

**AGREEMENT BETWEEN THE COUNTY OF SAN MATEO AND
GARTNER, INC.**

THIS AGREEMENT, entered into this _____ day of _____ ,
20____, by and between the COUNTY OF SAN MATEO, hereinafter called
“County,” and Gartner, Inc., hereinafter called “Contractor”;

W I T N E S S E T H:

WHEREAS, pursuant to Government Code Section 31000, County may contract with independent contractors for the furnishing of such services to or for County or any Department thereof;

WHEREAS, it is necessary and desirable that Contractor be retained for the purpose of providing consulting services for a new Assessment and Property Tax System (ATS).

**NOW, THEREFORE, IT IS HEREBY AGREED BY THE PARTIES HERETO AS
FOLLOWS:**

1. Exhibits and Attachments

The following exhibits and attachments are attached to this Agreement and incorporated into this Agreement by this reference:

Exhibit A—Services

Exhibit B—Payments and Rates

2. Services to be performed by Contractor

In consideration of the payments set forth herein and in Exhibit B, Contractor shall perform services for County in accordance with the terms, conditions, and specifications set forth herein and in Exhibit A.

3. Payments

In consideration of the services provided by Contractor in accordance with all terms, conditions, and specifications set forth herein and in Exhibit A, County shall make payment to Contractor based on the rates and in the manner specified in Exhibit B. County reserves the right to withhold payment if County determines that the quantity or quality of the work performed is unacceptable. In no event shall County's total fiscal obligation under this Agreement exceed One Million Two Hundred Seventy Eight Thousand Fifty Dollars. (\$1,278,050).

4. Term and Termination

Subject to compliance with all terms and conditions, the term of this Agreement shall be from August 11, 2014 through December 31, 2015.

This Agreement may be terminated by Contractor, the County's Chief Information Officer or his/her designee at any time without a requirement of good cause upon thirty (30) days' written notice to the Contractor.

In the event of termination, all finished or unfinished documents, data, studies, maps, photographs, reports, and materials (hereafter referred to as materials) prepared by Contractor under this Agreement which the County has paid for shall become the property of County and shall be promptly delivered to County. Upon termination, Contractor may make and retain a copy of such materials. Such payment shall be that portion of the full payment which is determined by comparing the work/services completed to the work/services required by the Agreement.

5. Availability of Funds

County may terminate this Agreement or a portion of the services referenced in the Attachments and Exhibits based upon unavailability of Federal, State, or County funds by providing written notice to Contractor as soon as is reasonably possible after County learns of said unavailability of funding.

6. Relationship of Parties

Contractor agrees and understands that the work/services performed under this Agreement are performed as an independent Contractor and not as an employee of County and that neither Contractor nor its employees acquire any of the rights, privileges, powers, or advantages of County employees.

7. Hold Harmless

7.1 General Hold Harmless. Contractor agrees to indemnify, defend and hold harmless County, its officers, agents, employees, and servants from and against any third party claims, demands or lawsuits relating to the bodily injury or death of any person or damage to property of any kind directly caused by negligence or willful misconduct to the Contractor, its personnel, or agents during the course of this provision of Services under this Agreement (However, Contractor's duty to indemnify and save harmless under this Section shall not apply to injuries or damage for which County has been found in a court of competent jurisdiction to be solely liable by reason of its own negligence or willful misconduct.

The duty of Contractor to indemnify and save harmless as set forth by this Section shall include the duty to defend as set forth in Section 2778 of the California Civil Code.

7.2 Intellectual Property Indemnification.

Contractor warrants that the Deliverables, in the form provided to the County, do not infringe any copyright, trademark, trade secret or other right of any third party.

Contractor shall upon notification of a claim against County alleging any Contract Deliverable infringes a copyright, US patent or trade secret of any third party, Contractor will defend such claim at its expense and will pay all liabilities, costs, damages, losses, and expenses (including reasonable attorney fees) that may be finally awarded against County. Contractor's duty to defend, indemnify, and hold harmless under this Section applies only provided that: (a) County notifies Contractor promptly in writing of any notice of any such third-party claim; (b) County cooperates with Contractor, at Contractor's expense, in all reasonable respects in connection with the investigation and defense of any such third-party claim; (c) Contractor retains sole control of the defense of any action on any such claim and all negotiations for its settlement or compromise (provided Contractor shall not have the right to settle any criminal action, suit, or proceeding without County's prior written consent, not to

be unreasonably withheld, and provided further that any settlement permitted under this Section shall not impose any financial or other obligation on County, impair any right of County, or contain any stipulation, admission, or acknowledgement of wrongdoing on the part of County without County's prior written consent, not to be unreasonably withheld); and (d) should services under this Agreement become, or in Contractor's opinion be likely to become, the subject of such a claim, or in the event such a third party claim or threatened claim causes County's reasonable use of the services under this Agreement to be seriously endangered or disrupted, Contractor shall, at Contractor's option and expense, either: (i) procure for County the right to continue using the services without infringement or (ii) replace or modify the services so that they become non infringing but remain functionally equivalent (iii) or direct the return of the Deliverable and refund to County the fees paid for such Deliverable.

Notwithstanding anything in this Section to the contrary, Contractor will have no obligation or liability to County under this Section to the extent any otherwise covered claim is based upon: (a) any aspects of the services under this Agreement which have been modified by or for County (other than modification performed by, or at the direction of, Contractor) in such a way as to cause the alleged infringement at issue; (b) any aspects of the services under this Agreement which have been used by County in a manner prohibited by this Agreement.

The duty of Contractor to indemnify and save harmless as set forth by this Section shall include the duty to defend as set forth in Section 2778 of the California Civil Code.

8. Assignability and Subcontracting

Contractor shall not assign this Agreement or any portion thereof to a third party or subcontract with a third party to provide services required by Contractor under this Agreement without the prior written consent of County. Any such assignment or subcontract without County's prior written consent shall give County the right to automatically and immediately terminate this Agreement.

9. Insurance

Contractor shall not commence work or be required to commence work under this Agreement unless and until all insurance required under this Section has been obtained and such insurance has been approved by County's Risk Management, and Contractor shall use diligence to obtain such insurance and to obtain such approval. Contractor shall furnish County with certificates of insurance evidencing the required coverage, and there shall be a specific contractual liability endorsement extending Contractor's coverage to include the contractual liability assumed by Contractor pursuant to this Agreement. Contractor shall employ commercially reasonable efforts to advise County within thirty (30) days of any cancellation or determination to effect a material change in the insurance coverage's listed herein and/or maintained by Contractor in support of this agreement.

- (1) **Workers' Compensation and Employer's Liability Insurance.** Contractor shall have in effect during the entire term of this Agreement workers' compensation and employer's liability insurance providing full statutory coverage. In signing this Agreement, Contractor certifies, as required by Section 1861 of the California Labor Code, (a) that it is aware of the provisions of Section 3700 of the California Labor Code, which require every employer to be insured against liability for workers' compensation or to undertake self-insurance in accordance with the provisions of the Labor Code, and (b) that it will comply with such provisions before commencing the performance of work under this Agreement.
- (2) **Liability Insurance.** Contractor shall take out and maintain during the term of this

Agreement such bodily injury liability and property damage liability insurance as shall protect Contractor and all of its employees/officers/agents while performing work covered by this Agreement from any and all claims for damages for bodily injury, including accidental death, as well as any and all claims for property damage which may arise from Contractor's operations under this Agreement, whether such operations be by Contractor, any subcontractor, anyone directly or indirectly employed by either of them, or by an agent of either of them. Such insurance shall be combined single limit bodily injury and property damage for each occurrence and shall not be less than the amount specified below.

Such insurance shall include:

- | | | |
|-----|---|-------------|
| (a) | Comprehensive General Liability | \$1,000,000 |
| (b) | Motor Vehicle Liability Insurance | \$1,000,000 |
| (c) | Professional Liability. | \$1,000,000 |

County and its officers, agents, employees, and servants shall be named as additional insured on any such policies of insurance, which shall also contain a provision that (a) the insurance afforded thereby to County and its officers, agents, employees, and servants shall be primary insurance to the full limits of liability listed herein and (b) if the County or its officers, agents, employees, and servants have other insurance against the loss covered by such a policy, such other insurance shall be excess insurance only.

In the event of the breach of any provision of this Section, or in the event any notice is received which indicates any required insurance coverage will be diminished or canceled, County, at its option, may, notwithstanding any other provision of this Agreement to the contrary, immediately declare a material breach of this Agreement and suspend all further work and payment pursuant to this Agreement.

10. Compliance With Laws

All services to be performed by Contractor pursuant to this Agreement shall be performed in accordance with all applicable Federal, State, County, and municipal laws, ordinances, and regulations, including but not limited to the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and the Federal Regulations promulgated thereunder, as amended (if applicable), the Business Associate requirements set forth in Attachment H (if attached), the Americans with Disabilities Act of 1990, as amended, and Section 504 of the Rehabilitation Act of 1973, which prohibits discrimination on the basis of handicap in programs and activities receiving any Federal or County financial assistance. Such services shall also be performed in accordance with all applicable ordinances and regulations, including but not limited to appropriate licensure, certification regulations, provisions pertaining to confidentiality of records, and applicable quality assurance regulations. In the event of a conflict between the terms of this Agreement and any applicable State, Federal, County, or municipal law or regulation, the requirements of the applicable law or regulation will take precedence over the requirements set forth in this Agreement.

Further, Contractor certifies that Contractor and all of its subcontractors will adhere to all applicable provisions of Chapter 4.106 of the San Mateo County Ordinance Code, which regulates the use of disposable food service ware.

Contractor will timely and accurately complete, sign, and submit all necessary documentation of compliance.

11. Non-Discrimination and Other Requirements

- A. *General non-discrimination.* No person shall be denied any services provided pursuant to this Agreement (except as limited by the scope of services) on the grounds of race, color, national origin, ancestry, age, disability (physical or mental), sex, sexual orientation, gender identity, marital or domestic partner status, religion, political beliefs or affiliation, familial or parental status (including pregnancy), medical condition (cancer-related), military service, or genetic information.
- B. *Equal employment opportunity.* Contractor shall ensure equal employment opportunity based on objective standards of recruitment, classification, selection, promotion, compensation, performance evaluation, and management relations for all employees under this Agreement. Contractor's equal employment policies shall be made available to County upon request.
- C. *Section 504 of the Rehabilitation Act of 1973.* Contractor shall comply with Section 504 of the Rehabilitation Act of 1973, as amended, which provides that no otherwise qualified handicapped individual shall, solely by reason of a disability, be excluded from the participation in, be denied the benefits of, or be subjected to discrimination in the performance of this Agreement. This Section applies only to contractors who are providing services to members of the public under this Agreement.
- D. *Compliance with County's Equal Benefits Ordinance.* With respect to the provision of benefits to its employees, Contractor shall comply with Chapter 2.84 of the County Ordinance Code, which prohibits contractors from discriminating in the provision of employee benefits between an employee with a domestic partner and an employee with a spouse. In order to meet the requirements of Chapter 2.84, Contractor must certify which of the following statements is/are accurate:
- ☐ Contractor complies with Chapter 2.84 by:
 - ☒ offering the same benefits to its employees with spouses and its employees with domestic partners.
 - ☐ offering, in the case where the same benefits are not offered to its employees with spouses and its employees with domestic partners, a cash payment to an employee with a domestic partner that is equal to Contractor's cost of providing the benefit to an employee with a spouse.
 - ☐ Contractor is exempt from having to comply with Chapter 2.84 because it has no employees or does not provide benefits to employees' spouses.
 - ☐ Contractor does not comply with Chapter 2.84, and a waiver must be sought.
- E. *Discrimination Against Individuals with Disabilities.* The Contractor shall comply fully with the nondiscrimination requirements of 41 C.F.R. 60-741.5(a), which is incorporated herein as if fully set forth.
- F. *History of Discrimination.* Contractor must check one of the two following options, and by executing this Agreement, Contractor certifies that the option selected is accurate:
- ☒ No finding of discrimination has been issued in the past 365 days against Contractor by the Equal Employment Opportunity Commission, Fair Employment and Housing Commission, or any other investigative entity.

- ☐ Finding(s) of discrimination have been issued against Contractor within the past 365 days by the Equal Employment Opportunity Commission, Fair Employment and Housing Commission, or other investigative entity. If this box is checked, Contractor shall provide County with a written explanation of the outcome(s) or remedy for the discrimination.

G. *Violation of Non-discrimination provisions.* Violation of the non-discrimination provisions of this Agreement shall be considered a breach of this Agreement and subject the Contractor to penalties, to be determined by the County Manager, including but not limited to the following:

- i) termination of this Agreement;
- ii) disqualification of the Contractor from bidding on or being awarded a County contract for a period of up to 3 years;
- iii) liquidated damages of \$2,500 per violation; and/or
- iv) imposition of other appropriate contractual and civil remedies and sanctions, as determined by the County Manager.

To effectuate the provisions of this Section, the County Manager shall have the authority to examine Contractor's employment records with respect to compliance with this Section and/or to set off all or any portion of the amount described in this Section against amounts due to Contractor under this Agreement or any other agreement between Contractor and County.

Contractor shall report to the County Manager the filing by any person in any court of any complaint of discrimination or the filing by any person of any and all charges with the Equal Employment Opportunity Commission, the Fair Employment and Housing Commission, or any other entity charged with the investigation of allegations within 30 days of such filing, provided that within such 30 days such entity has not notified Contractor that such charges are dismissed or otherwise unfounded. Such notification shall include the name of the complainant, a copy of such complaint, and a description of the circumstance. Contractor shall provide County with a copy of their response to the Complaint when filed.

12. Compliance with County Employee Jury Service Ordinance

Contractor shall comply with Chapter 2.85 of the County's Ordinance Code, which states that a contractor shall have and adhere to a written policy providing that its employees, to the extent they live in San Mateo County, shall receive from the Contractor, on an annual basis, no fewer than five days of regular pay for jury service in San Mateo County, with jury pay being provided only for each day of actual jury service. The policy may provide that such employees deposit any fees received for such jury service with Contractor or that the Contractor may deduct from an employee's regular pay the fees received for jury service in San Mateo County. By signing this Agreement, Contractor certifies that it has and adheres to a policy consistent with Chapter 2.85. For purposes of this Section, if Contractor has no employees in San Mateo County, it is sufficient for Contractor to provide the following written statement to County: "For purposes of San Mateo County's jury service ordinance, Contractor certifies that it has no employees who live in San Mateo County. To the extent that it hires any such employees during the term of its Agreement with San Mateo County, Contractor shall adopt a policy that complies with Chapter 2.85 of the County's Ordinance Code."

13. Retention of Records, Right to Monitor and Audit

(a) Contractor shall maintain all required records for three (3) years after County makes final payment and all other pending matters are closed, and Contractor shall be subject to the examination and/or audit of County, a Federal grantor agency, and the State of California.

(b) Reporting and Record Keeping: Contractor shall comply with all program and fiscal reporting requirements set forth by appropriate Federal, State, and local agencies, and as required by County.

(c) Contractor agrees upon reasonable notice to provide to County, to any Federal or State department having monitoring or review authority, to County's authorized representatives, and/or to any of their respective audit agencies access to and the right to examine all records and documents necessary to determine compliance with relevant Federal, State, and local statutes, rules, and regulations, to determine compliance with this Agreement, and to evaluate the quality, appropriateness, and timeliness of services performed.

14. Merger Clause & Amendments

This Agreement, including the Exhibits and Attachments attached to this Agreement and incorporated herein by reference, constitutes the sole Agreement of the parties to this Agreement and correctly states the rights, duties, and obligations of each party as of this document's date. In the event that any term, condition, provision, requirement, or specification set forth in the body of this Agreement conflicts with or is inconsistent with any term, condition, provision, requirement, or specification in any Exhibit and/or Attachment to this Agreement, the provisions of the body of the Agreement shall prevail. Any prior agreement, promises, negotiations, or representations between the parties not expressly stated in this document are not binding. All subsequent modifications or amendments shall be in writing and signed by the parties.

15. Controlling Law and Venue

The validity of this Agreement and of its terms or provisions, the rights and duties of the parties under this Agreement, the interpretation of this Agreement, the performance of this Agreement, and any other dispute of any nature arising out of this Agreement shall be governed by the laws of the State of California without regard to its choice of law rules

16. Limitation of Liability

Neither party shall be liable for any consequential, indirect, special or incidental damages, such as damages for lost profits, business failure or loss arising out of use of the Deliverables or the Services, whether or not advised of the possibility of such damages. Except for liability for personal injury or death or for damage to property caused by the negligence or willful misconduct of Contractor or its employees, Contractor's total liability arising out of this Agreement and the provision of the Services shall be limited to the fee paid by County under the Statement of Work under which such liability arises.

17. Owner of Deliverables

(a) All reports, studies, information, data, statistics, forms, designs, plans, procedures, systems, and any other materials produced under this Contract, whether in printed or "electronic" format, shall be the sole and exclusive property of County. No such materials or properties produced in whole or in part under this Contract shall be subject to private use, copyright or patent right without the express prior written consent of County. Consultant shall submit reports to County in the form specified by County's Contract Representative or as may be specified elsewhere in this Contract. Notwithstanding such requirements set forth by the County and subject to payment in full of the fees specified in this Agreement, Consultant assigns to the County the

copyright in and to the project deliverables, provided, however, that Consultant retains the right to use, reproduce, display, and distribute excerpts and data from the deliverables, either alone or together with other material, in the County by name or contain any of the County's confidential or proprietary information, and provided further that Consultant retains all right, title and interest in and to its processes, such as Strategic Planning, Consultants copyrighted proprietary research and other pre-existing materials and data, such as Data Collection Templates and Survey Tools for Applications and Infrastructure, and benchmark comparisons.

(b) Contractor grants to County a perpetual, non-exclusive, royalty-free license to use and to disclose during the course of its internal business operations any Consultant Materials embodied in a Deliverable.

18. Warranty

THE SERVICES ARE PROVIDED ON AN "AS IS" BASIS, AND CONTRACTOR EXPRESSLY DISCLAIMS ALL WARRANTIES, EXPRESS OR IMPLIED, STATUTORY OR OTHERWISE, INCLUDING, WITHOUT LIMITATION, ANY IMPLIED WARRANTIES OF FITNESS FOR A PARTICULAR PURPOSE OR AS TO ACCURACY, COMPLETENESS OR ADEQUACY OF INFORMATION. COUNTY RECOGNIZES THE UNCERTAINTIES INHERENT IN ANY ANALYSIS OR INFORMATION THAT MAY BE PROVIDED AS PART OF THE SERVICES, AND ACKNOWLEDGES THAT THE SERVICES ARE NOT A SUBSTITUTE FOR ITS OWN INDEPENDENT EVALUATION AND ANALYSIS AND SHOULD NOT BE CONSIDERED A RECOMMENDATION TO PURSUE ANY COURSE OF ACTION. CONTRACTOR SHALL NOT BE LIABLE FOR ANY ACTIONS OR DECISIONS THAT COUNTY MAY TAKE BASED ON THE SERVICES OR ANY INFORMATION OR DATA CONTAINED THEREIN. COUNTY UNDERSTANDS THAT IT ASSUMES THE ENTIRE RISK WITH RESPECT TO THE USE OF THE SERVICES.

19. No Third Party Beneficiaries

This Agreement is for the benefit of the parties only. None of the provisions of this Agreement are for the benefit of, or enforceable by, any third party. It is the intention of Contractor and County that no third party shall have the right to impose liability on Contractor as a result of the consulting services or any Deliverables furnished by Contractor to County.

20. Confidential Information

(a) The parties agree to keep confidential and not to use or disclose to any third parties any non-public business information of the other party learned or disclosed in connection with this agreement, including the Consultant Materials. The obligation of the parties with respect to the Confidential Information shall terminate with respect to any particular portion of the Confidential Information if and when: (i) it is in the public domain at the time of its communication; (ii) it is developed independently by the receiving party without use of any confidential information; (iii) it enters the public domain through no fault of the receiving party subsequent to the time of the disclosing party's communication to the receiving party; (iv) it is in the receiving party's possession free of any obligation of confidence at the time of the disclosing party's communication; (v) it is communicated by the disclosing party to a third party free of any obligation of confidence; or (vi) the receiving party has the disclosing party's written permission. If the Disclosing Party takes no action to protect against disclosure within a reasonable time period, or, Disclosing Party's request for a protective order is denied, the Receiving Party's disclosure of the protected information will not be considered a breach of this Agreement.

(b) Each party shall provide notice to the other of any demand made upon it under lawful process to disclose or provide any of the other party's confidential information. The receiving party agrees to cooperate with the disclosing party, at the disclosing party's expense, if the disclosing party elects to seek reasonable protective arrangements or oppose such disclosure. Any confidential information disclosed pursuant to such lawful process shall continue to be confidential information.

(c) To be subject to this paragraph, any confidential material must be marked "Confidential" by placing a stamp designating it confidential on the top right hand corner of the page. If a document consists of multiple pages, the designation on the first page shall be sufficient to designate the entire document confidential and no party may disclose any portion of that document. However, if there are exhibits to the document, the exhibits must separately be marked confidential in order to be subject to this paragraph. Any documents mentioned, or incorporated by reference in the document designated confidential shall not be considered confidential unless separately designated confidential under this paragraph.

21. Acceptance

Absent specific language in an individual SOW, all Deliverables provided by Contractor to County shall be deemed to be accepted within thirty (30) days of receipt by County unless Contractor receives written notice of non-acceptance within thirty (30) days after delivery. Any notice of non-acceptance by County must contain in reasonable detail how the Deliverables did not conform to the applicable Statement of Work. Upon receipt of notice, Contractor shall use commercially reasonable business efforts to correct any deficiencies in the Deliverables so that they materially conform to the Statement of Work.

22. Notices

Any notice, request, demand, or other communication required or permitted under this Agreement shall be deemed to be properly given when both: (1) transmitted via facsimile to the telephone number listed below or transmitted via email to the email address listed below; and (2) sent to the physical address listed below by either being deposited in the United States mail, postage prepaid, or deposited for overnight delivery, charges prepaid, with an established overnight courier that provides a tracking number showing confirmation of receipt.

In the case of County, to:

Name/Title: Jon Walton, CIO/Director Information Services
Address 455 County Center, 3rd Floor
Redwood City, CA 94063
Telephone: 650-363-4548
Facsimile: 650-363-7800
Email: jwalton@smcgov.org

In the case of Contractor, to:

Name/Title: Philip A. Cummings/Sr. Director,
Government Contracts
Address: 4501 North Fairfax Drive, 8th
Arlington, VA 22203
Telephone: 703-387-5619
Facsimile: 800-446-3597

23. Electronic Signature

If both County and Contractor wish to permit this Agreement and future documents relating to this Agreement to be digitally signed in accordance with California law and County's Electronic Signature Administrative Memo, both boxes below must be checked. Any party that agrees to allow digital signature of this Agreement may revoke such agreement at any time in relation to all future documents by providing notice pursuant to this Agreement.

