

# Rock County, Wisconsin

*Strategic planning process*

*RFP No. 2022-06*

**February 11, 2022**



February 11, 2022

Mr. Shilo Titus, Purchasing Manager  
Rock County Courthouse  
Purchasing Division  
51 S. Main Street  
Janesville, WI 53545

Baker Tilly US, LLP  
4807 Innovate Lane  
Madison, WI 53718  
T: +1 (608) 249 6622  
bakertilly.com

Dear Mr. Titus:

Thank you for inviting Baker Tilly US, LLP ("Baker Tilly") to prepare this proposal to provide strategic planning services to Rock County ("the County"). We understand the County needs a highly qualified consulting partner to provide guidance, technical support, and best practices-based advice in support of a comprehensive strategic planning program. A successful outcome will include the articulation of compelling statements of the County's mission, vision, and values along with an actionable set of specific goals, objectives, and initiatives to drive future actions. To achieve these results, you require a consulting team with extensive municipal organizational strategic planning experience to assess the organization and its business practices and design an innovative roadmap to enable and enhance competitiveness over the long term. Baker Tilly is that team.

As one of the Nation's leading multi-disciplined professional services firms—"the advisory CPA firm of the future, today"—serving the strategic needs of local government is at the very heart of what we do. For projects of all sizes, hundreds of cities, counties, school districts, and special purpose authorities rely on Baker Tilly to help them address their highest priority challenges with clarity and pinpoint precision. Our experience is substantial, our knowledge is deep, and our record of success in helping organizations comparable to yours is verifiable.

### Why Baker Tilly?

Among the many reasons Baker Tilly is singularly qualified to become your strategic planning partner are the following:

- **Rock County has been a valued client for more than 20 years.** Having performed numerous consulting projects and audit services for the County, you are an important client of our firm, and we will treat your strategic planning process as a top priority project. We also have long-standing relationships with municipalities within your County, including the City of Beloit, City of Janesville and City of Edgerton. Additionally, Baker Tilly Partner Andrea Jansen, the County's independent financial auditor, will serve as the quality assurance executive on the strategic planning engagement. We look forward to expanding our mutually beneficial relationship with the County.
- **We have extensive experience in the design and execution of municipal strategic planning programs at both the departmental and enterprise levels.** Representative past clients supported by the Baker Tilly Team include the cities of Ankeny, Iowa; Ann Arbor, Michigan; Westminster, Colorado; McKinney, Texas, to name but a few.
- **We are more than economic development and organizational strategists alone.** Instead, we offer the County a highly skilled, purpose-built team of strategic advisors and public sector operations specialists, and economic development professionals, each possessing a sophisticated understanding of the multi-dimensional characteristics of local government policymaking, growth and development and municipal service delivery.

Rock County  
February 11, 2022

- **Our strategic planning approach is visual, engaging, and inclusive.** The D<sup>4</sup> methodology—Define, Design, Develop, and Deploy—is directly aligned with the scope of services the County seek. The methodology is supported by graphical facilitation techniques and collaborative technology tools and have been successfully applied in numerous strategic planning assignments. D<sup>4</sup> provides a structured, yet flexible, framework for developing and deploying an action-oriented strategic plan tailored to achieve the County’s short- and long-range needs.

Helping public leaders succeed is not just our livelihood, it is our passion. We are confident that a careful review of our proposal, the quality of our team, and our prior work with similar organizations on directly comparable projects, will demonstrate that the Baker Tilly team is your clear choice for this important engagement.

Our proposal is submitted with and conditioned on the understanding that, if selected, we will be afforded the opportunity to negotiate mutually agreeable contract terms and conditions. Should you have any questions or desire further information, please feel free to contact me at any time.

Sincerely,

A handwritten signature in blue ink that reads "David W. Eisenlohr". The signature is fluid and cursive, with the first letters of each word being capitalized and prominent.

