be in compliance with all applicable provisions of the Contract Work Hours and Safety Standards Act during the term of an award for all contracts by Participating Agency resulting from this procurement process.

(F) Rights to Inventions Made Under a Contract or Agreement. If the Federal award meets the definition of "funding agreement" under 37 CFR §401.2 (a) and the recipient or subrecipient wishes to enter into a contract with a small business firm or nonprofit organization regarding the substitution of parties, assignment or performance of experimental, developmental, or research work under that "funding agreement," the recipient or subrecipient must comply with the requirements of 37 CFR Part 401, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements," and any implementing regulations issued by the awarding agency.

- Pursuant to Federal Rule (F) above, when federal funds are expended by Participating Agency, the offeror certifies that during the term of an award for all contracts by Participating Agency resulting from this procurement process, the offeror agrees to comply with all applicable requirements as referenced in Federal Rule (F) above

(G) Clean Air Act (42 U.S.C. 7401-7671q.) and the Federal Water Pollution Control Act (33 U.S.C. 1251-1387), as amended— Contracts and subgrants of amounts in excess of $150,000 must contain a provision that requires the non- Federal award to agree to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act (42 U.S.C. 7401- 7671q) and the Federal Water Pollution Control Act as amended (33 U.S.C. 1251- 1387). Violations must be reported to the Federal awarding agency and the Regional Office of the Environmental Protection Agency (EPA).

- Pursuant to Federal Rule (G) above, when federal funds are expended by Participating Agency, the offeror certifies that during the term of an award for all contracts by Participating Agency member resulting from this procurement process, the offeror agrees to comply with all applicable requirements as referenced in Federal Rule (G) above

(H) Debarment and Suspension (Executive Orders 12549 and 12689)—A contract award (see 2 CFR 180.220) must not be made to parties listed on the government wide exclusions in the System for Award Management (SAM), in accordance with the OMB guidelines at 2 CFR 180 that implement Executive Orders 12549 (3 CFR part 1986 Comp., p. 189) and 12689 (3 CFR part 1989 Comp., p. 235), “Debarment and Suspension.” SAM Exclusions contains the names of parties debarred, suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order 12549.

- Pursuant to Federal Rule (H) above, when federal funds are expended by Participating Agency, the offeror certifies that during the term of an award for all contracts by Participating Agency resulting from this procurement process, the offeror certifies that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation by any federal department or agency. If at any time during the term of an award the offeror or its principals becomes debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation by any federal department or agency, the offeror will notify the Participating Agency

(I) Byrd Anti-Lobbying Amendment (31 U.S.C. 1352)—Contractors that apply or bid for an award exceeding $100,000 must file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. 1352. Each tier must also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the non-Federal award.

- Pursuant to Federal Rule (I) above, when federal funds are expended by Participating Agency, the offeror certifies that during the term and after the awarded term of an award for all contracts by Participating Agency resulting from this procurement process, the offeror certifies that it is in compliance with all applicable provisions of the Byrd Anti-Lobbying Amendment (31 U.S.C. 1352). The undersigned further certifies that:

- No Federal appropriated funds have been paid or will be paid for on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of congress, or an employee of a Member of Congress in connection with the awarding of a Federal contract, the making of a Federal grant, the making of a Federal loan, the entering into a cooperative agreement, and the extension, continuation, renewal, amendment, or modification of a Federal contract, grant, loan, or cooperative agreement.
- If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions.
- The undersigned shall require that the language of this certification be included in the award documents for all covered sub-awards exceeding $100,000 in Federal funds at all appropriate tiers and all subrecipients shall certify and disclose accordingly.

RECORD RETENTION REQUIREMENTS FOR CONTRACTS INVOLVING FEDERAL FUNDS

When federal funds are expended by Participating Agency for any contract resulting from this procurement process, offeror certifies that it will comply with the record retention requirements detailed in 2 CFR § 200.334. The offeror further certifies that offeror will retain all records as required by 2 CFR § 200.334 for a period of three years after grantees or subgrantees submit final expenditure reports or quarterly or annual financial reports, as applicable, and all other pending matters are closed.