For County: ☐ If this box is checked by County, County consents to the use of electronic signatures in relation to this Agreement.

For Contractor: ☐ If this box is checked by Contractor, Contractor consents to the use of electronic signatures in relation to this Agreement.

IN WITNESS WHEREOF, the parties hereto, by their duly authorized representatives, have affixed their hands.

COUNTY OF SAN MATEO

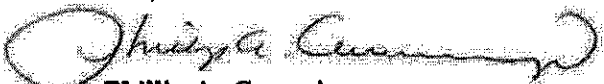
By: _____
President, Board of Supervisors, San Mateo County

Date: _____

ATTEST:

By: _____
Clerk of Said Board

Gartner, Inc.



Phillip A. Cummings
Director, Government Contracts

Contractor's Signature

Date: 25 July 2014

(Revised 7/1/13)

Exhibit A

In consideration of the payments set forth in Exhibit B, Contractor shall provide the following services:

1.0 Background and Project Objectives

1.1 Overall Purpose of this Project

Contractor will provide the County of San Mateo (the County) with objective and comprehensive expert advisory services to help the County to develop or acquire a new Property Assessment and Tax System.

The Contractor's internal tracking number for this engagement is 330016700.

1.2 Project Objectives

In the furtherance of the overall purpose of the project, Contractor and the County have agreed upon the following more detailed objectives to be achieved for each phase of the Project.

Phases 1-4 Objectives

- Understand and document the "As-Is" business processes.
- Define and document the specific business problems, opportunities and gaps to be solved by the new system and ensure all stakeholders agree.
- Define and document the "To-Be" business processes and requirements.
- Define and document the functional Use Cases and associated functional and non-functional requirements for the future state system
- Document the future state recommended solution architecture, high level business rules and high level data architecture
- Perform a market analysis to determine the various system options currently available for the County Assessor, Controller and Tax Collector.
- Document the strategy and roadmap for the various options currently available to the County. Each systems solution should include the rationale, expected costs and benefits, risks, and high-level implementation roadmap.

Phases 5 and 6 Objectives (Optional - at the County's sole discretion)

- Develop and issue the Request for Proposal for a new assessment and property tax system.
- Support the County during the execution of the RFP evaluation and selection process

1.3 Project Background

The County currently operates its property assessment and property tax systems from an IBM i-Series (AS/400) mini-computer platform. The Billing System and Apportionment functions utilize custom software, which is maintained by a combination

of in-house and contract resources. The Assessment function is supported by a customized version of the Easy Access, Inc. software package. A separately customized version of this software is used by the Assessor's office in San Francisco. San Francisco and San Mateo appear to be the only remaining licensees of this software. In addition, many functions are performed outside of the formal systems using a combination of ad-hoc and informal systems (spreadsheets, databases, ancillary software packages & etc.) or using manual procedures. Most of the software is based on programming languages and technologies that are more than 25 years old. Because of its age, complexity and obsolescence, the County has found it increasingly difficult to maintain these systems much less add additional functionality.

Contractor understands that although Property Assessment, Tax Collection and Apportionment are common functions performed by more than 3,100 counties across the U.S. each year, Proposition 13 and other related laws and practices mean that generic property assessment and tax software will not be suitable for use by California counties without significant modifications. Recent experience has shown that adapting software built based on out of state requirements for use in California is not a trivial exercise.

Over the past decade, the track record of California counties attempting to replace legacy assessment and tax systems has been mixed. For example, Santa Cruz and Orange Counties have successfully implemented new systems. Santa Cruz implemented a packaged solution while Orange County developed a custom system with the assistance of two system integrators.

Santa Clara, Riverside and San Diego Counties are attempting to implement new solutions but have run into difficulties. After its acquisition by Harris Corp, True Automation canceled its contract to deliver a new Assessment system to Santa Clara. Santa Clara is now trying to re-platform their legacy system to a Linux platform. Marin County performed a similar re-platform exercise several years ago. Riverside and San Diego Counties have contracted with Thompson-Reuters (formerly Manatron) to deliver an integrated Assessment and Tax System. Delivery of functional software has been delayed for several years due to vendor development challenges and other issues.

Sacramento is in the sixth year of a custom Assessment solution development effort and is looking to acquire a package based Tax Collection and Apportionment solution. San Francisco County is in a similar situation as San Mateo as a user of Easy Access, Inc. (EAI) systems. They are also exploring system replacement options.

Over the same period of time, there has been a significant amount of merger and acquisition activity, which has drastically changed the property tax and assessment vendor landscape. Generally this has been a positive trend, resulting in a smaller number of larger and more capable vendors. However, there currently is not a large pool of qualified vendors in the California market who have systems that comply with the California Post Prop 13 assessment and taxing regime.

In working on a number of property assessment and tax system replacement projects (both in California and elsewhere), Contractor has identified the following key success factors.

- Understanding and documenting a comprehensive set of functional and technical requirements and incorporating these requirements in a binding manner into any software or development contract is critical to holding vendors accountable for delivery of a functioning system.
- Engaging with integrators/software vendors who understand and have a track record operating in the post Prop 13 environment is also critical. Post Prop 13 software functionality validation, reference checks and due diligence activities are critical to mitigating the risk of vendor selection.
- Data cleansing/conversion has proven to be a significant effort that has typically been underestimated by both Vendors and County Assessor/Tax Offices. Data Conversion planning and cleansing activities should start soon after a solution is selected. While the vendor can provide technical assistance with data conversion. Planning the conversion and cleansing the data is an activity that must be led by County subject matter experts.
- Strictly internal development efforts have not been very successful. The complexity of the business rules, interfaces and data conversion challenges make these projects complicated. Engagement of a system integrator with large-scale system development experience and assessment and property tax experience is required for on-time, quality delivery.
- Attempts to develop an integrated solution across different functional areas (Assessor, Recorder, Tax Collector, Controller/Auditor etc.) while attractive from a business benefits perspective has thus far proved to be an elusive goal for large California Counties, though San Diego and Riverside may be only a couple of years away from achieving such a solution through Thompson-Reuters.

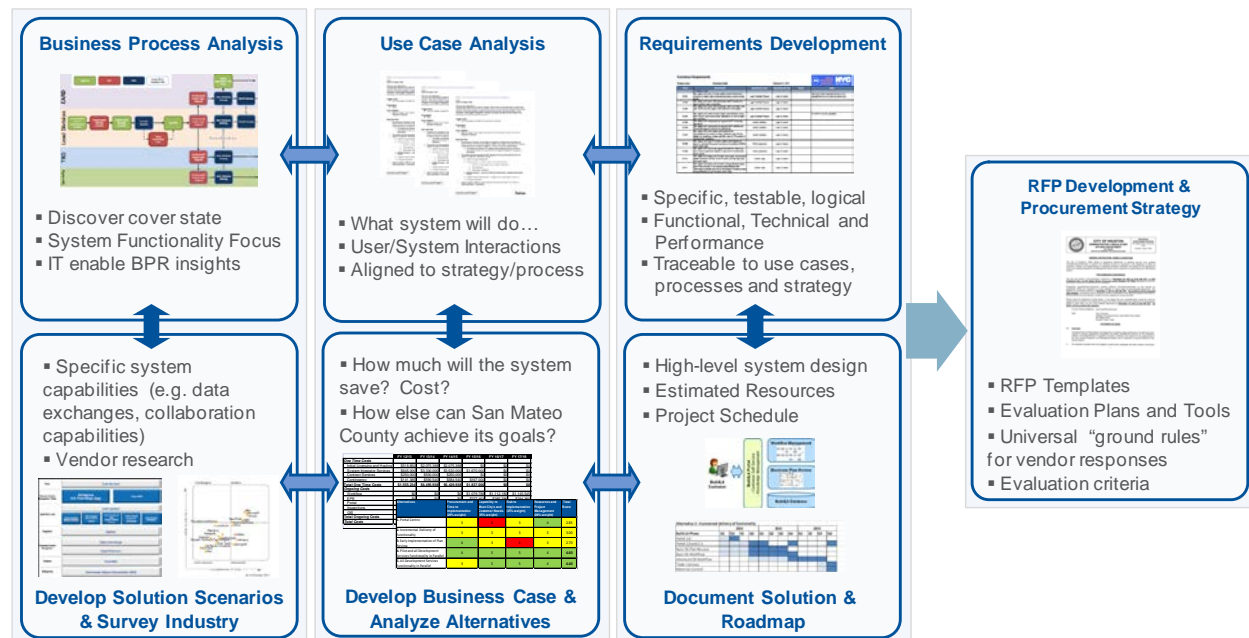
Contractor's approach takes into consideration these factors and overall context described above to enable the County to define future state requirements in an integrated manner and then make a strategic decision as to how to proceed with system development or acquisition.

2.0 Contractor's Approach and Methodology

2.1 Contractor's Approach to Requirements Development

Contractor believes that the best approach to gathering requirements and, ultimately, procuring and implementing a solution is adopting an end-to-end process perspective. Contractor commonly employs an end-to-end process decomposition approach that drills down into all the in-scope supporting activities to identify requirements that a software solution must support. This approach ensures that all critical business processes are properly assessed from a functional standpoint, and also provides a logical way to initially group like requirements to assist downstream sourcing activities. The figure below illustrates Contractor's end-to-end approach for needs assessments, requirements gathering, and RFP development:

Figure 1. Contractor Integrated, End-to-End Process Perspective



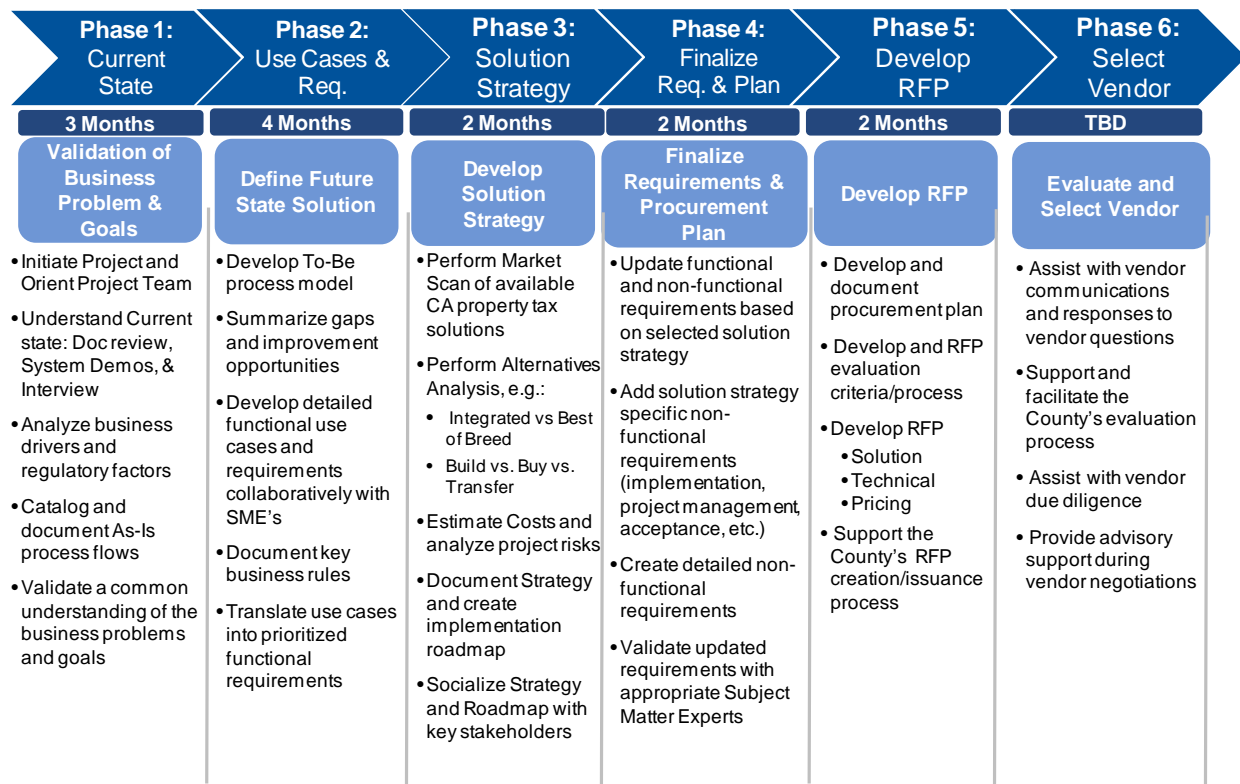
Through our experience using this approach, Contractor has found that a critical factor in achieving broad consensus and stakeholder approval is an integrated approach that demonstrates logical continuity and linkages between the current environment baseline, business problems, improvement opportunities, the functional requirements and the solution architectures/ alternatives that address those collective needs.

Holistically, this approach to requirements development ensures that the appropriate due diligence is performed upfront to develop a full set of requirements from an end-to-end business process perspective that truly represents the County's needs. And, this informs and builds into the 'packaging' of requirements the level of detail and business problem alignment required to facilitate vendor evaluation, selection, and implementation traceability for the future solution.

Contractor's methodology for requirements gathering and solicitation/RFP development is a proven methodology that has been used successfully across different state and local government organizations and functions. Contractor projects using this methodology have supported the acquisition of large/complex systems, which satisfied multiple sets of stakeholders and complex sets of functional and non-functional requirements.

Figure 2 below illustrates the structured methodology that Contractor proposes to use to assist in defining the future state solution, develop an RFP, support the procurement process and provide assistance with evaluating and selecting a vendor for the new system solution. This methodology is described in more detail below and the detailed statements of work (SOW's) associated with each Phase.

Figure 2. Contractor Proposed Methodology for San Mateo County



Contractor believes that Phases 1 – 4 should be conducted in sequence and as part of a single continuous effort to ensure that the most effective and efficient results are achieved. Following Phase 4, the County has plans to proceed forward with a Request for Proposal (RFP) to solicit a vendor and solution. Past experiences suggest that the most efficient option for the County is to continue directly into the RFP development and solicitation activities; otherwise the County is at risk of losing time and momentum on the project. Contractor believes that once the County has completed Phase 4, they will see the benefits and wish to move directly into Phase 5. Losing momentum during the time required to select and build consensus around the selected strategy is a common pit fall. At the same time, it is difficult to fully and accurately estimate the time and effort required for RFP development before the number and timing of the required RFP's have been finalized.

Based on our experience with this type of project and the scope of work defined by the County, Contractor believes that it will take approximately eleven months to define the requirements and provide the various strategies for the Future State vision with sufficient detail to be ready to draft an RFP. Once this has been completed, Contractor believes that another three months will be required to turn the requirements into a RFP and release it to the vendors. Because of the complex nature of the system, the County should plan for the evaluation process to take approximately three months to complete (assuming no protests or other procurement issues).

3.0 Project Phase and Task Descriptions

This section describes the specific services and deliverables that Contractor will provide for of each Phase.

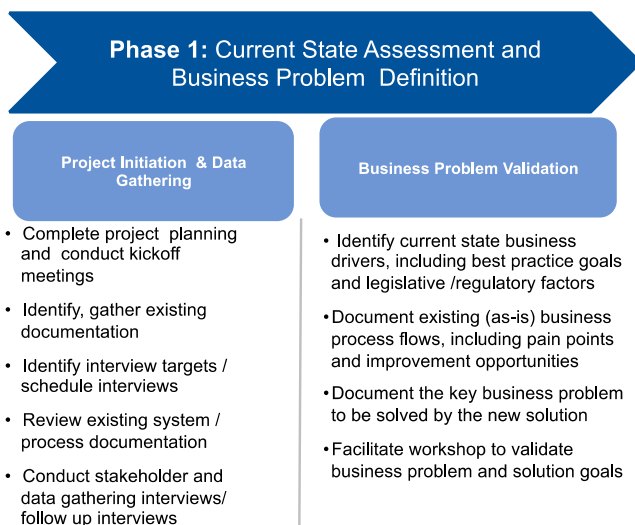
3.1 Phase 1 — Current State Assessment and Business Problem Definition

This section contains detailed descriptions for Phase 1. The key activities, steps and sub-steps are consistent with Figure 3.

The project objectives associated with Phase 1 are:

- Ensure that all Stakeholders understand and agree to the specific business problem, opportunities and gaps to be solved by the new system (e.g., agree on scope and future state vision)
- Ensure that all Stakeholders have a baseline understanding of current systems and As-Is business processes that is sufficient to allow for the definition of “To-Be” business processes and requirements.

Figure 3. Phase 1 Overview



3.1.1 Phase 1 — Step 1: Project Initiation and Data Gathering

The Contractor project manager will conduct a planning meeting with the County's project manager to prepare for the Project Initiation Meeting and begin formulating the preliminary Project Work Plan and Project Schedule, including identifying key documentation and agreeing on interview participants and timelines. Based on this discussion, Contractor will revise the initial draft Project Work Plan and baseline Project Schedule.

Contractor will then conduct a project initiation meeting with the County's project team, Steering Committee and other key stakeholders to establish a consistent, mutual understanding of the objectives and scope of this project, to agree on a schedule for all activities, and to identify roles and responsibilities for all participants. This meeting will also include a discussion of the County's business drivers and issues related to the County's current business processes and current technology portfolio.

On an on-going basis throughout the project, Contractor will hold bi-weekly project status meetings to discuss tasks accomplished to date, planned tasks, and address any issues that arise during project execution. Contractor will submit a project status report and updated project schedule prior to each bi-weekly project status meeting.

In order to obtain the information necessary to perform the appropriate due diligence and planning activities, Contractor will structure a data collection effort that provides Contractor a thorough, yet expedited understanding of the County's current systems and processes as well as pain-points or gaps addressed by implementing new systems to support the Property Assessment, Tax Collection and Apportionment functions. This data collection effort will involve a review of existing documentation, interviews with County staff, external parties (e.g. other Counties, software vendors) and market research.

Contractor will request that the County provide available background documents that will help Contractor obtain an understanding of the County's environment including existing systems, current and future business requirements, available budget and staffing resources, etc. It is Contractor's understanding that the County has documented some of its functional requirements and as-is business processes, which will serve as a starting point for Contractor's requirements development efforts. Other documents that are beneficial to review, if available, include:

- Business and Technology Strategies/Plans for the County and for the in scope organizations
- County's Information Technology Strategic Plan, including the County's Communication Plan and Digital Strategy
- Any existing Property Assessment, Tax Collector and Auditor-Controller Business Process Flows
- County's Organization Chart; Detailed Organization Charts for each Stakeholder Organization
- Any documentation, which describes the roles, responsibilities and work/data, flows between and among Stakeholder organization or major sub-groups within Stakeholder organizations.
- Any documentation which describes business rules or calculations used by the system or used in manual processes
- County's Project Governance Documents
- County's IT and Program Budget information as they may related to this project
- Current application system inventory and system documentation for current systems used to support the existing Property Assessment, Tax Collector and Auditor-Controller business processes
- Previously gathered or created functional or technical requirements
- Relevant Internal or external (e.g., done by vendors or consultants) assessments of existing systems or business processes

Contractor Responsibilities:

- Conduct Project Planning Meeting
- Create Project Work Plan
- Create Baseline Project Schedule
- Prepare Project Initiation Presentation
- Conduct Project Initiation Meeting
- Distribute Weekly Project Status Reports prior to Weekly Project Status Meetings
- Conduct Weekly Project Status Meetings
- Review County's documentation

County Responsibilities:

- Provide facilities for meetings and schedule participants
- Provide documents requested, if available, as needed
- Participate in Weekly Project Status Meetings
- Gather and provide required background documents in electronic format, if possible

Deliverables:

- Project Work Plan including:
 - ☐ Finalized list of all project deliverables
 - ☐ Project Risk Assessment
 - ☐ Deliverables' Acceptance Criteria
 - ☐ Baseline Project Schedule
- Roles and Responsibilities Matrix for the project
- Bi-Weekly Project Status Reports Template

Estimated Duration

- ~1-2 Weeks

3.1.2 Phase 1 — Step 2: Business Problem Definition

Senior level members of the Contractor team will conduct meetings/interviews with executive level County stakeholders to ensure that Contractor understands the intentions and objectives of each key stakeholder and that we have a clear understanding of the governance structure and key interactions which will be required to complete the project to everyone's satisfaction. Personnel to interview may include:

- County Manager and Deputy County Manager overseeing this effort
- County CIO and Deputy CIO overseeing this effort
- Tax Collector- Treasurer

- Auditor-Controller
- Assessor/Recorder Clerk, Assistant Assessor/Recorder/Clerk, Deputy Assessor/Record Clerks responsible for IT Division and Assessment Divisions.
- Other County Officials, such as Supervisors, who have perspective to share regarding the current organization, systems and challenges or the future goals of the solution
- Staff support and/or members of the Assessment Appeals Board (AAB)

In addition to these Stakeholder interviews, Contractor will conduct structured discovery workshops with key departmental staff and stakeholders to understand the “As-Is” business processes. The number of estimated workshops is documented in the “Workshops/Subject Areas” portion of Section 4.0 of this SOW. Contractor will use these interviews to facilitate our team’s understanding of the County’s As-Is environment and processes.

Contractor will provide participants with questions and draft process materials prior to their workshop, allowing them to prepare reference materials and their thoughts in advance. A key factor in the success of the workshops is that the County selects the appropriate subject matter experts (SMEs) from the relevant functional areas across the three Offices. With the guidance and facilitation of Contractor, the SMEs should be able to describe all their relevant business processes for each subject area.

The workshops will last 1-4 hours depending on the complexity of the subject area. The Discovery Workshop will focus on:

- Current business process flows and the related opportunities and ‘pain points’
- Current technical and systems environment
- Vision and desired outcomes for the new system
- Administrative, budget, and technical issues
- Security and privacy issues and remedies

Client Responsibilities:

- Identify key department staff to be interviewed
- Provide facilities for meetings and schedule participants
- Participate actively in workshops

Contractor Responsibilities:

- Provide interview questions prior to scheduled interview/workshop
- Conduct interviews/facilitate workshops

Deliverables:

- Interview Guide including project background and key topics/questions to be covered

Estimated Duration

- ~6 Weeks

3.1.3 Phase 1 — Step 3: Business Problem Validation

Using the information obtained from interviews and as-is analysis, Contractor will deliver an “As-Is” assessment deliverable. The objective of this document is to establish a common understanding of the County’s current business functions, capabilities, and limitations of the existing technological landscape. The document will also identify the business drivers that will form the future state use cases and ultimately the requirements for the new solution. Contractor will also create an “As-Is” view of the business process flows and business systems.

Contractor Responsibilities

- Identify As-Is key pain points and opportunities
- Identify key capabilities required by Stakeholders
- Develop High-Level As-Is Assessment Report
- Develop and distribute the As-Is Process Flows to the County. For the review process, Contractor will provide draft, County will give feedback, Contractor will incorporate the edits and provide updated copy, County will verify the changes and then approve final document.