David Eisenlohr  
Baker Tilly US, LLP  
+1 (214) 577 6525 | [david.eisenlohr@bakertilly.com](mailto:david.eisenlohr@bakertilly.com)

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Baker Tilly is responsive, interactive and produces the results they say they will. We are very pleased with the services they provide and consider **Baker Tilly a leader among accounting and advisory firms.**

*Controller*



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# Proposer checklist—Appendix A

This checklist has been provided to assist Proposer in complying with RFP requirements. All items listed must be included with the Proposal. To assist in Proposal evaluation, Proposer shall cross-reference the required item with the applicable page in the Proposal.

Proposer shall check off each item as it is assembled into the proposal, enter the page number where the item can be found in the proposal, detach the checklist from the RFP and submit it as part of the Proposal.

<u>Item No.</u>	<u>Format</u>	<u>Proposal Page</u>
✓ <u>      </u> Original + 10 Copies of Proposal	As specified in RFP	<u>N/A</u>
✓ <u>      </u> Proposer Checklist (this form)	Appendix A	<u>1</u>
✓ <u>      </u> Vendor Profile	Appendix B	<u>2</u>
✓ <u>      </u> Pricing	Appendix C	<u>33</u>
✓ <u>      </u> Vendor Proposal Certification	Appendix D	<u>36</u>
✓ <u>      </u> Project Schedule, Methodology- Approach and Management Summary	Narrative	<u>37</u>
✓ <u>      </u> Contractual Issues	Narrative	<u>38</u>
✓ <u>      </u> Subcontractors and Third Party Assignments	Narrative	<u>39</u>

# Vendor profile—Appendix B

*What makes Baker Tilly different from other firms? Our solution truly begins by listening to what Rock County needs.*

## Company Information

### Corporate office

**Baker Tilly US, LLP**  
205 North Michigan Avenue  
Chicago, IL 60601  
+1 (312) 729 8000  
[www.bakertilly.com](http://www.bakertilly.com)

### Local office

**Baker Tilly US, LLP**  
4807 Innovate Lane  
Madison, WI 53718  
+1 (608) 249 6622

### Contact

David Eisenlohr  
Managing Director  
2500 Dallas Parkway  
Plano, TX 75093  
+1 (214) 577 6525  
[david.eisenlohr@bakertilly.com](mailto:david.eisenlohr@bakertilly.com)

### Offering our resources: Baker Tilly at a glance

We dedicate ourselves to delivering efficiency, quality, creativity, innovation and forward-thinking solutions. We are passionate about enhancing and protecting our clients' value, which is a collective effort by everyone across our firm.

Rock County will receive an exceptional experience for your management team and—ultimately—your customers. Below are some key facts about our firm.



**9th**

largest accounting firm in the U.S.



**6,000**

team members



**500**

partners



**1,983**

Certified Public Accountants



**\$1B**

firm revenue in FY21



**60+**

U.S. office locations



**250+**

workplace and culture awards

#### COMPREHENSIVE EXPERIENCE TO SERVE YOU

*Rock County will receive support and guidance from a respected firm that continues to grow – as evidenced by INSIDE Public Accounting naming Baker Tilly as the ninth largest accounting firm in the U.S. on their 2021 Top 400 Firms list.*

## Celebrating 90 years in serving our valued clients

As a future-looking firm, we celebrate 90 years in the marketplace by honoring our roots and continuing to shape our future. We embrace the fact that business can't stand still—and we won't stand still. As we help our clients identify new needs and opportunities, we innovate and change to work better. We celebrate where we came from and how far we have come—which is essential to knowing who we are and where we are headed.



One thing has not changed in 90 years: **our shared passion for enhancing and protecting our clients' value.**

As we reimagine our lasting impact, we remain grounded in our timeless core values. Through dedication, creativity and never standing still, Baker Tilly will become more connected to our clients, our people, our communities and our profession.

## Standing on our values

Our core values infuse our culture and drive the way we plan to work with Rock County. They are what we believe and what we expect from each other. They guide our decisions, inspire our actions and gauge how we do business. They are shorthand for what we stand for—and what we stand against. Our core values are fundamental and timeless and come to life through our own experiences and personal expression. Our core values are highlighted below.