CERTIFICATION OF COMPLIANCE WITH THE ENERGY POLICY AND CONSERVATION ACT

When Participating Agency expends federal funds for any contract resulting from this procurement process, offeror certifies that it will comply with the mandatory standards and policies relating to energy efficiency which are contained in the state energy conservation plan issued in compliance with the Energy Policy and Conservation Act (42 U.S.C. 6321 et seq.; 49 C.F.R. Part 18).

CERTIFICATION OF COMPLIANCE WITH BUY AMERICA PROVISIONS

To the extent purchases are made with Federal Highway Administration, Federal Railroad Administration, or Federal Transit Administration funds, offeror certifies that its products comply with all applicable provisions of the Buy America Act and agrees to provide such certification or applicable waiver with respect to specific products to any Participating Agency upon request. Participating Agencies will clearly identify whether Buy America Provisions apply in any issued solicitation. Purchases made in accordance with the Buy America Act must still follow the applicable procurement rules calling for free and open competition.

CERTIFICATION OF ACCESS TO RECORDS

Offeror agrees that the Inspector General of the Agency or any of their duly authorized representatives shall have access to any non-financial documents, papers, or other records of offeror that are pertinent to offeror's discharge of its obligations under the Contract for the purpose of making audits, examinations, excerpts, and transcriptions. The right also includes timely and reasonable access to offeror's personnel for the purpose of interview and discussion relating to such documents. This right of access will last only as long as the records are retained.

CERTIFICATION OF APPLICABILITY TO SUBCONTRACTORS

Offeror agrees that all contracts it awards pursuant to the Contract shall be bound by the foregoing terms and conditions.

Clean Air and Water Act & Debarment Notice

CLEAN AIR AND WATER ACT AND DEBARMENT NOTICE

By the signature below (Under Federal Required Signatures), I, the Vendor, am in compliance with all applicable standards, orders or regulations issued pursuant to the Clean Air Act of 1970, as Amended (42 U.S. C. 1857 (h), Section 508 of the Clean Water Act, as amended (33 U.S.C. 1368), Executive Order 117389 and Environmental Protection Agency Regulation, 40 CFR Part 15 as required under OMB Circular A-102, Attachment O, Paragraph 14 (1) regarding reporting violations to the grantor agency and to the United States Environment Protection Agency Assistant Administrator for the Enforcement.
I hereby further certify that my company has not been debarred, suspended or otherwise ineligible for participation in Federal Assistance programs under Executive Order 12549, “Debarment and Suspension”, as described in the Federal Register and Rules and Regulations.

Contractors Requirements

CONTRACTOR REQUIRMENTS

Contractor Certification
Contractor's Employment Eligibility
By entering the contract, Contractor warrants compliance with the Federal Immigration and Nationality Act (FINA), and all other federal and state immigration laws and regulations. The Contractor further warrants that it is in compliance with the various state statues of the states it is will operate this contract in.

Participating Government Entities including School Districts may request verification of compliance from any Contractor or subcontractor performing work under this Contract. These Entities reserve the right to confirm compliance in accordance with applicable laws.

Should the Participating Entities suspect or find that the Contractor or any of its subcontractors are not in compliance, they 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.

The offeror complies and maintains compliance with the appropriate statutes which requires compliance with federal immigration laws by State employers, State contractors and State subcontractors in accordance with the E-Verify Employee Eligibility Verification Program.

Contractor shall comply with governing board policy of the NCPA Participating entities in which work is being performed.

Fingerprint & Background Checks
If required to provide services on school district property at least five (5) times during a month, contractor shall submit a full set of fingerprints to the school district if requested of each person or employee who may provide such service. Alternately, the school district may fingerprint those persons or employees. An exception to this requirement may be made as authorized in Governing Board policy. The district shall conduct a fingerprint check in accordance with the appropriate state and federal laws of all contractors, subcontractors or vendors and their employees for which fingerprints are submitted to the district. Contractor, subcontractors, vendors and their employees shall not provide services on school district properties until authorized by the District.

The offeror shall comply with fingerprinting requirements in accordance with appropriate statutes in the state in which the work is being performed unless otherwise exempted.

Contractor shall comply with governing board policy in the school district or Participating Entity in which work is being performed.

Business Operations in Sudan, Iran
In accordance with A.R.S. 35-391 and A.R.S. 35-393, the Contractor hereby certifies that the contractor does not have scrutinized business operations in Sudan and/or Iran.