County Responsibilities:

- Review and provide feedback on deliverables
- Participate in working sessions and findings reviews
- Review and provide feedback on the As-Is Process flows documented by the Contractor team

Deliverable(s):

- High-Level As-Is Process Flows (including a brief summary of the flow and identification of key factors, inputs, alternate flows, etc.)
- As-Is Evaluation Report and Business Problem Summary Report

Estimated Duration

- ~6 weeks

3.2 Phase 2 — Future State Solution

The project objectives associated with Phase 2 are as follows:

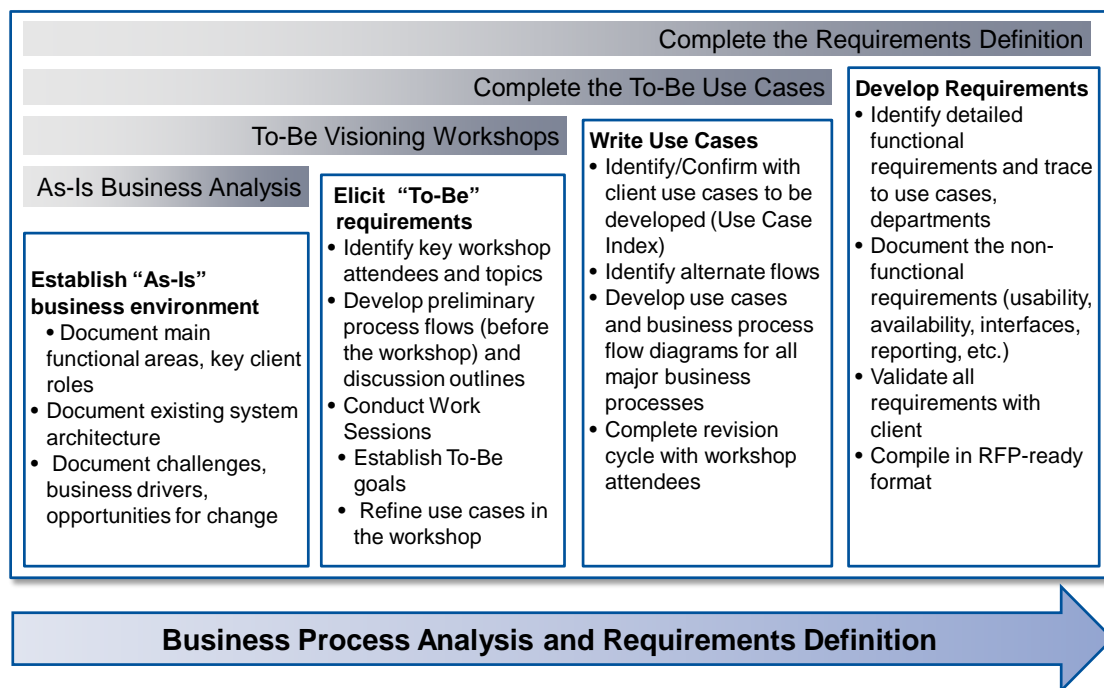
- Define the functional Use Cases and associated functional and non-functional requirements for the future state system
- Develop the future state recommended solution architecture, high-level business rules and high-level data architecture

Contractor's primary focus in this Phase will be on developing the Future State Processes, Use Cases and Requirements.

Using the list of "As-Is" business processes validated with the County stakeholders in Phase 1, Contractor will leverage our property assessment and tax experience and industry best practices to define a Future-State Solution Vision for the entire systems and ultimately the detailed supporting functional and non-functional requirements for each Subject Area.

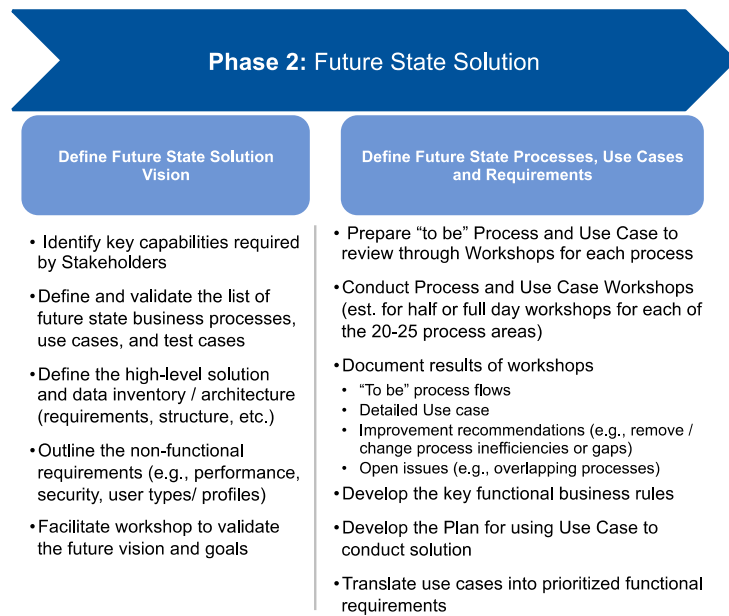
This approach, depicted in the figure below, will build upon what Contractor has learned from the County- during Phase 1- about the "As Is" processes. During Phase 2 Contractor will work to define a Future State Systems Vision that aligns to and supports the business needs identified by the executive stakeholders. This vision will provide guidance during the development of "To-Be" business process flows, Use Cases and functional/system requirements that will illuminate the County's desired solution for potential software vendors and system integrators. The figure below shows how key "As Is" and "To Be" deliverables feed into the development of the requirements.

Figure 4. Contractor's Overall Approach to Requirements Development



The key activities, steps and sub-steps 2 for Phase 2 are shown in the figure below:

Figure 5. Phase 2 Overview



3.2.1 Phase 2 — Step 1: Define Future State Solution Vision

Contractor will document a high level Future State vision for the new Property Assessment and Tax system that has been described by the Stakeholders. This vision will include the following items.

1. Summary of problems and gaps to be addressed
2. Outline of future state processes to be addressed by the new system
3. Foundational information to develop the conceptual solution architecture model for new system
4. Guiding principles for the development of functional and non-functional requirements
5. Baseline principles for the non-functional requirements

The Future State Vision will be a series of detailed MS Word documents and high-level PowerPoint slides which Contractor and Key Stakeholders will use to describe the intent and scope of the new system to the subject matter experts and core team members who will be participating in the detailed requirements workshops or otherwise assisting Contractor with the development of Functional and Non-Functional Requirements.

Contractor Responsibilities

- Develop draft and final Future State Goals and Vision
- Define the high-level data inventory / architecture (requirements, structure, etc.)

- Define and validate the list of future state business processes and use cases
- Facilitate a stakeholder meeting or workshop to validate the future vision and goals

County Responsibilities:

- Provide inputs required for development of Future State Vision
- Review draft Future State Vision and provide feedback to Contractor
- Actively participate in interviews and meetings/workshop

Deliverable(s):

- Solution Vision and Goals Document
- High-Level Future State Data Inventory / Architecture

Estimated Duration

- ~5-6 weeks

3.2.2 Phase 2 — Step 2: Define Future State Processes

Contractor will prepare draft “To-Be” Business Process Flows and Use Cases based on the “As-Is” data captured in Phase 1, the agreement on the Future State Solution Vision and Contractor best practices. Contractor will facilitate the Use Case Validation workshops utilizing a “To-Be,” or “Target State” mindset or approach to ensure that requirements are developed with the future in mind.

Contractor will facilitate discussion with the County personnel to review the goals of the new system from a business outcome perspective, conduct a review of each business process, validate system capabilities needed to support those business processes, and the sequence of events and actors involved. We will discuss any current challenges affecting the business process, and identify opportunities for improvement that can be achieved through business process changes or new system functionality. Contractor will capture any improvement recommendations (e.g., remove / change process inefficiencies or gaps) and outstanding open issues (e.g., overlapping processes) coming out of these discussions.

The output of the workshop will be “working documents” to be used by Contractor as source material when developing the “To-Be” Use Cases and ultimately the “To Be” functional requirements. This approach allows us to tie all functional requirements to a specific business process/business benefit, as well as a specific user group / department. As mentioned before, by focusing on the “To Be” state, the County can ensure that the selected solution meets current and future needs and that business processes are not carried forward that are rooted in past tradition or legacy system restrictions.

Contractor will work with the County to confirm the key subject area and business processes to be discussed and the scheduling of the workshops. Our assumptions regarding the number and distribution of Future Vision workshop is documented in the “Workshops/Subject Areas” portion of Section 4.0 of this SOW. Based on our previous experience with integrated California Property Tax system projects of this size and

scope, 20-25 half-day to full day workshops, incorporating cross-functional workshops, should allow all integral topics to be addressed.

Contractor will work with the County to identify key stakeholders that will participate in the workshops. Attendees should be a cross-functional group of representatives from various departments, offices, groups, and practitioners as well as key technical staff, when appropriate. Workshops will be organized by subject area as indicated in Section 4.0 of this SOW or as mutually agreed during Phase 1.

Contractor Responsibilities

- Prepare draft “To-Be” process flows and high level business oriented Use Cases to be reviewed, leveraged and extended during the workshops.
- Conduct workshops to validate draft “To Be” Business Process Flow and capture key inputs to be used to create detailed “To Be” Use Cases

County Responsibilities

- Identify the right workshop participants
- Provide existing functional or technical requirements and other relevant documentation such as business rules or high level calculations.
- Provide facilities for meetings and schedule participants
- Actively participate in the Future Vision workshops

Deliverable(s):

- Initial draft of “To Be” Process Flows and High Level Use Cases to be updated and ultimately presented during the subsequent Use Case Validation Workshops (these are “working drafts”) and will not be submitted for review / comment by the County prior to the Use Case Validation Workshops, however the County will have final comment and approval on all documentation.

Estimated Duration

- ~7-8 Weeks

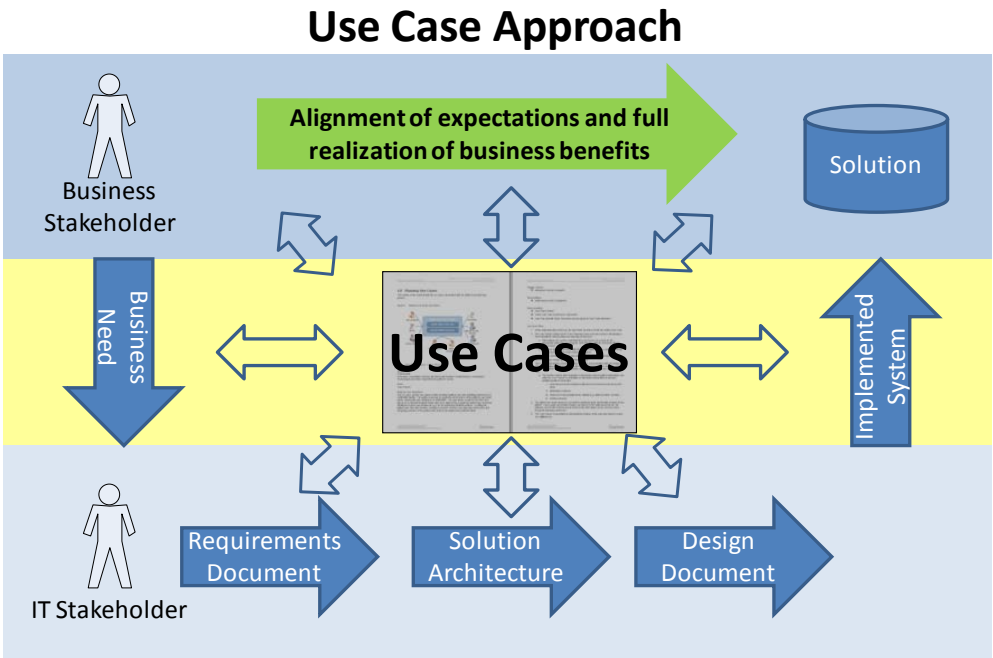
3.2.3 Phase 2 — Step 3: Define Future State Use Cases

Contractor employs functional use cases as a tool to document the ‘real world’ scenarios that help convey target state processes to vendors and also aids in gaining internal buy-in for the accuracy of documented requirements. As Contractor research states, *“Use Cases detailing specific scenarios — such as managing exceptions and incidents, or facilitating interactions — can give planners an insight into how a technology would work if implemented with a specific function in mind. This focus on the practical impact of new technology on the working lives of users can be invaluable in helping bridge the gap between their needs and technological investments.”*¹

¹ Source: Gartner Research: Drakes and Burton, “Devise Use Cases Before Selecting Collaboration Software” - 2005

The overall Use Case approach diagram (below) illustrates the relationships of the uses case with other key system elements such as the requirements, solution architecture, and will support other key elements, such as Test Cases and the traceability matrix, throughout the course of the project.

Figure 6. Contractor's Use Case Approach



Through performing similar engagements, Contractor has found that the collaborative Use Case approach not only ensures a set of requirements that meet the needs of the business stakeholders, these requirements also tend to be complete, focused on user benefits and traceable back to strategic or executive stakeholder imperatives.

The contents of Contractor's use cases will include, but are not limited to, the following components as shown below. Please refer to the information in the Appendix of this SOW for an example of a completed use case.

Table 1. Contractor Use Case Components

Use Case Component	Description
Actor(s)	Primary individual(s) interacting with the system
Role	The role being performed by the actor in this use case
Objective	A summary of the use case
Trigger Events	An action or event that initiates the use case
Precondition	Items that must be completed prior to the execution of the use case

Use Case Component	Description
Post condition	Expected state upon completing of the use case
Use Case Flow	The detailed, step by step user interaction with the system
Alternative Flow	Alternative outcomes of the use case flow
Process Diagram	Flow diagram illustrating the process

The objective of Use Cases is to provide an end-user with an overview of the system functionality from their perspective. It is not to provide a particular design, but rather to illustrate “*what* the system is expected to do, not *how*.” Specifically, these Use Cases are intended to:

- Provide a sufficient understanding of scope and complexity to allow accurate fit/gap analyses and cost estimates
- Provide the users with a common language to articulate their understanding of the system capabilities.
- Allow users to discuss what the system needs to do without being constrained by a particular design.

While we are proposing Use Cases as a tool to articulate the requirements in business terms, Contractor does not intend to specify how the actual solution will be designed around these Use Cases. We anticipate that an integration/development vendor may ultimately develop more detailed, formal Use Cases and design documents through discussion with the County

The Use Case approach is an extremely effective mechanism to identify business requirements. Based on our previous experience with tax system projects of this size and scope, approximately 25 subject areas will be necessary, and each will contain 3-8 use cases related to those processes. Once all the major processes and underlying use-cases have been identified, they will be translated into the functional and non-functional requirements that will ultimately describe the new system in the RFP.

Contractor has a significant library of existing use cases that are specifically applicable to Post Prop 13 California Property Assessment, Tax Collection and Apportionment. These were refined over the course of multiple engagements and will be leveraged to accelerate the use case development process for the County. Some of the use cases in our library are listed below.

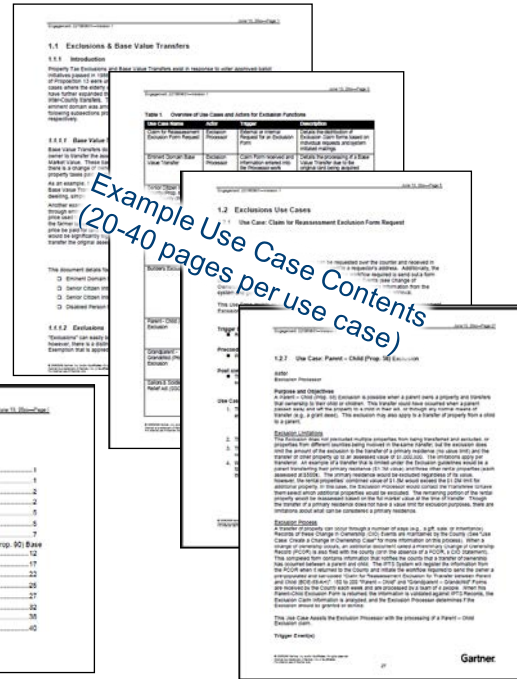
Figure 7. Use Case Library

Inventory of Major Use Cases

- Address Maintenance Use Cases (06-13-09)
- Apportionment & Distribution Use Cases (06-13-09)
- Assessment Appeals Use Cases (06-13-09)
- Assessment Roll Generation Use Cases (06-13-09)
- Bill Maintenance Use Cases (06-13-09)
- Business & Personal Property Use Cases (06-13-09)
- Change in Ownership Use Cases (06-13-09)
- Construction & Permits Use Cases (06-13-09)
- Delinquency & Bankruptcy Use Cases (06-13-09)
- Exclusions & Base Value Transfers Use Cases (06-13-09)**
- Exemption Management Use Cases (06-13-09)
- Parcel Maintenance Use Cases (06-13-09)
- Payment Plans Use Cases (06-13-09)
- Payment Processing Use Cases (06-13-09)
- Property Account Maintenance Use Cases (06-13-09)
- Refunds Use Cases (06-13-09)
- Special Assessments Use Cases (06-13-09)
- Tax Roll Generation Use Cases (06-13-09)
- Tax Roll Generation Use Cases (07-17-09)
- Tax Sale Use Cases (06-13-09)
- TRA Fund Maintenance Use Cases (06-13-09)
- TRA Rate Maintenance Use Cases (06-13-09)

Example Use Case Table of Contents

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These Use Cases will be used to develop the key Test Requirements and Test Cases for the future system solution.

As a part of documenting the Use Cases, Contractor will also develop a document to outline the key business rules for the system.

Contractor Responsibilities

- Develop the To-be Solution Use Cases (180-250)
- Develop the To- be process flows (25-50)
- Outline Plan for Using Use Cases to Support Test Cases / Scenarios for the Future Solution
- Document key business Rules (to be included incorporated into individual use cases as appropriate)

County Responsibilities

- Review all draft deliverables and provide timely written feedback

Deliverable(s):

- To-Be Use Cases and Process Flows

Plan for using Use Cases for Testing the Future Solution Estimated Duration

- ~8-9 Weeks

[illegible]

Contractor Responsibilities

- Document draft functional requirements from the finalized Use Cases
- Review functional requirements with subject matter experts, incorporating their feedback
- Conduct Requirements review meeting for each subject area (if requested or required by the SME's)
- Develop functional requirements / Traceability Matrix

County Responsibilities

- Review all draft deliverables and provide timely written comments.
- Attend requirements review meetings, if necessary and requested

Deliverable(s):

- To-Be Functional Requirements including traceability to Use Cases

Estimated Duration

- ~4 Weeks

3.2.5 Phase 2 — Step 5: Define Future State Non-Functional Requirements

Contractor will draft a set of non-functional (technical and solution) requirements to support the Use Cases and functional requirements developed in previous steps. They will communicate requirements in the following areas:

- Usability
- Scalability/Capacity
- Security/Privacy
- Licensing
- Communication
- Archiving
- Performance
- Infrastructure requirements
- Data conversion/migration requirements
- Interface/integration requirements
- Reporting
- Personalization

Contractor will leverage our extensive library of non-functional requirements for large integrated public sector and tax systems as necessary to ensure that these requirements are comprehensive and reflect industry best practices.

Once complete, Contractor will facilitate workshops (1 — 3 half day sessions) with key stakeholders to clarify or augment the set of technical requirements to ensure they are accurate and comprehensive.

The technical requirements will be produced in a requirements matrix format similar to the matrix for functional requirements describe above. Contractor will work with the County to finalize the format of the matrix.

Contractor Responsibilities:

- Draft technical requirement based on information gathering in previous steps and from Contractor and industry best practices
- Conduct workshops to capture/validate technical requirements
- Develop Non-Functional requirements

County Responsibilities:

- Provide facilities for meetings and schedule participants
- Participate in technical requirements workshops
- Review all draft deliverables within five business days of submission and provide written comments.

Deliverable(s):

- To Be Non-Functional Requirements

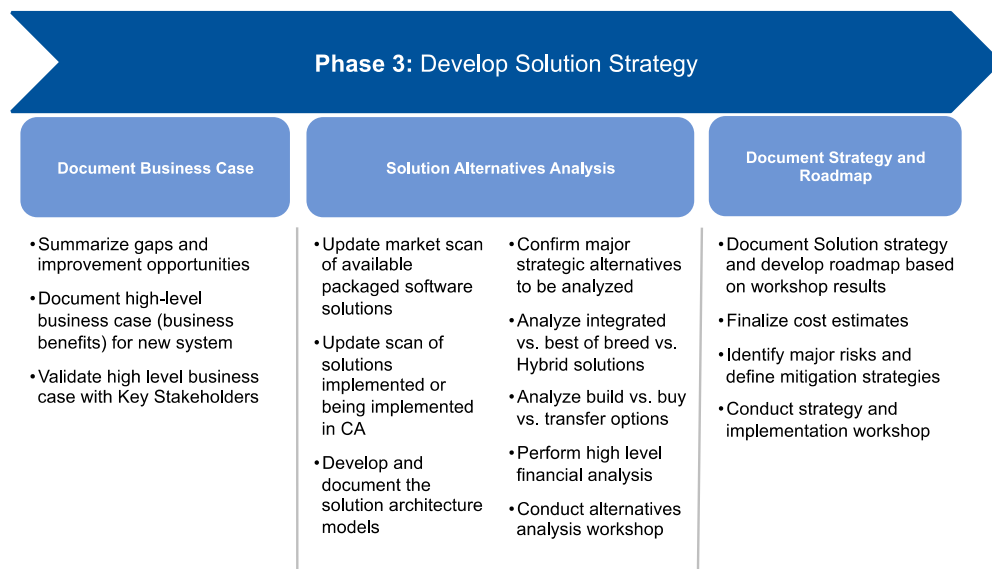
Estimated Duration

- ~3 Weeks

3.3 Phase 3 — Develop Solution Strategy

- This section contains detailed descriptions for Phase 3, which will consist of steps and activities defined below in Figure 9. The project objectives associated with Phase 3 are as follows.
- Perform a market analysis to determine the various system options currently available for the County Assessor, Controller and Tax Collector.
- Document a strategy and roadmap that includes expected costs/risks and corresponding high-level implementation roadmap for identified solutions.

Figure 9. Phase 3 Overview



Contractor will work with the County to identify alternatives for analysis and criteria that will be used to identify the proposed solution strategy. This alternatives analysis will include an assessment of the benefits, costs, risks and ability to fulfill the County's business and technical requirements associated with each alternative. The following steps will allow Contractor to conduct the analysis.

3.3.1 Phase 3 — Step 1: Document Business Case

Contractor will incorporate the information gathered during requirements development and the prior steps to develop and document key business benefits expected from the proposed system.

Contractor believes that any investment in technology must be grounded in the realization of business benefits. Contractor will pull from Use Case improvement opportunities identified in previous steps, best practices/industry trends and research analyst /consultant experiences to catalog expected San Mateo property assessment, tax collector and auditor-controller business benefits.