				
<b>BELONGING</b>	<b>COLLABORATION</b>	<b>INTEGRITY</b>	<b>PASSION</b>	<b>STEWARDSHIP</b>
<p>We foster a deep level of mutual respect where each one of us feels seen, heard, valued and connected. We commit to a diverse and inclusive workplace upheld by fairness, compassion and equality.</p>	<p>We are at our best when we work together. We build on our collective strength to achieve more than we can as individuals.</p>	<p>We do the right thing, for the right reason, every day. Honesty, trust and keeping our promises are paramount to our success.</p>	<p>We put forth our best effort every day for the benefit of our people, clients and firm. There is a sense of urgency and relentless energy in everything we do. We love our profession and take great pride in it.</p>	<p>We invest for the future with the intention of leaving everything better. We strive to make a positive difference and leave a proud legacy.</p>

### SHARED CULTURES, VALUES, PHILOSOPHIES AND GOALS

*Rock County and Baker Tilly have a strong cultural fit, and our commonalities will lay the foundation for trust, open communication, a seamless project approach and an enduring relationship.*

## Pairing local services with national resources

Baker Tilly was founded 90 years ago in Waterloo, Wisconsin and state and local governments were among our earliest clients. The firm's state and local government practice was formally organized more than 50 years ago. We began as a public accounting firm specializing in canning factory audits. Since that time, we have grown with more than 40 different business combinations, each with its own rich history, expanding our presence coast to coast and globally and expanding our scope across industries, services and areas of expertise.



Today, we serve more than 3,100 state and local governments. Our Wisconsin state and local government group includes approximately 60 dedicated professionals with deep experience serving similar cities, counties, villages, townships, and other public sector entities at the state and local levels of government. Below is a complete list of our Wisconsin clients.

### Wisconsin cities

Baraboo  
 Bayfield  
 Beloit  
 Black River Falls  
 Blair  
 Brookfield  
 Cedarburg  
 Columbus  
 Cudahy  
 Delavan  
 Eau Claire  
 Edgerton  
 Fitchburg  
 Fort Atkinson  
 Fox Lake  
 Franklin  
 Glendale  
 Greenfield  
 Hartford  
 Horicon  
 Janesville  
 Jefferson  
 Juneau  
 Kewaunee  
 Madison  
 Mayville  
 Mequon  
 Milwaukee

Monroe  
 Muskego  
 Neenah  
 New Berlin  
 New Holstein  
 New Richmond  
 Oak Creek  
 Oconomowoc  
 Omro  
 Osseo  
 Port Washington  
 Racine  
 Reedsburg  
 Rhineland  
 River Falls  
 Saint Francis  
 Schofield  
 Seymour  
 Sheboygan  
 South Milwaukee  
 Sparta  
 Stanley  
 Stevens Point  
 Stoughton  
 Sun Prairie  
 Verona  
 Waterloo  
 Watertown  
 Waukesha

Waupun  
 West Bend  
 Whitehall

### Wisconsin townships

Brockway  
 Brookfield  
 Brooklyn  
 Cedarburg  
 East Troy  
 Hartford  
 Lisbon  
 Lodi  
 Madison  
 Merton  
 Mukwonago  
 Oconomowoc  
 Oregon  
 Oshkosh  
 Pleasant Springs  
 Springfield  
 Vernon  
 Washington

### Wisconsin villages

Alma Center  
 Bangor  
 Bayside  
 Belgium  
 Belleville

Big Bend  
 Brownsville  
 Butler  
 Cadott  
 Cambridge  
 Campbellsport  
 Clayton  
 Cottage Grove  
 Deerfield  
 DeForest  
 Eagle  
 Eleva  
 Elk Mound  
 Elm Grove  
 Fox Point  
 Fredonia  
 Friendship  
 Germantown  
 Grafton  
 Hales Corners  
 Hartland  
 Hawkins

Hustisford  
 Kewaskum  
 Kohler  
 Lac La Belle  
 Lannon  
 Maple Bluff  
 McFarland  
 Monticello  
 Mount Horeb  
 Mukwonago  
 Necedah  
 North Fond du Lac  
 Pewaukee  
 Pleasant Prairie  
 Sauk City  
 Shorewood Hills  
 Sturtevant  
 Sullivan  
 Theresa  
 Thiensville  
 Trempealeau  
 Turtle Lake