Federal Required Signatures

FEDERAL REQUIRED SIGNATURES

Offeror certifies compliance with all provisions, laws, acts, regulations, etc. as specifically noted in the pages above. It is further acknowledged that offeror agrees to comply with all federal, state, and local laws, rules, regulations and ordinances as applicable.

Offeror Guidehouse Inc.

Address 1676 International Drive, Suite 800,

City/State/Zip Mclean, VA, 22102

Authorized Signature

Date 11/15/22

Antitrust Certification Statements

ANTITRUST CERTIFICATION STATEMENTS
TEXAS GOVERNMENT CODE § 2155.005

I affirm under penalty of perjury of the laws of the State of Texas that:

(1) I am duly authorized to execute this contract on my own behalf or on behalf of the company, corporation, firm, partnership or individual (Company) listed below;

(2) In connection with this bid, neither I nor any representative of the Company has violated any provision of the Texas Free Enterprise and Antitrust Act, Tex. Bus. & Comm. Code Chapter 15;

(3) In connection with this bid, neither I nor any representative of the Company has violated any federal antitrust law; and

(4) Neither I nor any representative of the Company has directly or indirectly communicated any of the contents of this bid to a competitor of the Company or any other company, corporation, firm, partnership or individual engaged in the same line of business as the Company.

Company Name	Guidehouse Inc.
Address	1676 International Drive, Suite 800
City/State/Zip	Mclean, VA, 22102
Telephone Number	312-212-6188
Fax Number	
Email Address	rrao@guidehouse.com
Printed Name	Raveen Rao
Title	Partner
Authorized Signature	

Required Clauses for Federal Assistance by FTA

REQUIRED CLAUSES FOR FEDERAL ASSISTANCE PROVIDED BY FTA

ACCESS TO RECORDS AND REPORTS

Contractor agrees to:

a) Maintain all non-financial books, records, accounts and reports required under this Contract for a period of not less than two (2) years after the date of termination or expiration of this Contract or any extensions thereof except in the event of litigation or settlement of claims arising from the performance of this Contract, in which case Contractor agrees to maintain same until the FTA Administrator, the U.S. DOT Office of the Inspector General, the Comptroller General, or any of their duly authorized representatives, have disposed of all such litigation, appeals, claims or exceptions related thereto.

b) Permit any of the foregoing parties to inspect all non-financial work, materials, and other data and records that pertain to the Project, and to audit the non-financial books, records, and accounts that pertain to the Project and to reproduce by any means whatsoever or to copy excerpts and transcriptions as reasonably needed for the purpose of audit and examination. The right of access detailed in this section continues only as long as the records are retained.

FTA does not require the inclusion of these requirements of Article 1.01 in subcontracts.

CIVIL RIGHTS / TITLE VI REQUIREMENTS

1) Non-discrimination. In accordance with Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. § 2000d, Section 303 of the Age Discrimination Act of 1975, as amended, 42 U.S.C. § 6102, Section 202 of the Americans with Disabilities Act of 1990, as amended, 42 U.S.C. § 12132, and Federal Transit Law at 49 U.S.C. § 5332, Contractor or subcontractor agrees that it will not discriminate against any employee or applicant for employment because of race, color, creed, national origin, sex, marital status age, or disability. In addition, Contractor agrees to comply with applicable Federal implementing regulations and other applicable implementing requirements FTA may issue that are flowed to Contractor from Awarding Participating Agency.

2) Equal Employment Opportunity. The following Equal Employment Opportunity requirements apply to this Contract:

   a. Race, Color, Creed, National Origin, Sex. In accordance with Title VII of the Civil Rights Act, as amended, 42 U.S.C. § 2000e, and Federal Transit Law at 49 U.S.C. § 5332, the Contractor agrees to comply with all applicable Equal Employment Opportunity requirements of U.S. Dept. of Labor regulations, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor, 41 CFR, Parts 60 et seq., and with any applicable Federal statutes, executive orders, regulations, and Federal policies that may affect construction activities undertaken in the course of this Project. Contractor agrees to take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, creed, national origin, sex, marital status, or age. Such action shall include, but not be limited to, the following: employment, upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other forms of compensation; and selection for training, including apprenticeship. In addition, Contractor agrees to comply with any implementing requirements FTA may issue that are flowed to Contractor from Awarding Participating Agency.