Contractor Responsibilities:

- Prepare draft Business Benefits Case Report
- Validate report with key Stakeholders and Finalize based on feedback

County Responsibilities:

- Provide business case inputs (cost, efficiencies and other factors)
- Review draft report and provide feedback

Deliverable(s):

- Business Benefits Summary Report

Estimated Duration

- ~5 Weeks

3.3.2 Phase 3 — Step 2: Conduct Market Scan of Potential Solutions

Contractor will conduct research into the potential packaged or custom developed software solutions available on the market. As part of this effort, we will contact experts within Contractor's research and consulting organizations who can provide the project team with the data necessary to effectively evaluate viable solutions and vendors.

Further, Contractor will contact the primary vendors in the market that provide tax assessor, tax collector, and controller products and services. Contractor will develop a list of questions and evaluation factors that will gain insight into the factors most important to the County. Examples of areas of focus and evaluation factors include:

- Application
 - ☐ Capabilities and features for high-priority County functions
 - ☐ Commitment to Public Sector
 - ☐ Product Roadmap
 - ☐ Consistency with County architecture and technology standards
 - ☐ Viability and Fit with County's Scope and Objectives
- System Integration
 - ☐ Experience implementing similar applications
 - ☐ Public sector experience and 'track record'
 - ☐ Viability and Fit with County's Scope and Objectives
 - ☐ Implementation and integration approach

Support structure and post-implementation services

The figure below provides an example of the summary output that results from the RFI process and helps drive the alternatives analysis.

Figure 10. RFI Process Output

Evaluation Criteria	Vendor 1	Vendor 2	Vendor 3	Vendor 4
Functional and Technical Requirements for Complex Agencies	Requires some configuration and customization	Does not meet most Accessibility requirements	Requires significant configuration	Does not meet some Accessibility requirements
Consistency with Technology Standards				
Commitment to Public Sector				
Ability to Support (e.g. Size and Complexity)				
Viability and Fit				
Support Model				
System Integration Approach				
Project Methodology				
TCO				

	Fully Fulfills
	Mostly Fulfills
	Partially Fulfills
	Does Not Fulfill

Contractor Responsibilities:

- Develop and conduct market survey
- Synthesize market scan findings into a 15-20 page presentation (PPT)

County Responsibilities:

- Work with Contractor to define evaluation factors

Deliverables

- Synthesized Market Scan Findings (To be incorporated into Strategy and Roadmap Report)

Estimated Duration

- ~4 Weeks

3.3.3 Phase 3 — Step 3: Solution Alternatives Definition

Contractor will work with the County to identify 2-3 alternative solutions that combine application and solution options and implementation service options. Contractor will also work with the County to create evaluation criteria that will be used to assess each alternative. Finally, we will confirm the alternatives and the evaluation criteria with the County prior to recommending a proposed solution.

Key alternatives to be analyzed include:

1. Integrated vs. Best-of-Breed Property Assessment, Tax Collector and Apportionment Systems
2. Build vs. Buy Transfer Options
3. Deployment Options (e.g., timing of the delivery of functionality)

4. Procurement Options (e.g. sole source, standard RFP, RFQ/RFP, Multi-stage RFP, etc.)

Contractor Responsibilities:

- Define and Document Alternatives and Evaluation Criteria
- Present Alternatives and Evaluation Criteria
- Perform high level financial analysis of alternatives, where warranted

County Responsibilities:

- Provide facilities for meetings and schedule participants
- Provide cost and other inputs for high level financial analysis
- Review all draft deliverables and provide timely written feedback

Deliverables:

- List of Alternatives to be Evaluated

Estimated Duration

- Estimated 3 weeks

3.3.4 Phase 3 — Step 4: Conduct Alternatives Analysis

Contractor will collect or develop high level financial and risk data to assess the feasibility of pursuing each of the identified alternatives. This data may include:

- Costs for each alternative (one-Time, ongoing)
- Timing associated with each alternative
- Risks associated with alternative (financial, time-line, quality, external)

Contractor will use this data as well as other data collected or developed in previous steps to evaluate the different alternative solution strategies using the evaluation criteria agreed to during the previous steps.

Contractor will conduct a workshop to review the results of the alternatives analysis with Key Stakeholders

Contractor Responsibilities:

- Conduct Alternatives Analysis
- Facilitate Alternatives Analysis workshop with County stakeholders

County Responsibilities:

- Participate in evaluation workshop

Contractor Deliverables:

- Alternative Analysis (To be incorporated into Strategy and Roadmap Report)

Estimated Duration

- ~3 Weeks

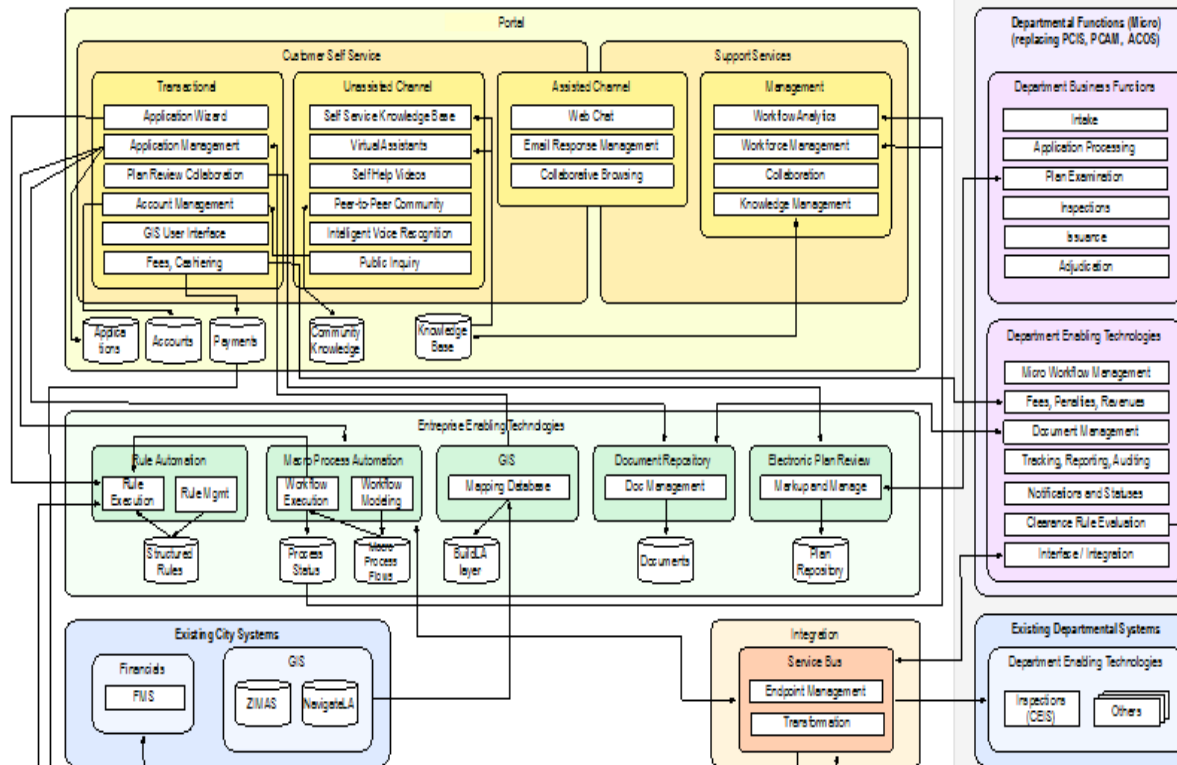
3.3.5 Phase 3 — Step 5: Develop Future State Conceptual Architecture

Contractor will collaborate with the County to develop a future state Conceptual Architecture Model that defines the capabilities required to implement a solution that delivers the To-Be use cases and requirements. To guide the conceptual architecture, Contractor will work with the County's technical leadership to understand the enterprise architecture direction, and to develop a brief set of architectural principles. These principles include organizational preferences in areas such as mature technology vs. leading edge or single vendor vs. best-of-breed, and will help to drive the future state. Contractor will also discuss trends and forces that drive systemic architecture in similar organizations.

This Conceptual Architecture Model is directional in nature. It is meant to guide the overall solution to ensure compatibility with the County information technology vision. It is not meant to prescribe a specific technology solution, nor a specific set of products. Capabilities may be implemented with different sets of technologies by different vendor solutions, but including the overall conceptual architecture in a solicitation will ensure a holistic solution that meets the County functional and architectural needs.

A sample conceptual model is graphically depicted below.

Figure 11. Sample Contractor Conceptual Model (not Property Assessment related)



Contractor will facilitate workshops (2-3 half day sessions) to capture the architecture guidelines and develop the conceptual architecture, and workshops review the conceptual architecture with the stakeholders.

Contractor Responsibilities

- Conduct 2-3 workshops with the County IT leadership/architects
- Develop Conceptual Model
- Use the Selected Solution Alternative to Define the Conceptual Model
- Conduct Workshop to review Conceptual Model

County Responsibilities

- Provide facilities for meetings and schedule participants
- Participate in conceptual model review workshops
- Providing current County IT standards and input to the architectural guidelines
- Review all draft deliverables and provide timely written feedback

Deliverable(s):

- Conceptual Solution Architecture

Estimated Duration

- ~2 Weeks

3.3.6 Phase 3 — Step 6: Document Proposed Strategy and Roadmap

Contractor will use the results of the Solution Alternatives Analysis to work with the County to determine the best potential Solution for the County. The Future Strategies and Roadmap Report will document the system solutions available to the County.

Contractor's Strategy and Roadmap Deliverable will contain the following information:

- Needs Evaluation and Solution Strategy for the alternative analysis
- High-Level Roadmap
- Cost Analysis
- Risk Analysis and Mitigation Plan

Needs Evaluation and Solution Strategy

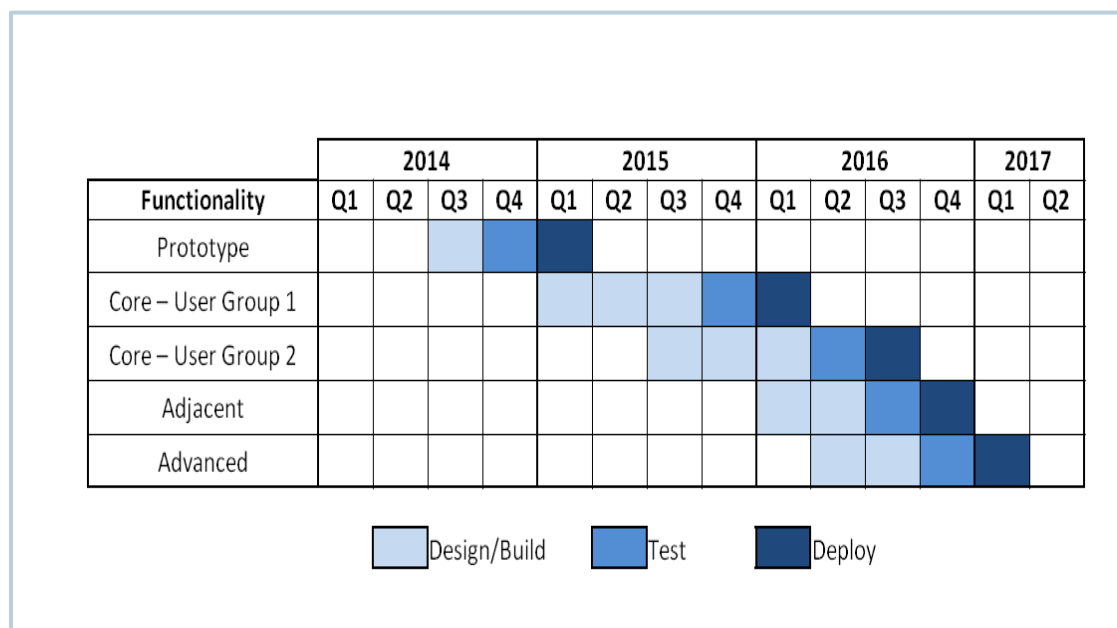
Contractor will outline the County's current challenges, including industry, California-specific and San Mateo specific challenges. Contractor will also summarize the opportunities and expected business benefits to be expected from implementing a new tax system, such as direct cost savings, efficiency gains, risk/compliance improvements, and/or improvement of quality in processes.

Finally, Contractor will document the proposed solution strategies based on the results of the alternatives analysis previously conducted. The solution strategies will include the following key components

High Level Implementation Roadmap

The High-Level implementation roadmap will incorporate the results of the alternatives solutions analysis, identifying the best fit for deployment of the various solutions (integrated vs. best-of-breed, build vs. buy vs. transfer, big bang vs. phased), and the best alternative for phasing (e.g., by department, currently used solutions, by newly introduced solutions). A sample implementation roadmap is provided in Figure 12.

Figure 12. Sample Implementation Roadmap



Cost Analysis

Contractor will also perform a high level, relative cost analysis of the options based on the results of the Market Scan and the initial financial data collection performed as part of the As-Is Evaluation. Understanding the cost of the selected alternative will be necessary to provide the County with the information required to develop a business case for the new solution. Cost will be estimated on a budgetary/rough order of magnitude basis.

Risk Analysis and Mitigation Plan

Contractor will develop a preliminary risk assessment and risk mitigation plan for the procurement and implementation of the new system based on the solution selected. Key risks to be analyzed include the following:

- Benefits Risk- level of uncertainty around the quality and completeness of system functionality delivered which might impact the level of business benefits which can be achieved
- Costs Risk- level of uncertainty around project cost estimates which might impact the ability to stay within budgetary parameters

- Time to Market Risk- level of uncertainty around the amount of time it will take the implement the new system
- Other Risks to be considered: Project Execution Risk (staffing, skills, etc.), Long-Term Operational/Support Risks, Vendor Performance Risk and Technology Obsolescence Risk

Contractor will work with the County's project team to develop the draft risk management plan. The Risk Management Plan will articulate risks identified to date, the relative potential impacts of those risks, the relative probability that the risks will occur, and proposed mitigation strategies.

Contractor Responsibilities

- Identify and Analyze Key Risks
- Develop Risk Management Plan

County Responsibilities:

- Provide facilities for meetings and schedule participants
- Review all draft deliverables and provide timely written comments

Deliverables:

- Strategy & Roadmap Report for all alternatives

Estimated Duration

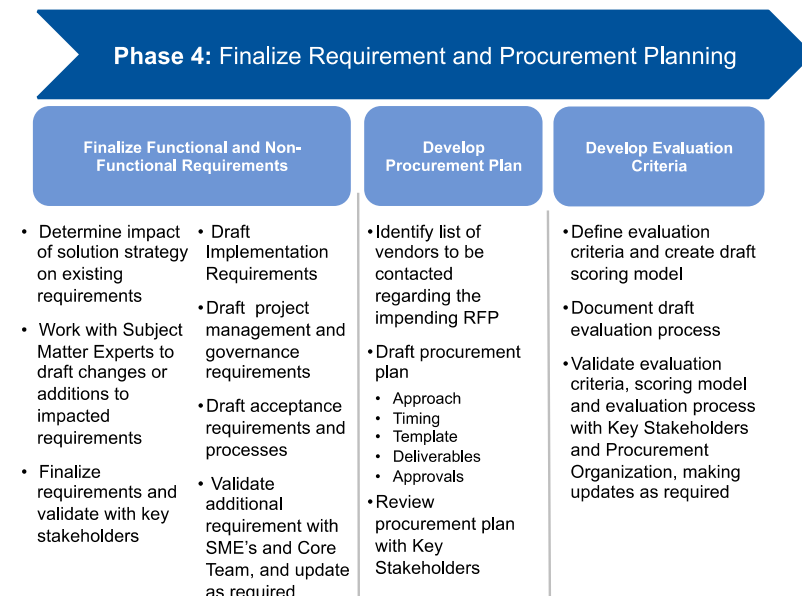
- ~4 Weeks

3.4 Phase 4 - Finalize Requirements and Procurement Planning

This section contains detailed task descriptions for Phase 4, the key tasks are shown in the Figure 13 and described below. The project objectives associated with Phase 4 are:

- Finalize the requirements.
- Develop a comprehensive procurement strategy including evaluation criteria

Figure 13. Phase 4 Overview



3.4.1 Phase 4 — Step 1: Finalize Requirements

Contractor will work with the County to complete the following activities

- Finalize Functional and Non-Functional Requirements
 - ☐ Determine impact of solution strategies on existing requirements
 - ☐ Work with Subject Matter Experts to draft changes or additions to impacted requirements
 - ☐ Finalize requirements and validate with key stakeholders
- Develop Solution Strategy Specific Non-Functional Requirements
 - ☐ Draft Implementation Requirements
 - ☐ Draft project management and governance requirements
 - ☐ Draft acceptance requirements
 - ☐ Validate additional requirements with SMEs and Core Team, and update as required

Contractor Responsibilities:

- Review and Finalize Functional and Non-Functional Requirement Developed in Previous Tasks
- Prepare Solution Strategies Specific Non-Functional Requirements

County Responsibilities:

- Have Subject Matter Experts Review all Requirements for Completeness and Accuracy
- Provide Feedback on Draft Procurement Plan

Deliverables:

- Finalized Requirements ready for inclusion in the RFP

Estimated Duration

- ~5 Weeks

3.4.2 Phase 4 — Step 2: Develop a Procurement Plan

Contractor will work with the County to develop an actionable and customized Procurement Plan based on Contractor's best practice approaches. The key activities will include the following steps:

- Identify list of vendors to be contacted regarding the impending RFP
- Draft procurement plan
 - ☐ Approach
 - ☐ Timing
 - ☐ Template
 - ☐ Deliverables
 - ☐ Approvals
- Review procurement plan with Key Stakeholders

Contractor will review the plan with County through a half-day workshop with the core project team and key stakeholders.

Contractor Responsibilities:

- Prepare Draft Procurement Plan and Finalize Based on County Feedback
- Conduct Procurement Plan review workshop

County Responsibilities:

- Provide Feedback on Draft Procurement Plan

Deliverables:

- Procurement Plan

Estimated Duration

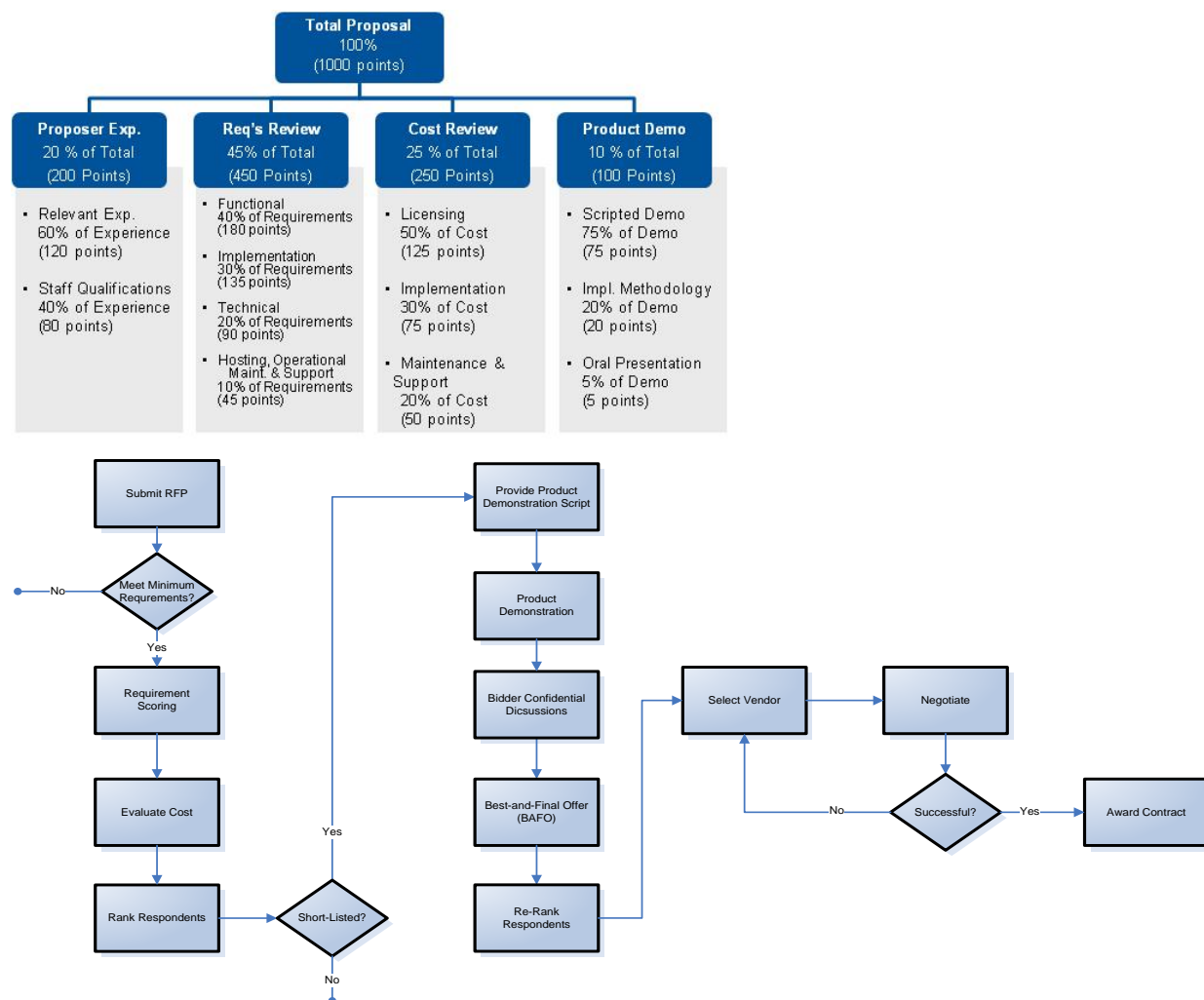
- ~5 Weeks

3.4.3 Phase 4 — Step 3: Develop RFP Evaluation, Criteria, Tools and Process

During this task, Contractor will develop the Evaluation and Selection Plan that will include the process the County will utilize to evaluate the responses provided by the vendors. The Plan will describe the organizational, business, technical and cost criteria to be used in evaluating and assessing the proposals. We also will design and prepare the evaluation material to be used in the vendor selection process, including the functional and cost evaluation tools, and the Vendor Reference evaluation tools.

Figure 14 below shows example RFP evaluation criteria and an evaluation process.

Figure 14. Example RFP Evaluation Criteria/Approach



Contractor Responsibilities:

- Prepare Evaluation Plan
- Prepare Functional, Cost and Software Demonstration Evaluation Tools
- Prepare Vendor Reference Questionnaire

County Responsibilities:

- Provide facilities for conducting the Evaluation Plan and Tool development meetings and assist in scheduling appropriate participants
- Review draft Evaluation Plan and Tools

Contractor Deliverables:

- Evaluation Plan (MS Word).
- Functional, Cost and Software Demonstration Evaluation Tools (MS Excel).
- Vendor Reference Questionnaire (MS Word).