Walworth  
 West Baraboo  
 West Milwaukee

**Wisconsin counties**

Bayfield County  
 Dane County  
 Green County  
 La Crosse County  
 Lafayette County  
 Marquette County  
 Marathon County  
 Milwaukee County  
 Rock County  
 Racine County  
 Sauk County  
 Shawano County  
 Waukesha County  
 Walworth County  
 Washington County

**Other Wisconsin entities**

Aging and Disability Resource Center of Central Wisconsin  
 Baraboo District Ambulance Service  
 Beloit Business Improvement District, City of  
 Big Muskego Lake District  
 CDA of the City of Baraboo  
 CDA of the City of Beloit  
 Dane County Housing Authority  
 Eau Claire City Housing Authority  
 Eau Claire Redevelopment Authority  
 Focus on Energy Program  
 Frank L Weyenberg Library of Mequon-Thiensville  
 Hartford Community Development Authority  
 Indianhead Federated Library System (Eau Claire)  
 Lakeshores Library System (Waterford)  
 Milwaukee Area Domestic Animal Control Commission (MADACC)  
 Milwaukee Area Technical College  
 Milwaukee County Federated Library System  
 Milwaukee Economic Development Corporation  
 Milwaukee Metropolitan Sewerage District  
 Milwaukee Public Schools  
 North Shore Fire Department (Brown Deer)  
 North Shore Water Commission (Milwaukee)  
 Northern Waters Library Service (Ashland)  
 Oak Creek Water & Sewer Utility

Outagamie Waupaca Library System  
 Redevelopment Authority of the City of Milwaukee  
 State of Wisconsin Environmental Improvement Fund  
 Stoughton Housing Authority  
 University of Wisconsin Division of Intercollegiate Athletics  
 Walworth County Economic Development Alliance (WCEDA)  
 Waukesha County Technical College  
 Waukesha Housing Authority  
 WHA Radio and Television  
 Wisconsin Center District (WCD)  
 Wisconsin Educational Communications Board  
 WPPI

## Aligning key engagement team members with your goals

Your handpicked team of professionals offers a collaborative focus supported by the breadth and depth of our firm’s national resources. We believe in strong personal relationships, and this means a personal interest in Rock County from some of our most experienced team members. Engagement team members are introduced below, and complete resumes are available in the **Attachment A**.

### INTENTIONALLY SELECTED ENGAGEMENT TEAM FOR ROCK COUNTY

#### *Engagement strategy leadership team*



**David Eisenlohr – Managing director**

#### ***Project manager/lead strategist***

David will serve as the overall engagement director and primary point of contact with Rock County. He will oversee all aspects of the assignment.

David has helped cities, counties, state and local government agencies and special purpose districts and authorities improve their performance and results for more than 30 years, first as an operational manager and then as a highly regarded management consultant. An insightful analyst and skilled facilitator, he works closely with governing bodies and senior leadership teams to help them develop strategic clarity, establish priorities, improve organizational performance, and streamline their business processes and technologies.

Among the many public and not-for-profit organizations for whom David has completed strategic planning assignments are the City of Ann Arbor, Michigan; the City of Ankeny, Iowa; the City of Arlington, Texas; the City of Kansas City, Missouri; the City of Westminster, Colorado; New Hanover County, North Carolina, the Big XII Athletic Conference, the Oklahoma Municipal League, and the National Procurement Institute. He is currently leading Baker Tilly’s strategic planning project for the City of Sheboygan, Wisconsin.

**INTENTIONALLY SELECTED ENGAGEMENT TEAM FOR ROCK COUNTY**

***Engagement strategy leadership team***



**Peter Haney, MPPA, CCIM – Project manager**

***County engagement lead***

Peter provides management and risk consulting services to public sector clients. As a Certified Continuous Improvement Manager (CCIM), Peter specializes in delivering value through the use of continuous improvement methodologies in all client deliverables and recommendations. Prior to his employment at Baker Tilly, he worked at a Fortune 100 financial services firm as a member of their three-year leadership development program, primarily as an internal management consultant and continuous improvement consultant.