b. Age. In accordance with the Age Discrimination in Employment Act (ADEA) of 1967, as amended, 29 U.S.C. Sections 621 through 634, and Equal Employment Opportunity Commission (EEOC) implementing regulations, "Age Discrimination in Employment Act", 29 CFR Part 1625, prohibit employment discrimination by Contractor against individuals on the basis of age, including present and prospective employees. In addition, Contractor agrees to comply with any implementing requirements FTA may issue that are flowed to Contractor from Awarding Participating Agency.

c. Disabilities. In accordance with Section 102 of the Americans with Disabilities Act of 1990, as amended (ADA), 42 U.S.C. Sections 12101 *et seq.*, prohibits discrimination against qualified individuals with disabilities in programs, activities, and services, and imposes specific requirements on public and private entities. Contractor agrees that it will comply with the requirements of the Equal Employment Opportunity Commission (EEOC), "Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act," 29 CFR, Part 1630, pertaining to employment of persons with disabilities and with their responsibilities under Titles I through V of the ADA in employment, public services, public accommodations, telecommunications, and other provisions.

d. Segregated Facilities. Contractor certifies that their company does not and will not maintain or provide for their employees any segregated facilities at any of their establishments, and that they do not and will not permit their employees to perform their services at any location under the Contractor's control where segregated facilities are maintained. As used in this certification the term "segregated facilities" means any waiting rooms, work areas, restrooms and washrooms, restaurants and other eating areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees which are segregated by explicit directive or are in fact segregated on the basis of race, color, religion or national origin because of habit, local custom, or otherwise. Contractor agrees that a breach of this certification will be a violation of this Civil Rights clause.

3) Solicitations for Subcontracts, Including Procurements of Materials and Equipment. In all solicitations, either by competitive bidding or negotiation, made by Contractor for work to be performed under a subcontract, including procurements of materials or leases of equipment, each potential subcontractor or supplier shall be notified by Contractor of Contractor's obligations under this Contract and the regulations relative to non-discrimination on the grounds of race, color, creed, sex, disability, age or national origin.

4) Sanctions of Non-Compliance. In the event of Contractor's non-compliance with the non-discrimination provisions of this Contract, Public Agency shall impose such Contract sanctions as it or the FTA may determine to be appropriate, including, but not limited to: 1) Withholding of payments to Contractor under the Contract until Contractor complies, and/or; 2) Cancellation, termination or suspension of the Contract, in whole or in part.

Contractor agrees to include the requirements of this clause in each subcontract financed in whole or in part with Federal assistance provided by FTA, modified only if necessary to identify the affected parties.

DISADVANTAGED BUSINESS PARTICIPATION

This Contract is subject to the requirements of Title 49, Code of Federal Regulations, Part 26, "*Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs*", therefore, it is the policy of the Department of Transportation (DOT) to ensure that Disadvantaged Business Enterprises (DBEs), as defined in 49 CFR Part 26, have an equal opportunity to receive and participate in the performance of DOT-assisted contracts.

1) Non-Discrimination Assurances. Contractor or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this Contract. Contractor shall carry out all applicable requirements of 49 CFR Part 26 in the award and administration of DOT-assisted contracts. Failure by Contractor to carry out these requirements is a material breach of this Contract, which may result in the termination of this Contract or other such remedy as public agency deems appropriate. Each subcontract Contractor signs with a subcontractor must include the assurance in this paragraph. (See 49 CFR 26.13(b)).

2) Prompt Payment. Contractor is required to pay each subcontractor performing Work under this prime Contract for satisfactory performance of that work no later than thirty (30) days after Contractor's receipt of payment for that Work from public agency. In addition, Contractor is required to return any retainage payments to those subcontractors within thirty (30) days after the subcontractor's work related to this Contract is satisfactorily completed and any liens have been secured. Any delay or postponement of payment from the above time frames may occur only for good cause following written approval of public agency. This clause applies to both DBE and non-DBE subcontractors. Contractor must promptly notify public agency whenever a DBE subcontractor performing Work related to this Contract is terminated or fails to complete its Work, and must make good faith efforts to engage another DBE subcontractor to perform at least the same amount of work. Contractor may not terminate any DBE subcontractor and perform that Work through its own forces, or those of an affiliate, without prior written consent of public agency.