Estimated Duration

- ~2 Weeks

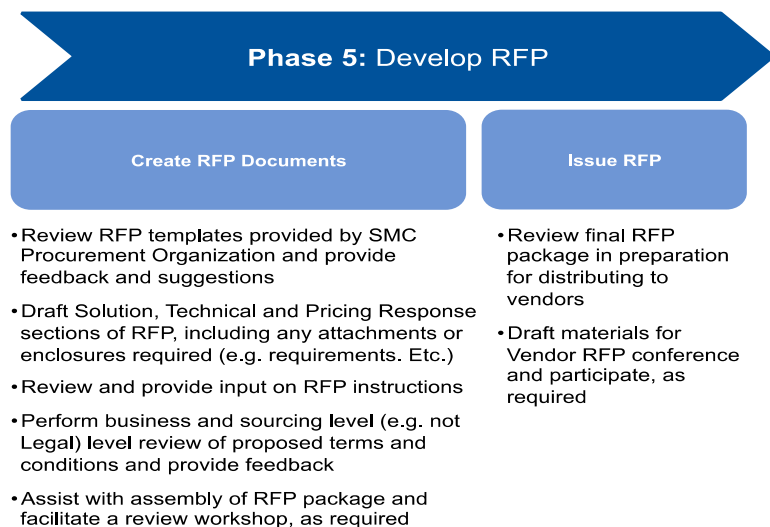
3.5 Phase 5 – Develop RFP

While Contractor believes that Phase 5 is a logical next step after Phase 4 and should be conducted in sequence to ensure the County does not lose momentum, resources, and commitment for the project, we realize the County may not be ready to proceed forward with the RFP process after Phase 4. In addition, until Phase 3 has been completed, no decision has been made regarding the number of systems and RFPs that are required. Therefore, Phase's 5 and 6 have been proposed as separate fixed price efforts in this document.

This section contains detailed task descriptions for Phase 5, the key tasks are shown in the figure and described in more detail below it. The project objectives associated with Phase 5 are:

- Develop the RFP based on the County's proposed Solution Strategy, Use Cases, Requirements, Scope, etc.

Figure 15. Phase 5 Overview



Phase 5 - Step 1: Create RFP document

Contractor will assist in the preparation of a comprehensive RFP, as shown in Table 2, to be released to the prospective vendor(s) responsible for meeting the needs of the County as identified in the previous steps. The RFP will be developed in accordance with the County's purchasing guidelines and requirements.

Table 2. Sample RFP Components

The RFP will include:	Vendor Responses will include:
<ul style="list-style-type: none"> ■ Project overview and background ■ Submission requirements (electronic, CD-ROM, etc.,) ■ Explanation of the evaluation criteria and the contract award process ■ Proposed Implementation Plan ■ County proposed project resources ■ Description of proposed business and technical components ■ Description of procurement requirements ■ Specific vendor response requirements in the areas of: <ul style="list-style-type: none"> □ Business and technical requirements □ System specifications □ Comparable experience □ System and technology architecture □ Adherence to industry standards □ Vendor support capabilities ■ County contract terms and conditions ■ Other information as needed 	<ul style="list-style-type: none"> ■ Vendor expertise ■ Project Plan and Timeline ■ System flexibility and modularity ■ Business and technical functionality ■ Proposed specifications ■ System security features ■ One-time hardware (if applicable), software and services costs ■ Maintenance costs ■ System interface capabilities ■ Training to be provided ■ Documentation to be included in County Knowledge Management Solution ■ Client and Vendor responsibilities ■ Spatial, electrical and environmental considerations (if applicable) ■ Advantages of proposed system over competition ■ Client references ■ Proposed software license agreements and sample maintenance agreements

The Request for Proposals will provide participating vendors with uniform “ground rules” on which to prepare their proposals. Contractor assumes a single RFP that includes implementation services for the configuration and implementation of selected software and enhancement / development of any customer facing Internet presence/portal.

Contractor Responsibilities:

- Finalize RFP Instructions
- Review and Provide feedback on RFP templates; Provide business level but not legal review of terms and conditions.
- Prepare Draft and Final RFP (MS Word)

County Responsibilities:

- Provide RFP templates, terms and conditions, forms and compliance related materials
- Provide Draft RFP Instructions

- Provide information for RFP components as required
- Review draft RFP
- Provide facilities for conducting the RFP development meetings and assist in scheduling appropriate participants
- Assemble final solicitation package based on RFP components provided by Contractor

Contractor Deliverables:

- RFP document; with all components include the Future State Vision, SOW, and instructions for the responding vendors (e.g., pricing response, technical responses)

Estimated Duration

- ~6 Weeks

3.5.2 Phase 5 — Step 2: Issue RFP

Once the RFP Solicitation documents have been finalized by the County's Procurement Organization, Contractor will conduct and final review the materials to be released and identify provide feedback on any errors or gaps. Contractor will also prepare materials necessary to describe the RFP to the prospective vendors at the bidders' conference.

Contractor Responsibilities:

- Review Draft Solicitation Package and provide detailed feedback
- Prepare Materials for Bidders Conference and Participate in/Conduct Bidders Conference
- Record and Track any questions received during the Bidders Conference and assist the County with the formulation of answers
- Provide draft answers for any questions asked at the Bidders' conference

County Responsibilities:

- Provide Draft RFP Solicitation Package for Review
- Finalize Solicitation Package based on Contractor Feedback
- Issue RFP to Vendors
- Participate in Bidder Conference
- Provide answers to questions asked during the bidders conference

Contractor Deliverables:

- Materials for Bidders Conference

Estimated Duration

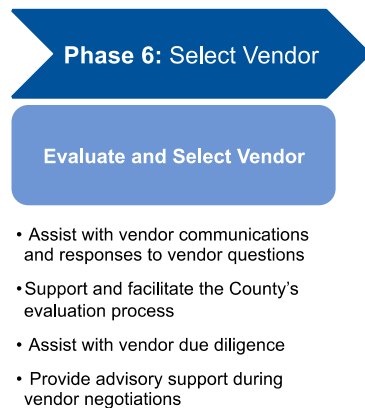
- ~4 Weeks

3.6 Phase 6 – Evaluate and Select Vendor

This section contains detailed task descriptions for Phase 6, the key tasks are shown and described below. The project objectives associated with Phase 6 are:

- Assist the County in selecting the most appropriate vendor to conduct the work solicited through the RFP

Figure 16. Phase 6 Overview



3.6.1 Phase 6 – Step 1; Evaluate and Select Vendor

While Contractor believes that Phase 5 is a logical next step after Phase 4 and should be conducted in sequence to ensure the County does not lose momentum, resources, and commitment for the project, we realize the County may not be ready to proceed forward with the RFP process after Phase 4. Therefore, Phase's 5 and 6 have been proposed as separate fixed price efforts in this document.

Following the release of the RFP, Contractor will provide advisory support and assistance on an ongoing basis. Contractor will help facilitate the process for the County to review and evaluate the proposals.

Contractor Responsibilities:

- Assisting with vendor communications and responses to vendor questions
- Analyzing vendor proposal responses
- Assisting with vendor due diligence
- Review the County Evaluation Committee member's RFP response evaluations and provide feedback and support
- Review the County's Evaluation Committee member's RFP responses and provide feedback and support to ensure thoroughness and good standards are used

- Advisory support during vendor negotiations
- Facilitate up to two (2) RFP review working sessions with the Evaluation Committee

County Responsibilities:

- Provide Contractor with written evaluation reports from the County Evaluation Committee members
- Participate in the RFP review working sessions
- Provide necessary background information and context

Contractor Deliverables:

- Vendor response evaluation report

Estimated Duration

- ~10 Weeks

3.7 Summary of Project Deliverables

The table below provides a summary of all of the project deliverables to be produced by the Contractor team

Phase 1: Current State Assessment and Business Problem Definition Deliverables	
Step: 1	Project Initiation and Data Gathering
Deliverable Name: Project Plan	
<ul style="list-style-type: none"> ■ Finalized list of all project deliverables including acceptance criteria ■ Project Risk Assessment ■ Baseline Project Schedule ■ Roles and Responsibilities matrix for the project 	
Step: 1	Project Initiation and Data Gathering
Deliverable Name: Bi-Weekly Project Status Report	
<ul style="list-style-type: none"> ■ Progress Against Objectives ■ Project Tasks and Schedule Updates ■ Project Issues and Risks Requiring Attention 	
Step: 2	Business Problem Definition
Deliverable Name: Interview Guide	
<ul style="list-style-type: none"> ■ Short PowerPoint presentation providing Project Background ■ MS Word document summarizing key topics to be covered and/or questions to be asked <ul style="list-style-type: none"> <input type="checkbox"/> Customized questions for each interview or discovery workshop 	
Step: 3	Business Problem Validation
Deliverable Name: High-Level As-Is Process Flows.	
<ul style="list-style-type: none"> ■ Key pain points and opportunities list ■ Summary of key capabilities required by Stakeholders 	
Step: 3	Business Process Validation
Deliverable Name: As-Is Evaluation Report and Business Problem Summary Report	
<ul style="list-style-type: none"> ■ Microsoft Word or PowerPoint/Visio format. 1-2 pages per Business Process. ■ Estimated 30-50 Business Processes ■ High Level Outline for As-Is Processes: <ul style="list-style-type: none"> - Major Process Steps (e.g. Default Flow) - List of key roles involved - List of most important or critical exception or alternate process flows - List of key systems involved - List of key rules or calculations involved 	

Phase 2: Future State Solution Deliverables	
Step: 1	Define Future State Solution Vision
Deliverable Name: Solution Vision and Goals Report	
<ul style="list-style-type: none"> ■ Future state vision statement and guiding principles ■ Scope and goals for the future solution per stakeholder, including future state business processes and use cases to be included ■ High level future state system architecture/vision 	
Step: 1	Define Future State Solution Vision
Deliverable Name: High-Level Future State Data Inventory / Architecture	
<ul style="list-style-type: none"> ■ High-level data inventory / architecture, including: <ul style="list-style-type: none"> ■ Inventory of key data elements ■ Documentation of data owners and users ■ Identification of critical data elements ■ Storage/retention requirements for critical data elements 	
Step: 2	Define Future State Processes
Deliverable Name: Draft “To-Be” Processes and Use Cases	
<ul style="list-style-type: none"> ■ Initial draft of Process Flows and High Level Use Cases to be presented during Workshops for facilitation. This will be based on the “As-Is” High Level Business Process flows and Contractor best practice library materials ■ These are —working drafts and will not submitted for review / comment by the County prior to the workshops) ■ The documents will be reviewed and updated during multiple half-day subject matter expert workshops facilitated by Contractor during Step 3. ■ Completion of the workshops constitutes delivery of the Draft “To-Be” Processes and Use Cases 	
Step: 3	Define Future State Use Cases
Deliverable Name: To-Be Use Cases and Process Flows	
<ul style="list-style-type: none"> ■ To-Be Use Case Processes and Use Cases <ul style="list-style-type: none"> □ Microsoft Word format with Use Cases and Business Processes organized into Subject Areas as indicated in the Workshops/Subject Areas portion of Section 4.0 of this SOW. One document will be provided per subject area (each document will contain multiple related Business Processes and Use Cases) 	

Step: 4	Define Future State Functional Requirements
Deliverable Name: To Be Functional Requirements (including traceability to Use Cases)	
<ul style="list-style-type: none"> ■ Future State Functional Requirements ■ Microsoft Excel format with Functional Requirements divided into Subject Areas as defined in the Workshops/Subject Areas portion of Section 4.0 of this SOW. One document provided per Subject area (each document would contain multiple related Functional Requirements) ■ Functional Requirements mapped to Use Cases 	
Step: 5	Define Non-Functional Requirements
Deliverable Name: Future State non-Functional Requirements	
<ul style="list-style-type: none"> ■ Non-Functional Requirements delivered in similar format and level of detail as the Functional Requirements ■ Non Functional Requirements Mapped to Use Cases and Solution Architecture where appropriate ■ Non-functional requirement will cover the following areas(but not be limited to): <ul style="list-style-type: none"> - Usability - Scalability/Capacity - Security/Privacy - Licensing - Archiving - Performance - Infrastructure requirements - Data conversion/migration requirements - Interface/integration requirements - Reporting/Business Analytics - Personalization 	

Phase 3: Develop Solution Strategy Deliverables	
Step: 1	Document Business Case
Deliverable Name: Business Benefits Summary Report	
<ul style="list-style-type: none"> ■ Outline of the expected business benefits and impact of the solution, categorized per stakeholder department and/or business function ■ Specific impacts to the operating model of the future solution based on the previously defined business goals / vision ■ Business benefits based on changes to the business process, staff capability and the implementation of new technology 	
Step: 2	Conduct Market Scan of Potential Solutions
Deliverable Name: Property Tax System Market Scan	

<ul style="list-style-type: none"> ■ Overview of Relevant Software Markets ■ Market scan of Property Tax Solutions in place or planned for California Counties (at minimum, Megabyte, Easy Access, Tyler, Grant Street, Thompson Reuters) ■ Market Scan of System Integrators with California Property Tax Experience 	
Step: 3	Solution Alternative Definition
Deliverable Name: Solution Alternative Definitions and Alternative Analysis Criteria	
<ul style="list-style-type: none"> ■ Alternative Scenarios defined in sufficient detail to be evaluated, examples of alternatives could include <ul style="list-style-type: none"> - Single integrated system vs. multiple best of breed systems for the major business organizations vs. main system with “bolt on” or custom components to provide specific functionality - Phased vs. iterative vs. big bang implementation approach - Custom developed vs. Packaged system vs. Hybrid ■ Detailed and weighted evaluation criteria including <ul style="list-style-type: none"> - Business benefits - Time to implement and achieve business benefits - Implementation complexity and risk - Organizational change risk/impact - One time and ongoing costs - Ability to support solution over the long term - Ability of solution to evolve with business and technology needs 	
Step: 4	Conduct Alternatives Analysis
Deliverable Name: Alternative Analysis Draft Report	
<ul style="list-style-type: none"> ■ PowerPoint Format with High Level Summary for Executives ■ Detailed Report to be in MS Word - Estimated length is 20-30 pages ■ High Level Outline <ul style="list-style-type: none"> - Summary of Alternative Considered - Summary of Evaluation Criteria Applied - Detailed Evaluation of Each Alternative - Results of Alternatives Analysis/Recommendation 	
Step: 5	Develop Future State Conceptual Architecture
Deliverable Name: Conceptual Solution Architecture	
<ul style="list-style-type: none"> — MS Word - Format estimated length 20-30 pages — High level Outline <ul style="list-style-type: none"> - Architecture Principles - San Mateo Solution Specific Architecture Requirements and Drivers - Business Function Architecture - High Level Interface Architecture 	

<ul style="list-style-type: none"> - Application Architecture - High Level Data Architecture and Guiding Principles - Operational and Hosting Architecture 	
Step: 6	Document Proposed Strategy and Roadmap
Deliverable Name: Strategy and Roadmap Report	
<ul style="list-style-type: none"> ■ PowerPoint Format with High Level Summary for Executives ■ Detailed Report in MS Word - estimated length is 20-30 pages. ■ High Level Outline <ul style="list-style-type: none"> - Alternatives Analysis (Finalized from Previous Task) - Solution Strategy or Strategies - High Level Implementation Roadmap - Cost Analysis and Estimate - Risk Analysis and Mitigation Plan 	

Phase 4: Finalize Requirements and Procurement Planning Deliverables	
Step: 1	Finalize Requirements
Deliverable Name: Updated Requirements based on Solution Strategy Selected	
<ul style="list-style-type: none"> ■ Updated Functional and Non-Functional Requirements based on the solution strategy selected including updated traceability to Use Cases. 	
Step: 2	Develop Procurement Plan
Deliverable Name: Detailed Procurement Plan for Acquiring New System	
<ul style="list-style-type: none"> ■ List of vendors to be contacted regarding the impending RFP ■ Procurement plan outlining the Approach, Timeline(s), Template to Use, Deliverables to include, and Approvals necessary to complete the RFP 	
Step: 3	Develop RFP Evaluation, Criteria, Tools and Process
Deliverable Name: Detailed Procurement Plan for Acquiring a New System	
<ul style="list-style-type: none"> ■ Evaluation Plan (MS Word format) including finalized evaluation criteria and weighting ■ Functional, Cost and Software Demonstration Evaluation Tools (in MS Excel). ■ Vendor Reference Questionnaire (in MS Word), to be used to review and validate vendor responses after responses are received 	

Phase 5: Develop RFP Deliverables	
Step: 1	Create RFP Documents
Deliverable Name: RFP Document	

<ul style="list-style-type: none"> ■ Complete RFP Document (created in collaboration with the County's procurement professionals) ■ RFP Response instructions for vendors (e.g., submission format / requirements, timelines,) 	
Step: 2	Issue RFP
Deliverable Name: Issued RFP	
<ul style="list-style-type: none"> ■ Contractor Feedback on Finalized Solicitation Package ■ Contractor to prepare materials for Bidders Conference and participate in Bidder's Conference ■ Contractor draft answers to vendor questions from the bidders conference 	

Phase 6: Select Vendor Deliverables	
Step: 1	Evaluate and Select Vendor
Deliverable Name: Vendor Response Evaluation Report	
<ul style="list-style-type: none"> ■ Draft Contractor responses to vendor questions ■ Contractor participation in vendor reference checks ■ Contractor analysis of vendor proposal responses ■ Contractor facilitation of up to 2 RFP review working sessions with the Evaluation Committee to ensure good standards are followed 	

3.8 Proposed Project Schedule

Figure 17 is the initial project timeline for Phase 1 to 6. This schedule is subject to change if there are changes to the project scope or sequencing. Several variables can impact the schedule, such as availability of County staff, time-of-year in business cycle, changes to sequencing of activities, etc.

This schedule represents a realistic plan with minimal issues or roadblocks. This proposed schedule assumes that the proposed work will require 10-11 months to accomplish from the start of the project. The exact dates will be impacted by availability of County resources, holidays, scheduling conflicts, etc. The figure below assumes that Contractor and the County will begin preplanning activities as soon as a contract is established, with a mid-August formal kickoff of the project with key Stakeholders and Project Team Member.

Contractor will work with the County to establish and maintain a mutually agreed upon schedule and detailed project plan.

Figure 17. Proposed Project Schedule

3.9 Project Team

Contractor fully recognizes the significance of this effort. The Contractor team proposed for this project has firsthand knowledge of

Phase Name	Est. Work Days	Est. Start	Est. Finish
Phase 1: Validation of Business Problem and Goals	92	7/24/14	10/24/14
Pre-Kickoff Planning Activities		7/24/14	8/17/14
Project initiation		8/18/14	8/25/14
Business Problem Definition (interviews)		8/18/14	9/29/14
Business Problem Validation		9/22/14	10/24/14
Phase 2: Define future state solution	92	10/27/14	1/27/15
Define the Future State Solution		10/27/14	12/8/14
Develop Draft of Future State Processes		10/31/14	12/12/14
Develop Future State Use Cases		11/7/14	1/2/15
Develop Functional requirements		1/9/15	1/30/15
Develop a Non-Functional Requirements		1/9/15	1/27/15
Phase 3: Develop solution strategy	57	2/13/15	4/11/15
Document Business Case		2/13/15	3/27/15
Conduct a Market Scan		2/17/15	3/10/15
Solution Alternatives Definition		3/3/15	3/31/15
Conduct Alternatives Analysis		3/10/15	4/4/15
Develop Future State Conceptual Architecture		3/20/15	4/7/15
Document Proposed Strategy and Roadmap		3/17/15	4/11/15
Phase 4: Finalize requirements and procurement	38	4/14/15	5/22/15
Finalize Functional and Non-functional Req.		4/14/15	5/12/15
Develop Procurement Plan		4/21/15	5/22/15
Develop RFP Evaluation, Criteria, Tools and Process		5/1/15	5/15/15
Phase 5: Develop RFP	52	5/26/15	7/17/15
Create RFP Document		5/26/15	7/2/15
Issue RFP		6/19/15	7/17/15
Phase 6: Evaluate and Select Vendor	70	7/20/15	9/28/15
Evaluate Responses and Select Vendor		7/20/15	9/28/15

the intricacies related to large-scale, integrated tax system engagements such.

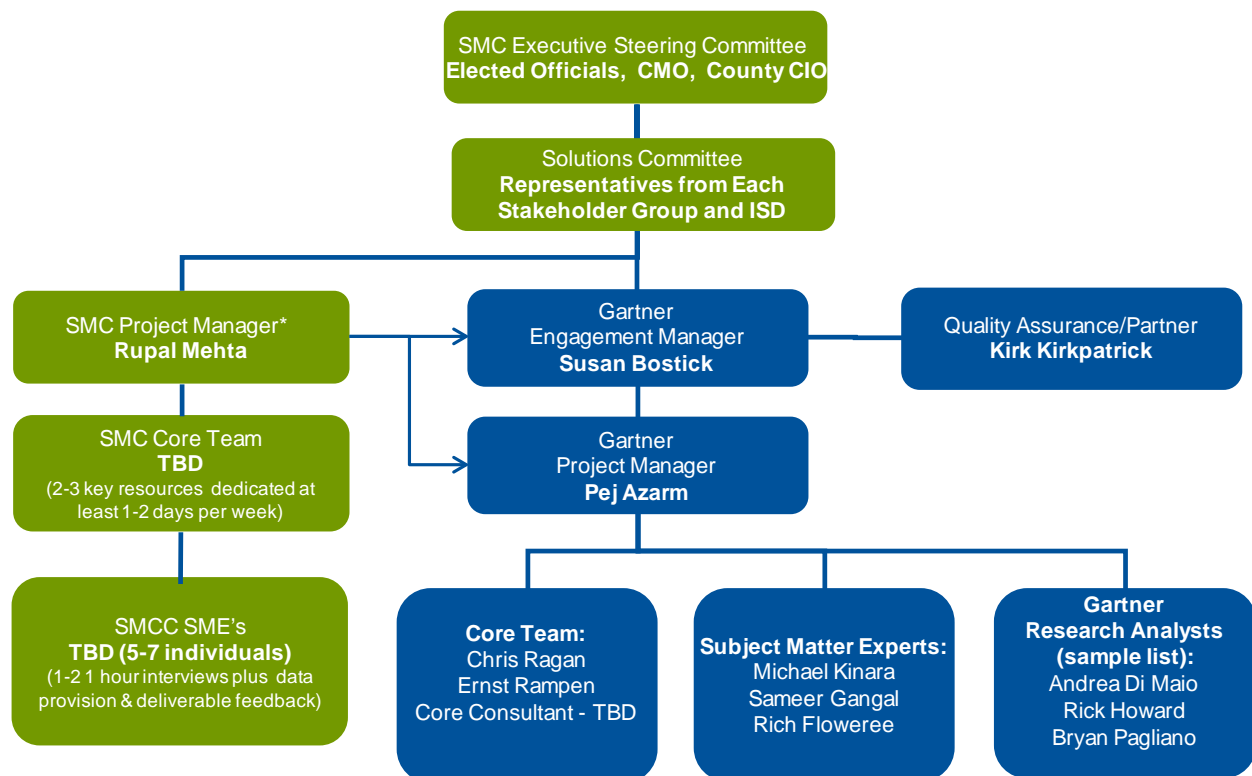
Considering the strategic significance of the new system to County stakeholders, both from an investment and operational standpoint, it is important to balance delivering quality with meeting aggressive timeline expectations. While this will be challenging, it is certainly achievable and Contractor's proven capabilities will be key in facilitating

program success. We are confident that the approaches outlined in this proposal will deliver the quality and comprehensive procurement planning services that will be required.