Peter was instrumental in the strategic planning project for Lake Worth, Texas and Warsaw, Indiana.



**Andrea Jansen, CPA, CFE – Partner**

***Quality assurance partner***

Andrea specializes in providing accounting, auditing and IT risk assessment services to the public sector, including municipalities, counties, utilities and school districts. Andrea is the public sector leader for Baker Tilly’s technology risk community of practice. She is a certified fraud examiner.



**Melanie Varghese – Consulting manager**

***Change management lead***

Melanie is a consulting manager specializing in change management, business process improvement, and organizational risk assessment. She has managed teams in identifying program-related risks and has worked to develop mitigation strategies and contingency plans for large-scale organizations in both local, state and federal government. She has also worked with municipal utilities in assessing operations across departments to identify areas of efficiency and providing recommendations in alignment with industry best practices.

Melanie will lead change management and communications planning during the Deployment phase of the strategic planning engagement and will also support key project delivery tasks such as interviews and KPI development.

Melanie is currently assigned to the project team engaged with the City of Sheboygan, Wisconsin and Richland County, South Carolina strategic plans.

**INTENTIONALLY SELECTED ENGAGEMENT TEAM FOR ROCK COUNTY**

***Engagement strategy leadership team***



**Chris Strom, MPA – Senior consultant**

***Strategy Consultant***

Christopher focuses his consulting practice in various aspects of local government, joining Baker Tilly with four years of industry experience and a Master of Public Administration. A Consultant on the public sector management consulting team, he is well versed in general government operations and industry best practices. He specializes in providing creative solutions for operational and cost efficiency within the public sector, including shared services, staffing augmentation, and strategic sourcing. Lastly, he has direct experience managing within the administrative operations space. As a municipal employee, Chris managed many administrative projects, such as a finance and human resources software system implementation, utility billing, general customer service, and others.

Chris previously worked on strategic planning projects with Fort Worth, Texas; the Guadalupe-Blanco River Authority; and the City of Warsaw, Indiana. He is currently assigned to the project team engaged with the City of Sheboygan, Wisconsin.

***Outreach and engagement team***



**Marta Purdy, AICP – Subject matter specialist**

Marta recently joined Baker Tilly in 2021 and has more than 15 years of experience in managing public private partnerships (P3) towards investing in catalytic community development projects. Marta works with P3 teams to establish investment team partners and structures, set clear and shared visions, develop and execute complex financial and financing strategies, and manage design and approval processes. Before joining Baker Tilly, Marta worked at Vandewalle and Associates, a boutique urban planning and economic development consulting firm for 12 years, working throughout the Midwest.



**Rachel Ramthun – Subject matter specialist**

Rachel particularly enjoys working with Wisconsin communities to help them put their best foot forward. Prior to joining the firm, she worked on several design charrettes and community branding efforts throughout Wisconsin, most notably the City of Kewaunee and the City of Mineral Point. These community outreach efforts have heavily involved both designated stakeholder groups as well as larger swaths of citizens in several ways. First, Rachel is experienced with community survey administration as well as results analysis. Second, she is skilled at and comfortable engaging stakeholders of all ages and types in person, discovering their hopes and dreams for their community, and guiding groups to a common goal. Perhaps uniquely, she has done this for school children to retirees to community leaders and everyone in between.

Rachel also excels at other types of community research and can navigate previous plans, ordinances, and spreadsheets efficiently. She has a solid background in Tax Increment Finance and other economic development incentives as well as community business mix, trade area, and market analyses.

After previously interning for the firm and completing a double Master’s degree program in Public Affairs and Urban and Regional Planning from the University of Wisconsin-Madison. Rachel joined the firm full time in 2021 and is based out of the firm’s Milwaukee office.