3) DBE Program. In connection with the performance of this Contract, Contractor will cooperate with public agency in meeting its commitments and goals to ensure that DBEs shall have the maximum practicable opportunity to compete for subcontract work, regardless of whether a contract goal is set for this Contract. Contractor agrees to use good faith efforts to carry out a policy in the award of its subcontracts, agent agreements, and procurement contracts which will, to the fullest extent, utilize DBEs consistent with the efficient performance of the Contract.

ENERGY CONSERVATION REQUIREMENTS

Contractor agrees to comply with mandatory standards and policies relating to energy efficiency which are contained in the State energy conservation plans issued under the Energy Policy and Conservation Act, as amended, 42 U.S.C. Sections 6321 *et seq.* and 41 CFR Part 301-10.

FEDERAL CHANGES

Contractor shall at all times comply with all applicable FTA regulations, policies, procedures and directives, listed directly or by reference in the Contract between Public Agency and the FTA, and those applicable regulatory and procedural updates that are communicated to Contractor by Public Agency, as they may be amended or promulgated from time to time during the term of this contract. Contractor's failure to so comply shall constitute a material breach of this Contract.

INCORPORATION OF FEDERAL TRANSIT ADMINISTRATION (FTA) TERMS

The provisions include, in part, certain Standard Terms and Conditions required by the U.S. Department of Transportation (DOT), whether or not expressly set forth in the preceding Contract provisions. All contractual provisions required by the DOT and applicable to the scope of a particular Contract awarded to Contractor by a Public Agency as a result of solicitation, as set forth in the most current FTA Circular 4220.1F, published February 8th, 2016, are hereby incorporated by reference. Anything to the contrary herein notwithstanding, all FTA mandated terms shall be deemed to control in the event of a conflict with other provisions contained in this Contract. Contractor agrees not to knowingly perform any act, knowingly fail to perform any act, or refuse to comply with any reasonable public agency requests that would directly cause public agency to be in violation of the FTA terms and conditions.

NO FEDERAL GOVERNMENT OBLIGATIONS TO THIRD PARTIES

Agency and Contractor acknowledge and agree that, absent the Federal Government's express written consent and notwithstanding any concurrence by the Federal Government in or approval of the solicitation or award of the underlying Contract, the Federal Government is not a party to this Contract and shall not be subject to any obligations or liabilities to agency, Contractor, or any other party (whether or not a party to that contract) pertaining to any matter resulting from the underlying Contract.
Contractor agrees to include the above clause in each subcontract financed in whole or in part with federal assistance provided by the FTA. It is further agreed that the clause shall not be modified, except to identify the subcontractor who will be subject to its provisions.

PROGRAM FRAUD AND FALSE OR FRAUDULENT STATEMENTS

Contractor acknowledges that the provisions of the Program Fraud Civil Remedies Act of 1986, as amended, 31 U.S.C. §§ 3801 et seq. and U.S. DOT regulations, "Program Fraud Civil Remedies," 49 CFR Part 31, apply to its actions pertaining to this Contract. Upon execution of the underlying Contract, Contractor certifies or affirms, to the best of its knowledge, the truthfulness and accuracy of any statement it has made, it makes, it may make, or causes to me made, pertaining to the underlying Contract or the FTA assisted project for which this Contract Work is being performed.

In addition to other penalties that may be applicable, Contractor further acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification, the Federal Government reserves the right to impose the penalties of the Program Fraud Civil Remedies Act of 1986 on Contractor to the extent the Federal Govemment deems appropriate.

Contractor also acknowledges that if it makes, or causes to me made, a false, fictitious, or fraudulent claim, statement, submission, or certification to the Federal Government under a contract connected with a project that is financed in whole or in part with Federal assistance originally awarded by FTA under the authority of 49 U.S.C. § 5307, the Government reserves the right to impose the penalties of 18 U.S.C. § 1001 and 49 U.S.C. § 5307 (n)(1) on the Contractor, to the extent the Federal Government deems appropriate.

Contractor agrees to include the above clauses in each subcontract financed in whole or in part with Federal assistance provided by FTA. It is further agreed that the clauses shall not be modified, except to identify the subcontractor who will be subject to the provisions.