Contractor has created a project team and organizational structure for this engagement that is designed to ensure high-level sponsorship and quality assurance, strong day-to-day project management, a focused team of project consultants, and deep subject matter expertise. The key roles and proposed individuals for the Contractor team are shown in Figure 18.

The project team depicted below is premised on the ability of the County and Contractor to execute a legally binding contract that includes that Statement of Work and begin the project within August 2014. Should the project start after this date, Contractor may need to substitute alternate resources with similar skills and experience.

Figure 18. Project Team and Proposed Governance Structure



This team was selected based on their relevant experience and knowledge as demonstrated in Table 3 below:


Table 3. Contractor Team Qualifications





Team	Experience								Other	
	Public Sector	Tax Assessor	Prop 13	Solution Architecture	RFP / Procurement	Use Case Approach	Alternative Analysis	Process Mapping	CA Resident	Available for On-Site
Susan Bostick	✓	✓	✓		✓	✓	✓	✓	✓	✓
Pej Azarm	✓	✓	✓		✓	✓	✓	✓	✓	✓
Chris Ragan	✓	✓	✓		✓	✓		✓	✓	
Kirk Kirkpatrick	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Ernst Rampen	✓			✓	✓	✓	✓	✓	✓	✓
Richard Flowerree	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Michael Kinara	✓	✓			✓	✓	✓	✓		
Sameer Gangal	✓	✓	✓	✓	✓	✓		✓		✓




3.10 Roles and Responsibilities for Key Resources

The following section is a description of the roles and responsibilities for this engagement. The Contractor team will work with the County project team and Steering Committee to develop a full complement of roles and responsibilities for execution of the project.

Table 4. Project Team Roles and Responsibilities

Gartner Associate & Role	Responsibilities
 <p>Susan Bostick, Engagement Manager</p>	<ul style="list-style-type: none"> ■ Provide direct leadership to the team, shaping the deliverables and their content to ensure that they support the County's objectives. ■ Provide subject matter expertise over the entire content of the project, including providing industry knowledge and experience ■ Provide high-level oversight to the project and become more heavily involved should any issue resolution be necessary

Gartner Associate & Role	Responsibilities
 Kirk Kirkpatrick, Managing Partner	<ul style="list-style-type: none"> ■ Overall Responsibility for SMC's satisfaction with Contractor's performance on this engagement ■ Provide quality assurance review of Gartner project plan and Gartner deliverables throughout the engagement ■ Participate in Workshops and provide Subject Matter Expertise when appropriate
 Pej Azarm, Project Manager	<ul style="list-style-type: none"> ■ Be responsible for the day-to-day management of Gartner project team activities ■ Ensure that project deliverables are completed on time and meet the Gartner quality standards ■ Act as the primary point of contact for the Gartner team for daily issues ■ Participate in and lead key use case and requirement workshops ■ Participate in deliverable creation, deliverable review and client presentations as needed
 Chris Ragan, Tax Assessor SME	<ul style="list-style-type: none"> ■ Support the core project team by providing subject matter expertise as needed throughout the engagement, particularly around Property Assessment and Tax System use cases and requirements. ■ Participate in and lead key use case and requirement workshops ■ Participate in deliverable creation, deliverable review and client presentations as needed
Resource TBD, Consultant	<ul style="list-style-type: none"> ■ Provide day-to-day consulting support for project tasks ■ Participate in and lead key use case and requirement workshops ■ Participate in deliverable creation, deliverable review and client presentations as needed
 Sameer Gangal, Sourcing SME	<ul style="list-style-type: none"> ■ Support the core project team by providing sourcing subject matter expertise as needed throughout the engagement ■ Participate in deliverable creation, deliverable review and client presentations as needed

Gartner Associate & Role	Responsibilities
 Ernst Rampen, Technical SME	<ul style="list-style-type: none"> ■ Support the core project team by providing application and technical subject matter expertise as needed throughout the engagement ■ Participate in deliverable creation, deliverable review and client presentations as needed
 Michael Kinara, Process SME	<ul style="list-style-type: none"> ■ Support the core project team by providing tax assessor and collector subject matter expertise as needed throughout the engagement ■ Participate in deliverable creation, deliverable review and client presentations as needed
 Richard Flowerree, Tax and Sourcing SME	<ul style="list-style-type: none"> ■ Support the core project team by providing subject matter expertise as needed throughout the engagement ■ Participate in deliverable creation, deliverable review and client presentations as needed

4.0 Project Assumptions

The deliverables and schedule contained in this Proposal together with the pricing submitted as part of the separate Price Proposal are based on the following assumptions:

Project Governance

- County will establish a Project Governance structure that will enable the different Stakeholder organizations to effectively collaborate, build consensus and make decisions throughout the project. This governance structure will have at least three levels
 - Executive Level: Elected Officials/Chief Deputies and County CIO
Final decision making authority, including strategic direction, solution strategy, resource allocation, funding and evaluation of risks/costs vs. benefits.
 - Stakeholder Level: Department and Functional Leaders from Each Key Area impacted by the new System

Develop consensus regarding required functionality of the new system, including evaluating potential changes/improvements to existing business processes to increase efficiency/effectiveness or to adapt to solution constraints.

- Project Level: County Project Manager, Stakeholder Organization Project Managers/Coordinators, Contractor Project Manager (e.g. Assessment and Property Tax PMO)

Make decisions regarding week to week project priorities, resolve or escalate project issue, address project resource/scheduling concerns, etc.

- The County will designate one of the members of the Executive Level governance body to act as the Executive Sponsor for Contractor. While the Contractor team will report the Executive Level governance body and work with the other bodies, Contractor will escalate issues and communicate Status through the Executive Sponsor
- In the absence of an effective governance structure, Contractor will take direction from the County Project Manager.

County Participation

- County will designate a project manager to act as the primary point of contact for this project. The project manager will be expected to work closely with the Contractor employees as needed and will: (a) approve project priorities, detailed task plans and schedules; (b) facilitate the scheduling of Contractor interviews with appropriate County personnel; (c) notify Contractor in writing of any project or performance issues, d) coordinate data collection and deliverable feedback collection from the different stakeholder organizations e) sign off on Contractor deliverables/invoices and (e) assist in resolving project issues that may arise.
- In addition to the County project manager, each major Stakeholder organization will designate a Project Coordinator to act as the primary point of coordination between Contractor and the various Stakeholders and Subject Matter Experts. The coordinators will be expected fill the following tasks: 1) Identify and schedule stakeholders and subject matter experts for interviews and workshop, 2) arrange logistics for interviews and workshops when requested, 3) coordinate the data collection requests from Stakeholders and SME's and 4) coordinate and drive obtaining deliverable feedback from Stakeholders and SME's
- The work effort described in this proposal assumes that County personnel are available to assist in the project as defined in this Proposal. In the event that County personnel are not available, a change of scope may be necessary.
- The County will review and approve documents within ten business days. If no formal approval, rejection, or request for additional information is received from the County Project Manager within that time period, the deliverable will be considered Accepted. The County will have no more than one extension granted per deliverable.

- The County is to schedule resources for project activities and provide meeting facilities as necessary.
- County personnel will be made available for workshops, interviews, working sessions, deliverable reviews per the final project schedule

Data Collection

- The due diligence (as-is) data is reasonably available via interviews and documentation review. In other words, this means that Contractor will be able to gather all of the required “As Is” data through the workshops, meetings and document reviews described in this SOW.
- County will provide timely access to all appropriate personnel to be interviewed. These personnel will have the ability to provide data necessary to complete this project, answer questions, provide existing documentation and attend working sessions. A delay in providing appropriate personnel to Contractor to enable the Service to be completed within the established time frames could result in a change request.
- Project pricing assumes that County will arrange all sessions with County personnel.
- All data collection and interviews/workshops will take place in person at County's headquarters location or as described in this proposal and/or as mutually agreed to by Contractor and the County.
- Follow up interviews may be conducted via telephone in some cases.

Contractual

- The Internal Contractor tracking number associated with this engagement is 330016700.
- If the County requires a purchase order (PO) number for invoicing, the County must provide Contractor a copy of the PO, with this agreement, to Contractor. Any pre-printed terms on the PO that are in addition to or in contradiction of the terms of this agreement shall be inapplicable

Place of Performance and Format of Deliverables

- With the exception of meetings and workshops, Contractor work may be performed at Contractor locations.
- Office space, telephones and access to the Internet will be made available to Contractor staff at County locations for on-site project time.
- Contractor will have access to printing/copying services at County locations.
- Parking and access passes will be made available to Contractor staff at County locations for on-site project time.
- All deliverables will be developed using Microsoft products (for example, Project, Excel, Word and PowerPoint).

Work Shops/Subject Areas

- Phases 1 and 2. The figure on the next page documents Contractor's Assumptions regarding the number and type of workshops to be conducted as part of Phases 1 and 2. While it is acceptable to combine workshops and move workshops between Departments/Subjects, the overall number of workshops is based on the agreed upon schedule. Significant changes to the overall number of workshops may require a Change Order resulting in potential adjustments the project costs and schedule.
- For each subject area, Contractor anticipates conducting 4 separate sessions the purpose and objectives which are described in Section 3 of the SOW. The session types are:
 - » As-Is Discovery Meetings- Duration 1-4 hours depending on complexity. Output: High Level "As-Is" Business Process Flows
 - » Future Vision Workshops- Duration 2-4 hours depending on complexity. Output: To Be Process Flows; Early Draft Use Cases and/or Inputs for Draft Use Cases
 - » Use Case Validation Workshop- Duration 3-6 hours depending on complexity and number of use cases. Output: Draft Use Cases
 - » Requirement Review Meetings- 1-3 hours depending on number of functional requirements

Figure 1. Department/Subject Area Workshop Assumptions

		As-Is Workshop	Future Vision Workshop	Use Case Validation Workshop	Requirements Validation Workshop	Workshops by Department
Department	Subject					
Assessor	Property Account & Address Maintenance	1	1	1	1	
Assessor	Parcel Maintenance/Mapping	1	1	1	1	
Assessor	Change in Ownership	1	1	1	1	
Assessor	Construction & Permits	1	1	1	1	
Assessor	Appraisals / CAMA	1	1	1	1	
Assessor	Exemptions	1	1	1	1	
Assessor	Exclusions and Base Value Transfer	1	1	1	1	
Assessor	Business and Personal Property	1	1	1	1	
Assessor	Assessment Roll Generation	1	1	1	1	
Assessor	Trigger-points (Clerk-Recorder/Elections)	1	1	1	1	
Assessor	Assessment Appeals	1	1	1	1	44
Auditor/Controller	TRA Fund Maintenance	1*	1	1	1	
Auditor/Controller	TRA Rate Maintenance (session 1)	1*	1	1	1	
Auditor/Controller	TRA Rate Maintenance (session 2)	1*	1	1	1	
Auditor/Controller	Special Assessments	1*	1	1	1	
Auditor/Controller	Bill Maintenance	1*	1	1	1	
Auditor/Controller	Roll Generation	1*	1	1	1	
Auditor/Controller	Apportionment & Distribution (session 1)	1*	1	1	1	
Auditor/Controller	Apportionment & Distribution (session 2)	1*	1	1	1	
Treasurer /Tax Collector	Payment Processing	1*	1	1	1	
Treasurer /Tax Collector	Payment Plans	1*	1	1	1	
Treasurer /Tax Collector	Delinquency / Bankruptcy	1*	1	1	1	
Treasurer/ Tax Collector	Tax Sales	1*	1	1	1	
Treasurer /Tax Collector	Refunds	1*	1	1	1	
	Total	24*	24	24	24	96*

* Contractor agrees to conduct up to the indicated number of “As-Is” workshops for the different topic areas marked for Auditor/Controller and Treasurer/Tax Collector. Contractor and the County agree that Contractor will only conduct the number of

workshop that are required for the Contractor and County teams to mutually agree that the “As-Is” business processes have been captured in sufficient detail to allow for the “To-Be” business processes and use cases to be defined. Contractor further agrees that if additional workshops are necessary to complete the scope of work defined in this SOW and the SMC Executive Steering Committee agrees that additional workshops are material to the outcome of project, Contractor will accommodate the additional workshops. Both parties agree that additional details regarding the “To Be” system requirements will be developed in the workshops (listed above) subsequent to the “As-Is” Workshops.

- Contractor has held detailed meetings with representatives from the three departments in which more specific functional and process topics were discussed and provided in Appendix B. Contractor is comfortable that the topics covered in Appendix B can be completed within the number of workshops specified in Figure 1. Contractor agrees that the topics listed in Appendix B will be covered even if this means additional workshops are required. As part of the project planning efforts following the formal initiation of the project, Contractor and the County will work together to map the more detailed topics to each workshop (e.g. building an agenda for each workshop).
- The documents produced as an output from each workshop will be updated by the Contractor team and circulated to Workshop participants for review and comment. There will be 1 round of review for the “As-Is” process flows. In general this will be the case for “To-Be” process flows, use cases and requirements as well. However the “To-Be” documents will continue to be iterated until all stakeholder feedback has been captured. In some cases, this may require additional one-on-one or group meetings. Contractor and the County will work together to minimize the number of review cycles and make certain that any additional cycles are addressing meaningful and material business issues.
- Contractor estimates that there will be 30-50 discrete “As-Is” and “To-Be” business processes (1 of each type for a total of 60-100 process documents). From these processes, Contractor expects to document 180-225 discrete “To-Be” use cases.
- During the Phase 2 workshops:
 - Contractor will start Vision Sessions with a first draft of the flows and use cases, which will be updated during the Future State Vision workshops
 - Contractor will distribute the next iteration of the flows and use cases for feedback from County SME’s
 - Contractor will consolidate the feedback and conduct one (1) more round of joint reviews and updates with County SME’s in the Use Case Validation Workshops
 - Contractor will make final updates and distribute the documents to the County
 - For Functional Requirements, Contractor will draft the requirements and distribute them to the SME’s for feedback

- After Consolidating, the feedback Contractor will distribute the updated requirements back to the SME's. Requirements Review Meetings may or may not be held for each functional area, based on the comfort level of the SME's. If they are held, the meetings will focus on resolving outstanding functional or business issues identified during the individual reviews.
- Phase 3 and 4: Visioning / Strategy sessions will be conducted on cross functional and cross-department basis. Contractor recognizes that it may be necessary to hold separate strategy sessions focused specifically on the Assessor's office and its unique needs. Additional sessions (e.g., Senior Executives, etc.) will be minimized.
 - Contractor will prepare all materials for these sessions and share with key project stakeholders prior to the meeting to ensure broad and general alignment of options and recommendations.
 - Contractor will facilitate the discussions

Business Process Scope

- The scope of this project is limited to the core business processes related directly to the County's property assessment, tax collection and apportionment functions. Other functions which rely on assessment and property tax systems or data will only be considered to be in scope so far as their assessment, tax and apportionment interface and data access/update needs are concerned.
 - Other County business processes, whether part of one of the core stakeholder organizations or not are not part of the project scope (e.g. core recorder business processes, core elections process, and etc.)

Phases 5 and 6

- The prices quote for Phases 5 and 6 are based on the assumption of a single RFP. If the decision is made to issue a more complex RFP (e.g. multiple systems, custom built system, etc.), or that the time frames for implementing different portions of the systems will be sufficiently different to require multiple RFP's or procurement efforts, then fixed fee estimates will need to be altered.

Contractor Key Personnel

- Contractor shall not remove Key Personnel from the project without the consent of the County. Contractor shall provide the County with 45 days advance notice of its intention to remove a Key Resource from the project. Resignations, illness/incapacity or other events outside of Contractor's control shall be excluded from this agreement. In the event that Key personnel are removed from the Project, Contractor agrees to replace them with alternative resources with equivalent skills and experience. The County reserves the right to accept or reject any additional resources proposed by Contractor.
- The County may request that Contractor remove any resource from the project at any time. The County agrees to discuss any personnel related issues with

Contractor and give Contractor an opportunity to propose remedies to the solution short of a change of personnel. The County may accept or reject these solutions at its discretion. To enable a smooth transition, Contractor requests that the County, provide Contractor with 20 days advanced notice of any request for a change of personnel.

- The County designates Chris Ragan and Pej Azarm as Key Resources.
- Resumes of key personnel provided in this proposal assume a project start date in August, 2014. If the actual project start date is different, proposed individuals may not be available. In this event, we will work with County to identify alternative personnel with appropriate skills and background.

5.0 Change Control

This Statement of Work defines the scope of this engagement. All requests for changes to the SOW must be in writing and must set forth with specificity the requested changes. As soon as practicable, Contractor shall advise the County of the cost and schedule implications of the requested changes and any other necessary details to allow both parties to decide whether to proceed with the requested changes.

The parties shall agree in writing upon any requested changes prior to Contractor commencing work.

As used herein, “changes” are defined as work activities or work products not originally planned for or specifically defined by this SOW. By way of example and not limitation, changes include the following:

- Any activities not specifically set forth in this SOW
- Providing or developing any deliverables not specifically set forth in this SOW
- Any change in the respective responsibilities of Contractor and the County as set forth in this SOW, including any reallocation or any changes in engagement or project manager staffing
- Any rework of completed activities or accepted deliverables
- Any investigative work to determine the cost or other impact of changes requested by County
- Any additional work caused by a change in the assumptions set forth in this SOW
- Any delays in deliverable caused by a modification to the acceptance criteria set forth in this SOW
- Any changes requiring additional research analyst time or changes to research analyst resources

6.0 Minimum Required County Resources

Contractor suggests that beyond the positions listed below, a full time Project Manager is assigned to this project. This role is typically assigned to a resource from a stand-alone Project Management Office, or one that is part of the IT organization.

Further, since Contractor does not know the separation of tasks and functions within each department office, we cannot comment on the exact resource position / titles. However, we know that the project will require involvement throughout the first 4 phases of the same resource mix — Project Sponsor, Project manager, and Subject Matter Experts (SME) — from each department. The roles for IT will be different and are listed below.

6.1 Phases 1 to 4

1. Assessor

List Level of Position/Title	Tasks	Commitment
1. Key Business Stakeholder — suggest the Elected Official from the Office	Project Sponsor / Decision Maker / Approve Major Decisions through Governance body	Participation in small number of interviews, executive level status meetings, reviews of major deliverables or decisions
2. Project Manager	PM for system replacement project	Full Time for project duration, at minimum 50% of time dedicated to project
3. Subject Matter Expert from each of the functional areas for the departments (such as Appraisal Services, Roll Preparation, Delivery and Maintenance, Customer Service, etc.)	Participate in interviews, process mapping, deliverable reviews, use case workshops, etc.	Participation in workshop as outlined in the SOW. Not all SME's will need to attend all workshops. SME's will also require document review time outside of workshops will likely be 25-50% of time required in workshops. This may vary among participants with some required little or no review time.

2. Controller

List Level of Position/Title	Tasks	Commitment
1. Key Business Stakeholder — suggest the Elected	Project Sponsor / Decision Maker / Approve Major Decisions through	Participation in small number of interviews, executive level status

List Level of Position/Title	Tasks	Commitment
Official from the Office	Governance body	meetings, reviews of major deliverables or decisions
2. Project Manager	PM for system replacement project	Full Time for project duration, at minimum 50% of time dedicated to project
3. Subject Matter Expert from each of the functional areas for the departments (such as Collection reconciliation, Roll Maintenance, Penalty Established, etc.)	Participate in interviews, process mapping, deliverable reviews, use case workshops, etc.	Participation in workshop as outlined in the SOW. Not all SME's will need to attend all workshops. SME's will also require document review time outside of workshops will likely be 25-50% of time required in workshops. This may vary among participants with some required little or no review time.

3. Treasurer — Tax Collector

List Level of Position/Title	Tasks	Commitment
1. Key Business Stakeholder — suggest the Elected Official from the Office	Project Sponsor / Decision Maker / Approve Major Decisions through Governance body	<3% of time for project duration
2. Project Manager	PM for system replacement project	Full Time for project duration, at minimum 50% of time dedicated to project
3. Subject Matter Expert from each of the functional areas for the departments (such as Tax Sale Reviews, Exception Processing, Liens, etc.)	Participate in interviews, process mapping, deliverable review, use case workshops, etc.	0% to peak of 15% of time / week (average of 5%), depending on the activities during that week; this will be for the project duration

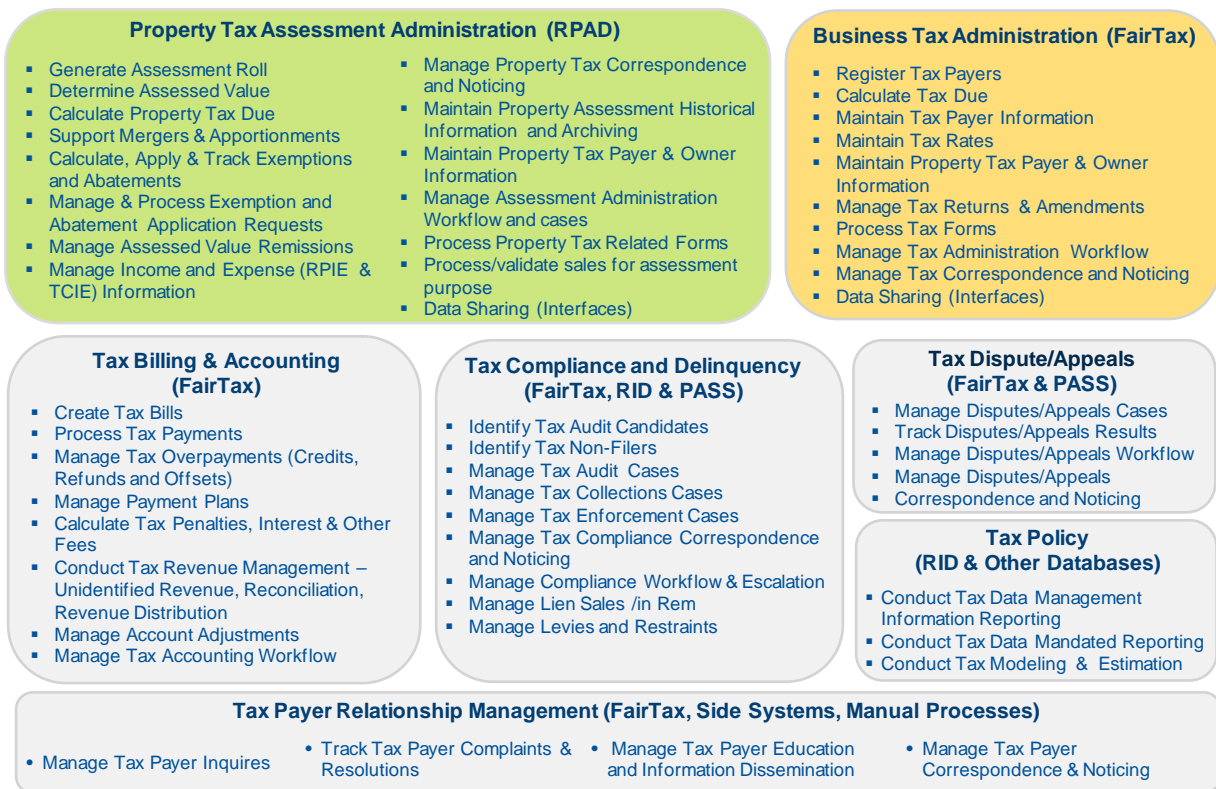
4. Information Services Department

List Level of Position/Title	Tasks	Commitment
1. Key Executive	Project Sponsor / Decision	Participation in small

Stakeholder — suggest the County CIO	Maker / Approve Major Decisions through Governance body	number of interviews, executive level status meetings, reviews of major deliverables or decisions
2. Project Manager	PM for system replacement project	Full Time for project duration, at minimum 80% of time dedicated to project
3. Business Analysts	Provide BA services for the various activities of the project	Participation in workshop as outlined in the SOW. Not all SME's will need to attend all workshops. SME's will also require document review time outside of workshops will likely be 25-50% of time required in workshops. This may vary among participants with some required little or no review time.
4. Technical Analysts	Provide BA services for the various activities of the project	Participation in Solution Architecture workshop and meetings as outlined in the SOW. Time to review Contractor solution architecture documents resulting from these interactions.