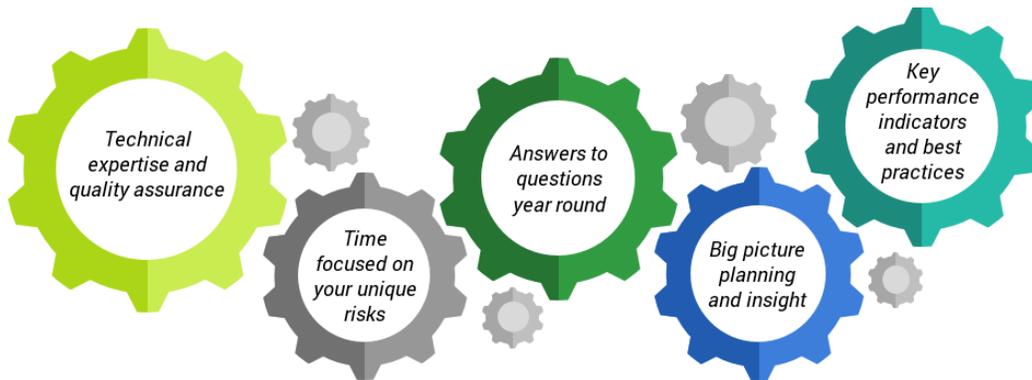
**ROCK COUNTY WILL RECEIVE TANGIBLE RESULTS WITH BAKER TILLY**

*All engagement team members are committed to Rock County’s success. Their industry experience and service expertise translate into tangible results for Rock County.*

**Building trust and maximizing value with significant team member involvement**

Your experienced engagement team members will be responsive to your needs, quickly resolve challenges and build trust. You can expect to receive technical insights and an approach customized to your unique structure, culture, timing and strategic goals.

We are ready to serve you when you need us, where you need us and for as long as you need us. Whether it is an early-morning phone call or late-night email, we are here to give you peace of mind when it comes to financial reporting. The graphic below details how we will build trust and maximize value with Rock County.



**COLLABORATING WITH YOU AS YOUR TRUSTED VALUE ARCHITECT™**

*Your partners and managers will be deeply involved in the engagement to give them an in-depth working knowledge of your strategic planning process to deliver value throughout the year.*

**Cultivating an engaging culture to offer a consistent team for Rock County**

You can expect to see the same engagement team members every year and avoid the time and cost commitments of onboarding a new team. We view our commitment to staff continuity as the cornerstone of building a lasting relationship with Rock County.

Exceptional professionals thrive at Baker Tilly because we cultivate an engaging culture through diversity and inclusion, work-life balance, continuous learning opportunities, career advancement and employee recognition.

**EVIDENCE OF OUR TEAM MEMBER-FOCUSED CULTURE AND COMMITMENT TO EXCELLENCE**

<p>Ranked as the <b>ninth largest accounting and advisory firm in the U.S.</b> according to INSIDE Public Accounting's 2021 Top 400 Firms list</p> 	<p>Recognized as <b>one of America's Best Large Employers</b> in 2021 by Forbes</p> 	<p>Received 250+ culture awards and workplace recognitions firmwide</p> 
<p>Ranked as a <b>top 10</b> accounting and advisory firm for workplace prestige and quality on Vault Accounting's Accounting 50 list; <b>culture</b> is the number one reason that team members join our ranks and stay at our firm</p> 	<p>Certified as a <b>Great Place to Work®</b> for the fourth consecutive year</p> 	

**CULTIVATING AN ENGAGING CULTURE**

*Our commitment to attracting and retaining a top-quality workforce benefits Rock County through engaged team members and staff continuity.*

*Client List and References*

## Demonstrating successful relationships with similar clients

We encourage you to connect with the clients below to learn more about the value of their relationship with Baker Tilly. Each client will offer a different perspective as you consider your own needs.