State Notice Addendum

STATE NOTICE ADDENDUM

The National Cooperative Purchasing Alliance (NCPA), on behalf of NCPA and its current and potential participants to include all county, city, special district, local government, school district, private K-12 school, higher education institution, state, tribal government, other government agency, healthcare organization, nonprofit organization and all other Public Agencies located nationally in all fifty states, issues this Request for Proposal (RFP) to result in a national contract.

For your reference, the links below include some, but not all, of the entities included in this proposal:

http://www.usa.gov/Agencies/State_and_Territories.shtml

https://www.usa.gov/local-governments

Reservation of Rights

Submission of this proposal is not an indication of Guidehouse's willingness to be bound by all of the terms presented in the National Cooperative Purchasing Alliance (the "NCPA") Request for Proposal for Strategic Management Consulting Services (the "RFP"). This proposal in response to NCPA's RFP does not constitute a contract to perform services and cannot be used to award a unilateral agreement. Final acceptance of this engagement by Guidehouse is contingent upon successful completion of Guidehouse's acceptance procedures. Any engagement arising out of this proposal will be subject to negotiation of a mutually satisfactory vendor contract including modifications to certain RFP terms and conditions and including our standard terms and conditions and fees and billing rates established therein.

Given our past history of successfully negotiating mutually agreeable terms with NCPA, we do not anticipate any difficulty in reaching a contractual agreement that will enable us to provide the professional services which you are requesting, while protecting the interests of both parties.

Guidehouse respectfully requests the Client consider modifying the following terms and conditions in any resultant contract:

TAB 1 – MASTER AGREEMENT GENERAL TERMS AND CONDITIONS

Indemnity and Limitation of Liability

The awarded vendor shall ~~protect,~~ indemnify~~, and hold harmless~~ Region 14 ESC and its participants, administrators, employees and agents against all third-party claims, damages, losses and expenses for (a) death or bodily injury, (b) damage to real or tangible property, or (c) United States intellectual property right infringement, directly arising out of ~~or resulting from~~ the grossly negligent actions or willful omissions of the vendor, vendor employees or vendor subcontractors in the preparation of the solicitation and the later execution of the contract.

Notwithstanding any term herein, and except to the extent finally determined to be prohibited by law, the awarded vendor's aggregate liability for all claims, losses, liabilities, or damages in connection with this agreement or its subject matter, whether as a result of breach of contract, tort (including negligence), or otherwise, regardless of the theory of liability asserted, is limited to no more than the total amount of fees paid to awarded vendor for the particular service giving rise to the liability under the applicable purchase order or task order. In addition, awarded vendor will not be liable for any lost profits, consequential, indirect, punitive, exemplary, or special damages. Also, awarded vendor shall have no liability arising from or relating to any third-party hardware, software, information, or materials selected or supplied by the Public Agency.

Guidehouse respectfully requests the Client consider adding the following terms and conditions in any resultant contract:

Intellectual Property and Guidehouse Deliverables: Upon full payment of all amounts due Guidehouse in connection with this Agreement, all rights, title and interest in any information and items, including summaries, documents, reports and portions thereof it provides to Public Agency (the "Guidehouse Deliverables") will become Public Agency's sole and exclusive property for use in connection with the professional services set forth in this Agreement, subject to the exceptions set forth below. Guidehouse shall retain sole and exclusive ownership of all rights, title and interest in its work papers, proprietary information, processes, methodologies, know-how and software, including such information as existed prior to the delivery of the Services and, to the extent such information is of general application, anything that it may discover, create, or develop during provision of the Services ("Guidehouse Property"). To the extent the Guidehouse Deliverables contain Guidehouse Property; Public Agency is granted a non-exclusive, non-assignable, royalty-free license to use it in connection with the subject of this Agreement. Without the prior written consent of Guidehouse, in no event shall Guidehouse's name be mentioned nor shall Guidehouse Deliverables be disclosed, referenced, used in connection with any offering documents or shared with any third party, except (a) as required by law; (b) as required by any government or regulatory agency with supervisory authority over Public Agency; and (c) Public Agency's legal advisors and auditors. It is strictly prohibited for the Guidehouse Deliverables to be disclosed, referenced, filed, or distributed in connection with the purchase or sale of securities, and in connection with any financing or business transaction.