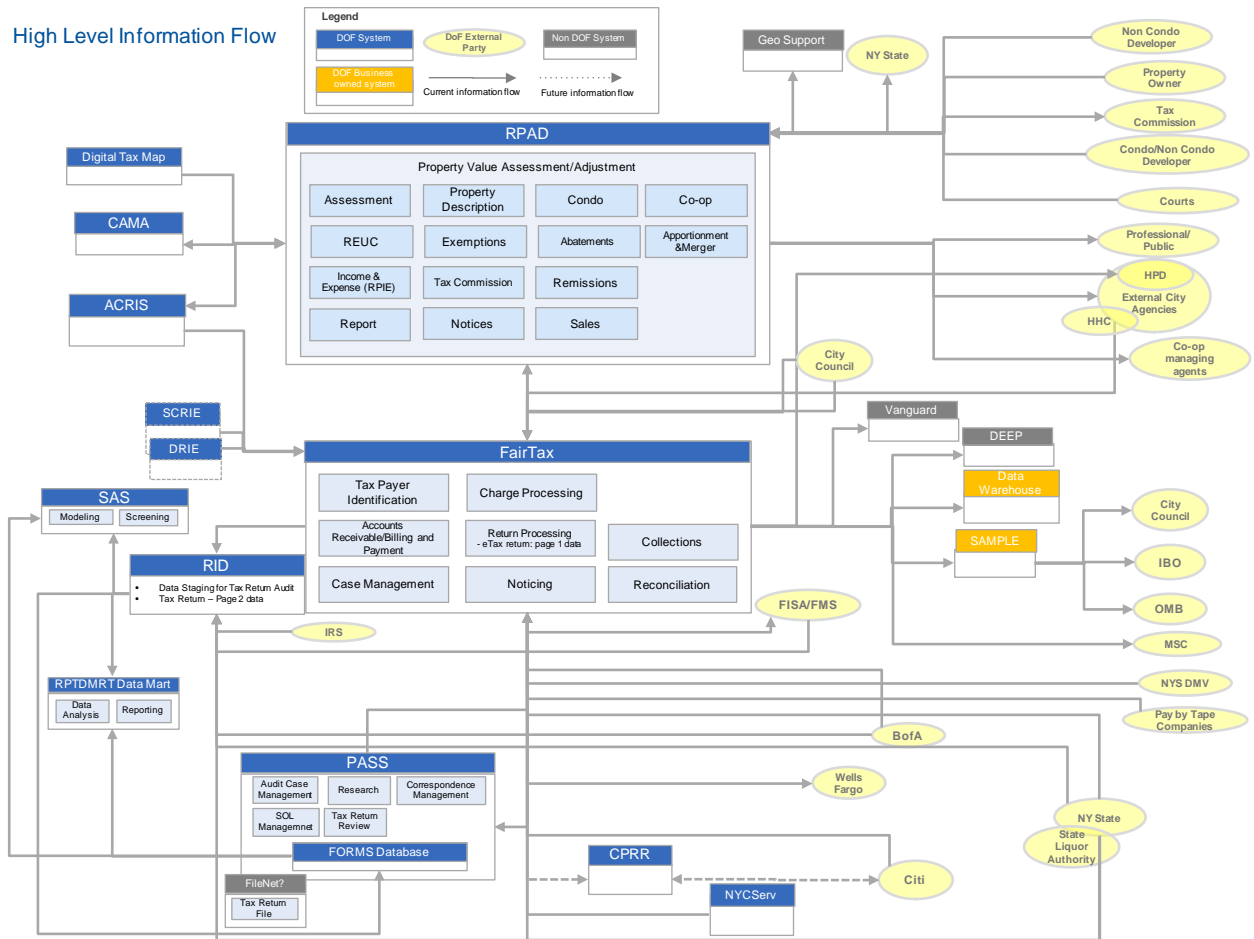
Appendix A— Sample Deliverables

Item 1— System Functional Overview



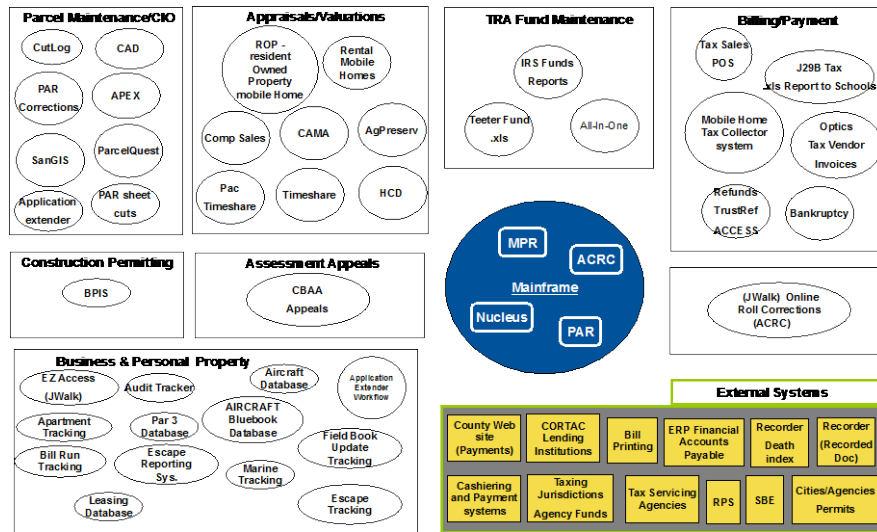
Item 2 — Data Management and Flow Mapping

High Level Information Flow

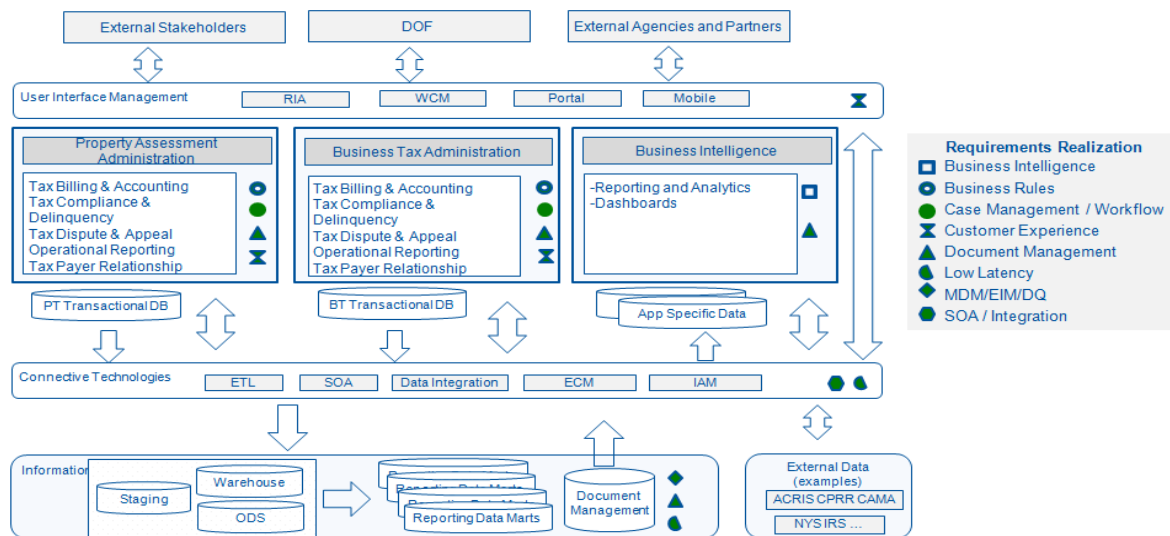


Item 3 — Application Architecture

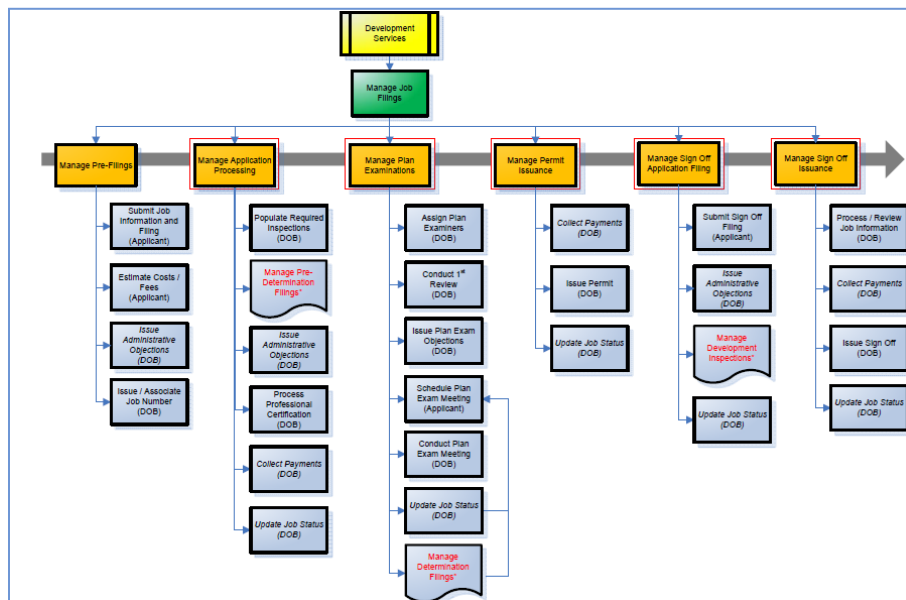
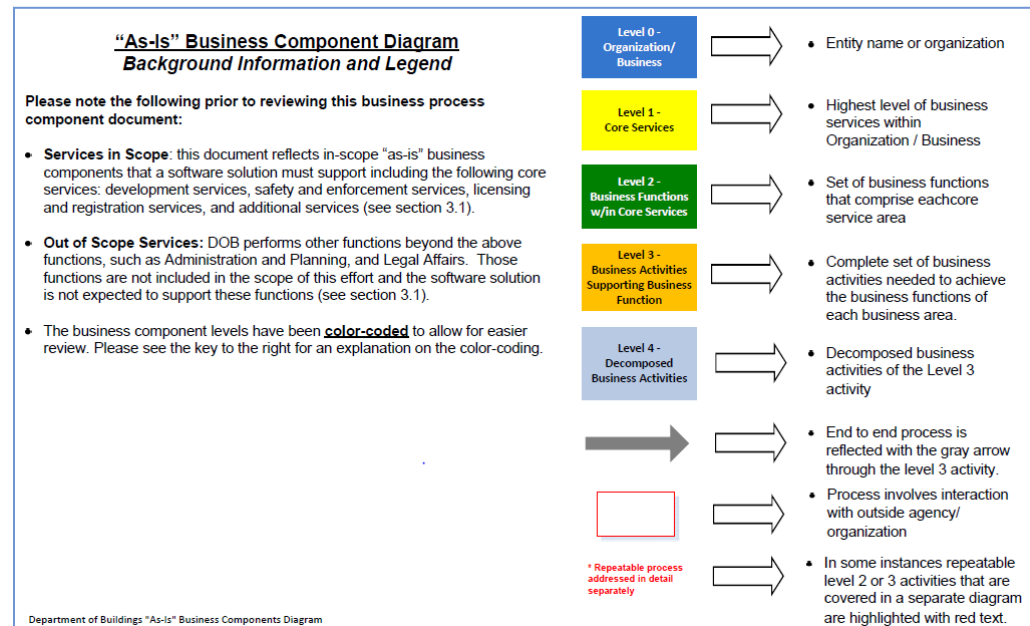
Current State



Future State Conceptual Solution Architecture



Item 3 — Process Flow Sample Excerpts



Item 4 — Sample “To-Be” Process Use-Case Excerpts

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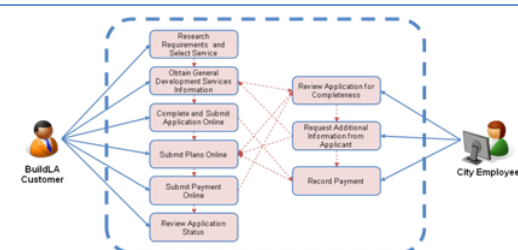
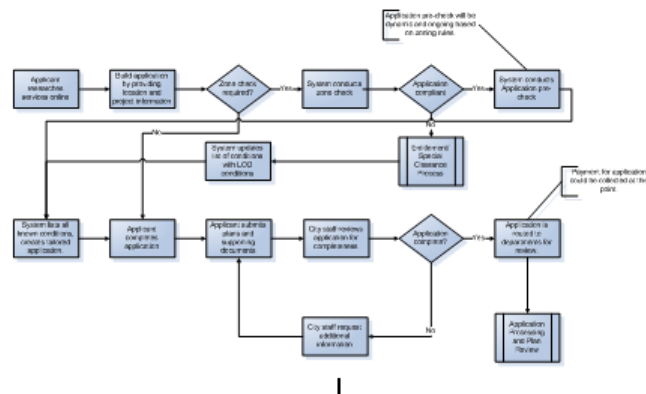
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3.0 Use Cases

3.1 General Information and Intake

The future state of development services in the City will allow users to interact with a portal to find the answers to common development related questions, as well as provide them with one entry and exit point for all the steps in the process.

This set of Use Cases assist Applicants, Prospective Applicants, and City Employees with the researching city services, applying for a service, submitting required documents, and the intake of those applications and documents.



3.1.1 Research Requirements and Select Service

Actor:

Any interested party in City Building Services, Or
The System Applicant for any City construction-related service, Or
The System Customer

Purpose and Objectives:

The goal of the System is to offer Development Services to the City's customers through a single online portal (One-Stop-Shop). To this end, the System seeks to shift the request of services from the department level, where Applicants are responsible to shepherd applications through the process by interacting with individual departments directly, to provisioning services at a City level. These higher level services encapsulate the permit processing scenarios that may span multiple departments. The System will center on meaningful business services and the technology to achieve this will be built around efficient business processes from a customer perspective, while at the same time, enabling process improvement on the backend through coordinated hand-offs between City departments processing the applications.

Interdepartmental services provide greater transparency and predictability. They will enable Applicants to have a better up-front perspective of the various steps involved in a service, expected durations and fees, and an anticipation of what will be required from the Applicant throughout the process.

The initial step of Applicants interacting with The System is to determine the appropriate service that meets their needs. For simple processes, this may be as simple as selecting "I want to..." from a list of predefined customer-centric service definitions. In more complicated cases, the system would assist the user through a structured process in a "wizard style" to propose the applicable service for the building project.

Once the service has been selected, the system presents an overview of the process the selected service entails. The system will also gather relevant information regarding the project and display to the applicant, including: property location, land use, and zoning information. This overview will include a list of specific types of review and clearances, departments involved, estimated duration of the process and expected fees.

In its final state, the City envisions that The System will include static information as well as wizard-like functionality that allow prospective Applicants to select their services based on a step-by-step, smartly configured collection of data based on the project, service or application customers are interested in. This should include the capability to address typical "gotchas" that might complicate the process for the selected service based on the application context so the Applicant is better prepared and will have fewer surprises down the road.

Trigger Events:

- The Applicant has a construction project idea or other need to obtain a City permit and would like to determine which service is applicable to obtain the appropriate permits, plan reviews, or clearances for the project.

Precondition:

- None

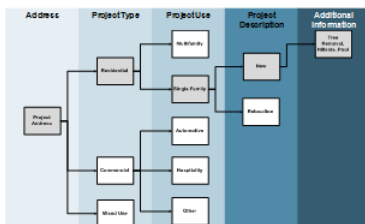
Post Condition:

- An application may be filed for a specific service or, if a non-registered user, the Applicant has the opportunity to save the current application information while logging in with their registered account or create a registered account.

Use Case Flow:

1. The Applicant connects to the The System site, either anonymously or as a registered user, and selects the option to determine the appropriate service for the Applicant's construction project.
2. The system presents a list of common services, described from the constituent's perspective ("I want to...") that may include the following:
 - a. Rezone a Property
 - b. Build a Building
 - c. Change the Use or Occupancy of a Property
 - d. Host a Special Event or Temporary Use
 - e. Perform Non-Structural Site Improvements
3. If the Applicant cannot determine the service from the list, the system assists the user to recommend the appropriate service.

7. The system will conduct an initial compliance check with the zoning code and determine if an Entitlement Application is required. Based on the compliance check, the system will notify the Applicant of one of the following outcomes:
 - a. Not Compliant by Right
 - b. Conditionally Compliant pending review of project documentation and plans
 - c. Cannot be determined by system, requires additional steps
8. If the application is not compliant by Right, the system shall prompt the Applicant to continue with "Submit Entitlement Application Package" Use Case or other necessary actions. Note: the system shall alert the Applicant that proceeding with the application without completing the entitlement process is at the Applicant's own risk. However, the system shall not preclude the Applicant from proceeding with an application.
9. The System shall, based off the System Applicant's initial responses and selections, generate a dynamic application that will ask a series of probing questions to collect as much information during the application phase as possible. For example:
 - a. The address of the project (facilitated by GIS lookup to identify zoning, historical preservation, zone change, etc.). Note: This may require the selection of multiple parcels or addresses to define the project site.
 - b. The project type (Residential Building, Commercial Building, etc.)
 - c. The project use (Multifamily House, Single Family House, etc)
 - d. Project description (Square Feet, Number of Rooms, Number of Bathrooms, Sale of alcoholic beverages, etc.)
 - e. Any additional information (Tree Removal, Hillside, Pool, etc.)



Note: The above diagram is intended to be a sample of the permitting process

10. The Applicant provides all required specifics and the system will determine what types of permits, inspections, clearances, bonds, and conditions are required.
 - a. As an option, the system shall have the capability to provide an estimated duration of the process as well as high level estimates of anticipated fees that are associated with the permitting process.

Appendix B— Business Functions

TAX COLLECTOR'S OFFICE

- AS/400 Property Tax System
- TOT and Measure T excel databases

ACCOUNTING

- payment reversal (NSF, etc.)
- payment transfer
- penalty cancellation
- transfer from secured to unsecured roll
- roll change refunds
- process stale dated warrants

BANKRUPTCY

- process bankruptcy notifications
- process bankruptcy payments
- process bankruptcy discharge notifications

BILLING

- Generate current year Secured bills
- Generate monthly Supplemental bills
- Generate current year Unsecured bills
- Validate and authorize tax bills
- Generate roll correction bills
- Generate duplicate bills
- Process publications
- Process return bills
- Process CORTAC enrollment

COLLECTIONS

- Process counter payments
- Process mail payments
- Process Lockbox payments
- Process correspondence with check
- Process RP room payments
- Process manual payment exceptions
- Receive wire transfer payment
- Process credit card/e check/home banking payments
- Process payment files
- Reconcile daily

MANAGE PAYMENT PLANS

- Process payment plan enrollment
- Generate payment plan agreement
- Generate payment plan notices

Process lapsed payment plans
Perform payment plan adjustments

MEASURE T

Process Measure T certificate applications
Process Measure T tax returns
Process Measure T tax payments
Process missed Measure T return filings/payments

PUBLIC SERVICES

Process property tax postponement certificate
Manage mobile home tax clearance certificate requests
Process parcel map requests
Segregations

SECURED DELINQUENCIES

Process Power to Sell Addenda
Process Power to Sell
Identify Tax Defaulted properties
Process publications
Prepare Agency Mailing
Prepare tax sale
Authorize tax sale
Prepare certified agency mailing
Notify tax sale parties of interest
Conduct personal visit
Prepare IRS mailing
Publish tax sale
Conduct public auction
Conduct Agreement Sale
Conduct sealed bid sale
Conduct internet sale
Perform post-sale processing
Distribute tax sale proceeds
Rescind tax sale deed
Process Excess Proceeds
Process unclaimed excess proceeds

TRANSIENT OCCUPANCY TAX

Process TOT certificate applications
Process TOT tax returns
Process TOT tax payments
Process missed TOT return filings/payments

UNSECURED DELINQUENCIES

Perform lien recording
Perform lien release

Conduct field enforcement
Process Discharge of Accountability
Process property seizure
Conduct Unsecured Tax Sale

REPORTS

Approximately 90 reports identified (not all-inclusive)

INTERFACES

Core Cashiering, Official Payments, IVR, LiveChat, Union Bank (lockbox)
RP processing machinery, website, Assessor, Controller

CONTROLLER'S OFFICE

Roll Extension of State and Local Roll
TRA Review compared to Board of Equalization Data
TRA Changes / Jurisdictional Changes
Tax Rate Calculation (aka Composite Rate which equals General tax and Debt Service Rates)
Property Tax Administration Fee Calculations
Tax Equity Allocation (TEA) Calculations
TEA Special District Adjustment
Computation of the Teetered Amount For Secured
Apportionment Factor Calculations including AB 8 (including ERAF Shift),
Unitary, Unitary Railroad, PTAF, and Supplemental.

APPORTIONMENTS

Secured (Teetered Amount)
Unsecured
Supplemental
Homeowner's Exemption Apportionments
Special Charges, Assessments, Taxes
Special Charges, Assessments, Taxes Corrections - Periodic/Unpredictable
Unitary Apportionment
Miscellaneous Apportionments (~5)
Apportionment to 13 RDA 25 Project Areas (Secured, Unsecured, Supplemental, Unitary)
Unitary Railroad Apportionment
Vehicle License Fee Computation & Apportionment
Triple flip
Fish & Game Wildlife Apportion and other In Lieu of Taxes Apportionments (5)
Redemption Apportionment
Computation of Fees to Be collected: Special Charges, Supplemental, 1915 Act Bonds
ERAF Shift Computation and Apportionment
Excess ERAF Computations

Excess ERAF Distribution
Property Tax Administration Fee (PTAF)

ROLL MAINTENANCE (REFUNDS, CORRECTIONS, ESCAPES, ETC.)

Current and Prior Year Secured
Current and Prior Year Unsecured
Current and Prior Year Supplemental

AB 26 and 1484 DISSOLUTION OF FORMER RDA CONTROLLER REQUIREMENTS

Estimated RPTTF Distribution Report to Taxing Entities and DOF
Actual RPTTF Distribution Report to Taxing Entities and DOF
Estimated RPTTF Distributions.
Actual RPTTF Distributions
Pass through Calculations
Prior Period True Up Audit/Review
Current Period ROPS Review

OTHER

Segregations
Tax Estimates for New Construction

YEAR END PROCEUDRES

Genentech or other refund settlements Accrual
Triple Flip Accrual
Other Receivables, (i.e. PTAF, Fees re: AB 26 for May and June)
Excess ERAF Accrual
Property Tax Receivable for All Rolls, including Teeter Adjustment for Secured.

REPORTING

Estimated Debt Service Amounts to School Districts
Levy Letters to All Taxing Entities
J29 School K-12 School District Report to California Department of Education
Community College District Property Tax Reports to State Chancellor's Office
Assessed Value Reports to Taxing Entities
Annual Property Tax Report to State
Annual VLF and Triple Flip Amounts Distributed
BOE Statement of County Auditor to the State
Homeowner's Exemption Claim to the State

ASSESSOR'S OFFICE

California State Board of Equalization – *Property Taxes Law Guide* REFERENCE:
<http://www.boe.ca.gov/lawguides/property/current/ptlg/property-taxes-law-guide.html>.
The Future Vision and “To Be” Use Case workshops will cover the California State Board of Equalization Property Taxes Law Guide to ensure they are incorporated into the detail functional Use Cases and requirements. This will include Division 1 Property Tax, Division 2 other tax, business tax volume 1&2, volume 3&4

Assessment Discovery Function

Review Building Permits (Assessment Description)

—Classify Building Permits-Log/NA

—Enter A/D Building Permits

Locate Building Permit Parcel Numbers

Create A/D B/P Activity TRANSACTIONS

—Audit BUILDING PERMIT logging

Locate Notices of Completion

LOCATE Probates/Wills

Discover NEW AIRCRAFT

Discover NEW BOATS

Field Check for New/Corrected Assessments

Process/Control Mandatory Audits

Administration Function (Internal)

Coordinate Real Property Audits/New Construction

Develop and Maintain Programs

Produce & Maintain PROCEDURES

—Maintain Computer Report Binders

—Maintain Computer Report Binders

—Maintain Current Assessment Roll Binders

<Maintain ASSESSMENT DISCOVERY tables

—Research/maintain CASH EQUIVALENT data

—Research/maintain RESIDENTIAL COST tables

—Research/develop P/P DEPRECIATION TABLES

<Purge Required Property Statements

—File Maintenance-APPRAISAL FILE purge

—File Maintenance-Unsecured Accounts

—Create 3 Save Tapes Daily

Produce Letters/Correspondence

Research/produce AD HOC REPORTS

<Complete Weekly Time/Production Log

—Complete Weekly Time/Production Log

—Enter and PRODUCE Weekly Time Reports

Exemption Function

Process and Control H/O Exemptions

—Process Homeowner's Exemptions Denied

—Process H/O Exemptions Maintained Report.

—Process Dup SSNs / Create H/O Tape

Process State Multiple H/O Claim List

—Create State Tape - H/O SSN

Process County Multiple H/O Claim List

—Process Renter's Credit List

- Process and Enter Homeowners Batches
- Process and Control Welfare Exemptions
- Process/Control Disabled Vets Exemptions
- Process Probate Exemptions
- Process and Control "Other" Exemptions
- Process Personal Property Exemptions
- Review Personal Property Exemptions
- Mail Exemption Forms
- Process Mailing Address Changes
- Prepare Exemption TRANSACTION

Management & Support (External)

- Process Probate Cards
- Process BOND STATEMENTS
- Process and Control Bond Statements
- Process Tax Cancellations for DA's Office
- <Provide Full Legal Description to Tax Collector
- Prepare City Assessment Roll Packages
- Prepare Parcel Docs for Redevelop Agency
- Process Redevelopment Project Reports
- <Prepare Weekly Audit Report
- Process/Control Coop Audits
- Resolve Supplemental Problems Tax Collector/Controller

Parcel Management Function

- Provide Drafting Support for Office
- Control Retired and New Parcels
- Process New Parcels
- Process NEW PCLS/Splits & Combines
- Prepare New Parcel & Owner Transaction
- Sorted by
- Major Function Center
- Assessor's Office Processes
- Prepare Retire Parcel TRANSACTION
- Prepare New Parcel Description TRANSACTION
- Update and Control Situs Address
- Prepare Situs Address TRANSACTION
- Create Change Situs Address TRANSACTION
- Prepare New Accounts/Locations
- UPDATE Subdivision Index (RAND)
- Update and Control New Tax Rate Areas
- Prepare Change Tax Rate Area TRANSACTION
- Maintain Assessor Parcel Map Books (5)
- Process Mailing Address Changes

Public Service Function

Provide Public Service-Public Files
—Provide Public Service-Parcel/Map Info.
—Provide Public Service-RP Valuation Info.
—Provide Public Service-Exemption Section
--Provide Public Service-Personal Property
—Provide Public Service-Transfer Section
--Provide Public Service-Personal Property
--Provide Public Service-Standards Section
Provide Senior Citizens Forms Assistance

Roll Change/Appeals Function

Process and Enter Assessor Change Batches
—Process Assessor's Changes (Exemptions)
--Process and Control Assessor's Changes
Perform Audits
--Process Audits
Prep/Present Assessment Appeals Hearing Values
Assessor's Office Processes
—Process and Enter Annual Appeals Report.
—Provide Assessment Appeals Support
—Process and Control Assessment Appeals
Process Roll Corrections
—Process/Control Roll Corrections
Process Escapes on Mobile Homes

Roll Management Function

Prepare SUPPLEMENTAL BATCHES
—Process and Enter Supplemental Batches
—Process Supplemental/Secured Trans Forms
Prepare Supplemental Delete Assessment TRANSACTION
* Prepare Complex Supplemental
—Prepare Supplemental Roll/Prior Assessment TRANSACTION
—Check and Verify Supplemental Roll Reports
—Prepare Supplemental Assesse Name Correction TRANSA
—Process Complex Supplemental
Process Relevant SB813 Properties
Process Calamity Claims
Process Territory Control Cards-TC
Identify/Set-up Direct Assessments
—Mail Direct Assessment Notices
Process Business Property Statements
—File Business Property Statements
Review Business Property Statements
—Track Business Property Statements
<Process Boat Val/Report assessments

- Enroll NEW BOATS
- <Process Aircraft Valuation Report
- Enroll NEW AIRCRAFT
- Process Assessment Control Cards-AC
- Process Late Filer BGU's to AC Cards
- Process/Control NEW CONSTRUCTION Exclusions
- Process/Control N/C EXCLUSIONS for DISABLED
- Process/Control N/C EXCLUSIONS for SEISMIC SAFE
- Research/Process Sales Tax Permits
- Research/Process/Control Probate Clearance
- Process Post Roll Lease Prop Valuations
- Process Leasehold Tenant Imp assessments
- Process and Enter Partial Interest Forms
- Process Possessory Interest assessments
- Process and Control S/C Tax Postpones
- Process TAX SEGREGATIONS
- Process Tax Segregations
- Process and Control Tax Segregations
- Check Verify & Control SEC'D Roll O/P
- Process Open Roll CORRECTIONS
- Check and Verify Assessor's Changes
- Process Appeals
- Process and Enter Appeals Tape Batches
- Process/Control Completed Audits
- Process Changes/UPDATE Mailing Address
- Create Mailing Address TRANSACTION
- Prepare Supplemental Mail Address Change TRANSACTION
- <Retrieve Unsecured Account Files
- Process and Enter Secured Batches
- Process and Enter Unsecured Batches
- <«WORK REVIEW/checking
- «<Prepare Batches for Systems Updates
- <«Analyze/resolve EDP PROCESSING problems
- «<Review /Correct Computer Edits/Reports
- «<Transport Data Tapes to ISD

Transfer Function

- <Print Recorded Documents
- Maintain Transfer Document Archive
- File Deeds
- Locate Parcels with Complex Description
- Process/Control Deeds
- CHAIN/Log/Verify Deeds
- Process AUTO ENROLLMENT deeds

- Read/Analyze/Process N/S & Non-D/E Transfers
- * Read/Analyze/Process N/S Problem Deed
- Process PROP. 58 Transfers
- Process PROP. 60 Transfers

Process Probates

- Read/Analyze/Process Probate Transfers
- Read/Analyze/Process Corp/Partnership Transfers
- Read/Analyze/Process Unrecorded Transfers
- Research/Process/Control Bulk Transfers
- <Determine Transfer Confirmation Code
- Confirm Res. Sales Transfers
- Create Mailing Address TRANSACTIONS
- AUTHORIZE Mailing Address UPDATE
- Create Change Owner Name(s) TRANSACTIONS
- AUTHORIZE Parcel Owner Name(s) UPDATE
- Create Transfer Confirmation TRANSACTIONS
- AUTHORIZE Trans/Confirmation TRANSACTIONS
- <Mail LABELS (1st,2nd,3rd requests)
- Read/Analyze/Process Corrections
- <«Work Review/Update File
- ASSIGN transfer document WORKLOAD

Valuations Function

- Process LIEN DATE CHECK Activities
- Process & Control Supplemental Assessment Forms
- Prepare VALUATION NOTICES for mailing
- Process Returned Valuation Notices
- Calculate Prior Year's Assessment Roll
- <Review parcel Valuation History
- Review parcel Ownership History
- <Process POSSESSORY INTERESTS
- Calculate Partial Interest values
- Value Possessory Interests
- Process Non-Sale Transfer Valuations
- Process EXEMPTION valuations
- <Process New Construction
- Process Alterations
- Process Additions
- Mail New Construction Questionnaires
- Process/Control Returned N/C Questions
- Process PROP. 60/90 Transfers
- Process Section 68 Transfers
- Process PROP. 58 Transfers
- Process Bulk Transfer assessments

- Value Bulk Transfers
- Calculate CAPITALIZED values
- Research/Abs Capitalization Rate range
- Research/Abs Operating Expenses & range
- Calculate Operating Expenses
- Calculate Gross Potential Income (GPI)
- Calculate Replacement Cost / RCNLD
- Research/Abstract Rental Rate range
- Calculate Vacancy & Collection Loss %
- Value Leasehold Tenant Improvements
- Research/Abs Gross Rent Multiplier range
- Classify Post Roll Lease Property
- Value Post Roll Lease Property

Process Sales

- Identify Residential Condo Sales
- Identify/Post Condominium Sales
- Mail Sales Confirmation Letters
- Process/Control Returned Sales Questions

Value Residential Sales

- Create Res. Sales Valuation TRANSACTION
- Create Sales Confirmation TRANSACTION
- Process CO-OP Apartment values
- Analyze NEIGHBORHOOD Statistics
- Identify Comparable Residential Sales
- Identify Comparable Commercial/Industrial Sales
- <Prepare Property Use Code TRANSACTION
- Update Res Property Characteristics
- Prepare Res LAND Characteristics TRANSACTION
- Prepare Res IMP Characteristics TRANSACTION

Process and Enter Residential Batches

- Process Residential File U/D Documents
- Update Apt Property Characteristics
- Prepare Apt LAND Characteristics TRANSACTION
- Prepare Apt IMP Characteristics TRANSACTION
- ___ —Process and Enter Apartment Batches
- Process Apartment File U/D Documents
- Update Com/Industrial Property Characteristics
- Prepare Territory Control Batches-TC
- Classify Business Property on Statements
- Value Business Property Statements
- Factor Amounts on Property Statements
- Process Bus Prop Statement NON-FILER (BGUs)
- Value Bus Prop Statement NON-FILER (BGUs)

Value Boats

- Process Boat Valuation Report
- Research/Process Boat Changes in Ownership

Value Aircraft

- Prepare Assessment Control Batches-AC
- Process Rural UNSECURED values
- Review Special Properties
- Process SECTION 11 (Local Gov't owned)
- Process S.F. WATERSHED values
- Process California Water Service values
- * Process Agricultural Preserve Values
- Process Timber Preserve Zone(TPZ) values
- Process OIL COMPANY report values
- Process OIL WELLS & QUARIES
- Process MILLS ACCOUNT values
- Process FOREIGN IMPROVEMENT values
- Process Mobile Homes (Admin)

Process Calamities

- Process Calamity Replacement Values
- Process Declines in Value
- Process Mobile Homes (Declines)
- Process Decline Restoration Values
- Process Audit Communiques
- Process Tax Collector APPRAISALS
- Process Assessor's Changes
- Process Requested Reviews (complaints)
- Document BASIS OF APPRAISAL
- File Appraisal Files and Documentation
- File Unsecured Account Files/Documents
- <Process and Control Building Plans
- Create/Update Appraisal File Drawings
- Prepare Valuation TRANSACTION
- Retrieve Appraisal Files
- Prepare/Log Activity TRANSACTIONS
- Prepare Activity Clearing TRANSACTION
- Prepare District/Neighborhood TRANSACTION
- Research/Process/Control Hand Bills
- Process Leaseholds
- Process Utility Properties
- Prepare/Process Batches - Res/Apt Systems

Clerk-Recorder Division

- Environmental Impact Fee
- Fictitious Business Name

- Death Certificate
- Cashiering
- Counter Requests/Inquiries
- Public Records
- Maps
- Parcel History
- Property Ownership
- Liens
- Deeds
- Public Terminal Coordination
- General Information
- Microfilm Assistance
- Deed search prior to 1985
- Examine Recordable Documents and Maps
- Examine e-Recording Documents
- Scan Recorded Documents
- Index Scanned Documents
- Index e-Recorded Documents
- Label Recorded Document
- Use GIS mapping to verify property info on recordable documents and maps
- Mail back recorded original deeds
- Verify Indexed documents
- Receive, sort, distribute mail
- Examine mailed documents, return incorrect documents with letter explaining inaccuracies
- Log non-disclosed transfer tax (separate declaration)
- Log Notice of non-completion and preliminary notices

Election Management

- Produce ELC Maps [Districts, Precinct, etc.]
- Create Delivery Routes for Delivery Drivers
- Register Voters
- Conduct ELC Voter Outreach
- Manage Key Outreach Programs [i.e. school district, student video, poll worker, etc.]
- Create & maintain iCARE [internal website]
- Create & maintain smcare & shapethefuture [external websites]
- Provide Web Access Trends & Statistics to DEPT Head & Deputy's

Summary Description of Existing Information Systems

The core systems supporting the Property Assessment function are batch transaction based systems that run on an IBM AS/400. The basic processing cycle consists of data entry followed by a batch process of data editing, file updates, and the production of proof-lists and edit reports.

On-line inquiry transactions provide access to the major master files supporting the core batch systems. The approach taken to providing on-line inquiry was to create duplicate

copies of the master file data under a DataCom/DB database. This duplicated data is then used to support on-line viewing of the data. No addition, modification, or deletion of data is allowed by these on-line transactions; they are simply a means of quick and easy retrieval of "master" file information.

Several interactive applications supplement the batch and inquiry transactions. With these applications, data entry, editing and correction processing more effectively integrate into the Office's work flow. These systems (e.g., Assessment Discovery and "Early" Transfer) eventually generate transactions for the older batch transaction based core systems. However, given the real-time, up-front editing and processing support supplied by the interactive applications, the batch transactions process relatively efficiently.

A fourth segment of applications supporting Property Assessment are a set of PC workstation based tools, most supporting the Real Property Appraisers. These tools were developed under a philosophy of quickly providing low cost automation to meet specific areas of need. Typically, the development of these tools was a response to the lack of functionality and/or responsiveness of the mainframe systems. However, the PC workstation environment that presently exists within the Assessor's Office is one of standalone, non-networked work-stations. Thus these tools are independent, standalone programs rather than part of overall application architecture. Additionally, the lack of an effective method of data transfer between the AS/400 and PC work stations means that there is significant manual transfer of information between these tools and the core systems on the AS/400.

The final major component of the Property Assessment application environment is an application to maintain a flexible, comprehensive database oriented file structure

Any questions regarding this Proposal should be addressed to:

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Exhibit B- Cost Proposal for Services Described in Exhibit A

A. Pricing Proposal Overview

Gartner will conduct the Consulting Tasks outlined in the Statement of Work attached to the Agreement as Exhibit A (SOW) for a total fixed price of US\$1,278,050. The total cost for Phases 1-4 is US\$983,447. This total price is based firm fixed pricing for each of the seven phases is as follows:

- Phase 1: US\$226,193
- Phase 2; US\$344,206
- Phase 3: US\$275,365
- Phase 4: US\$137,683
- Phase 5: US\$206,222
- Phase 6: US\$88,381

The firmed fixed prices quoted are from our State and Local Government rate card which represents a substantial discount off of our normal commercial rates. However, we are agreeing to perform the services described in the SOW on a fixed price basis. This means that Gartner is committing to producing the deliverables described in the SOW for the prescribed cost, subject to the assumptions and other conditions documented in SOW, regardless of the actual effort required.

We prefer to work under fixed fee arrangements as this type of contract has the effect of aligning consultant and client incentives to maintain a tight scope and creates a laser focus on getting the project completed as efficiently and quickly as possible. Gartner is willing to discuss other engagement models with County at any time.

Gartner's firm fixed bid is inclusive of out of pocket expenses required for our team members to travel to the County's offices and any other work locations located in San Mateo County.

B: Invoicing

Gartner will bill for professional services at the conclusion of key deliverables associated with the tasks described in our Technical Proposal. The Milestones and the associated invoice amounts are described in the table on the following page

Phase 1	Step 1	Project Initiation and Data Gathering	Project Plan Initial Project Status Report	56,548
	Step 2	Business Problem Definition	Interview Guides	67,858
	Step 3	Business Problem Validation	As Is Evaluation Report and Review Meeting High Level As-Is Process Flows	101,787
	Phase 1: Total			226,193
Phase 2	Step 1	Define Future State Solution Vision	Solution Vision and Goals Report High Level Future State Data Inventory/Architecture	51,631
	Step 2	Define Future State Processes	Draft "To Be" Processes and Use Cases	68,841
	Step 3	Define Future State Use Cases	"To Be" Processes and Use Cases	103,262
	Step 4	Define Future State Functional Requirements	Future State Functional Requirements	86,052
	Step 5	Define Non-Functional Requirements	Future State Non Functional Requirements	34,421
	Phase 2: Total			344,206
Phase 3	Step 1	Document Business Case	Business Benefits Summary Report	41,305
	Step 2	Conduct Market Scan of Potential Solutions	Property Tax System Market Scan	55,073
	Step 3	Solution Alternative Definition	Solution Alternative Definitions and Evaluation Criteria	27,537
	Step 4	Conduct Alternatives Analysis	Alternatives Analysis Draft Report	41,305
	Step 5	Develop Future State Conceptual Architecture	Conceptual Solution Architecture Report	46,812
	Step 6	Document Proposed Strategy and Roadmap	Strategy and Roadmap Report	63,334
Phase 3: Total				275,365
Phase 4	Step 1	Finalize Requirements	Updated Requirements Based on Solution Selected	41,305
	Step 2	Develop Procurement Plan	Detailed Procurement Plan for Acquiring New System	45,435
	Step 3	Develop RFP Evaluation Criteria, Tools and Process	RFP Evaluation Criteria, Tools and Process	50,943
Phase 4: Total				137,683
Total Phases 1-4				983,447
Phase 5	Step 1	Develop RFP Document	RFP Document	154,667
	Step 2	Issue RFP	Gartner Signoff of RFP Package and Bidders Conf. Support	51,555.6
Phase 5: Total				206,222
Phase 6	Step 1	Evaluate and Select Vendor	Vendor Response Evaluation Report	88,381
Phase 6: Total				88,381
Total Phases 5-6				294,603
Grand Total				1,278,050

C: Pricing Related Assumptions and Conditions

All invoices are payable net 30 days from date of invoice unless otherwise negotiated with the County as part of this agreement

While we do not itemize billing for professional services, we agree and will comply with any reasonable requests for records substantiating our invoices.

If the County requires a purchase order (PO) number, please provide a copy of the PO, at the time any binding agreement is executed.

Any pre-printed terms on the PO that are in addition to or in contradiction of the terms of this agreement shall be inapplicable.

All invoices are payable net 30 days from date of invoice. While we do not itemize billing for professional services, we agree and will comply with any reasonable requests for records substantiating our invoices.

D: Change to Scope

The pricing contained in this document is for the services as in the SOW.

All County requests for changes to the Proposal must be in writing. As soon as practicable, Gartner shall advise County of the cost and schedule implications of the requested changes and any other necessary details to allow both parties to decide whether to proceed with the requested changes.

The parties shall agree in writing upon any requested changes prior to Gartner commencing work. As used herein, "changes" are defined as work activities or work products not originally planned for or specifically defined by this Proposal. By way of example and not limitation, changes include the following:


- Any activities not specifically set forth in the Technical Proposal
- Providing or developing any deliverables not specifically set forth in the Technical Proposal
- Any change in the respective responsibilities of Gartner and County set forth in this Proposal, including any reallocation or any changes in engagement or project manager staffing
- Any rework of completed activities or accepted deliverables
- Any investigative work to determine the cost or other impact of changes requested by County
- Any additional work caused by a change in the assumptions set forth in either this document or the Technical Proposal
- Any delays in deliverables caused by a modification to the acceptance criteria set forth in this document or the Technical Proposal
- Any changes requiring additional research analyst time or changes to research analyst resources

E: Authorization

This Proposal is submitted Agreement between the County of San Mateo and Gartner, Inc. dated August 11, 2014. This document forms the basis for the creation of a legal contract between Gartner and the County.

When agreed to by Gartner and the County, this Cost Proposal and the Technical Proposal will be an attachment to and governed by the aforementioned legal contract between the parties.

SUBMITTED ON BEHALF OF GARTNER, INC.



Kirk Kirkpatrick, Managing Partner

PRINT NAME AND TITLE

28 June 2014

DATE