City of Sheboygan, Wisconsin (Current Assignment) <i>Strategic Plan</i>			
<b>Name</b>	Chad Pelishek	<b>Title</b>	Director of Planning and Development
<b>Phone</b>	+1 (920) 459 3383	<b>Email</b>	<a href="mailto:chad.pelishek@sheboyganwi.gov">chad.pelishek@sheboyganwi.gov</a>
<b>Services</b>	<p>Sheboygan is the largest municipality within Sheboygan County, located on the eastern shore of Wisconsin. Being a dynamic and evolving city in Wisconsin, Sheboygan is now home to approximately 50,000 residents. Sheboygan strives to be the best place in Wisconsin to raise a family and grow a business. The organization is comprised of 17 departments with varied purposes, responsibilities, and work plans. The city employs 458 staff with an additional 22 seasonal employees in the summer; there are four active bargaining units across the organization. Over the years, Sheboygan has adopted several focused long-range plans all of which have been utilized to some degree. The current strategic plan was completed in 2017 and has served the city well. Many of the goals, objectives, initiatives have been successfully completed, achieved, or engaged in some phase of implementation. Of those objectives that have not been fully realized or initiated, a small portion could be considered no longer valid or relevant, however consideration should be given to those elements to determine if they are carried forward into the new strategic plan or omitted all together.</p> <p>The City of Sheboygan sought services from Baker Tilly because of our experience and expertise with strategic planning for local units of government. The purpose of this project was to guide the development of a new three-to-five-year comprehensive strategic plan for the organization. Through the strategic planning process, the city developed a clearly-defined mission, vision, goals, and objectives that could be easily operationalized into the work plans of the varied functions within the organization. The city is also requesting an implementation roadmap for carrying out the strategic plan that outlines a process for keeping it updated and for evaluating progress.</p>		
<b>Size and description</b>	Population 50,000, 458 FTE		
<b>Dates</b>	November 2021 –Present		

City of Ankeny, Iowa Strategic Plan			
<b>Name</b>	David Jones	<b>Title</b>	City Manager
<b>Phone</b>	+1 (515) 965 6407	<b>Email</b>	<a href="mailto:djones@ankenyiowa.gov">djones@ankenyiowa.gov</a>
<b>Services</b>	<p>Ankeny, Iowa is a thriving and rapidly growing community with a population of approximately 65,000, and is one of the principal municipalities in the Des Moines-West Des Moines, Iowa metropolitan statistical area. Located astride Interstate 35, immediately north of Des Moines, many consider Ankeny to be the most livable city in Iowa.</p> <p>City leaders have long recognized the value of engagement of both the City Council and senior staff team in a deliberate, thoughtful and collaborative approach to strategic planning and priority setting. For the 2019 strategic planning process, Baker Tilly was retained by the City to support the planning, facilitation and documentation of an intensive planning process to create a refreshed strategic plan to guide decision-making regarding such matters as growth and development, continuity of high-quality city service delivery, and the responsible management of the municipal enterprise and its resources.</p> <p>The 2019 strategic planning program produced a framework to guide the decisions of both elected leaders and managers over the next five years and beyond. The elements of that strategic framework included:</p> <ul style="list-style-type: none"> <li>– An examination of the current operational environment and the identification of critical external forces and trends that influence and impact the City of Ankeny's ability to meet citizen expectations</li> <li>– Assessment of the municipal organization's strengths, weaknesses, opportunities and threats</li> <li>– Updated statements of vision and mission</li> <li>– Identification of the key attributes or indicators of future success</li> <li>– Development and prioritization of seven strategic goals around which critical policy decisions can be evaluated and important organizational and operational activities can be managed</li> </ul> <p>Identification of a set of 32 specific operational objectives spread across the seven goals that represent a "to-do" list of activities and programs to undertake over the next several years.</p>		
<b>Size and description</b>	Population of 67,887, 332 FTE		
<b>Dates</b>	May 2019—September 2020		

<b>City of Ann Arbor, Michigan</b> <b>Organizational Strategic Plan, Strategic Management Support, and Fire Department Strategic Plan</b>			
<b>Name</b>	Sara Higgins	<b>Title</b>	Assistant to the City Manager
<b>Phone</b>	+1 (734) 794 6110 ext. 41102	<b>Email</b>	<a href="mailto:shiggins@a2gov.org">shiggins@a2gov.org</a>
<b>Services</b>	<p>Home to the University of Michigan, Ann Arbor's population is approximately 121,000. Baker Tilly Managing Director David Eisenlohr, while employed with The Azimuth Group, Inc., was engaged by the City to lead an extensive organizational planning process resulting in the development of a detailed strategic and operational plan for the city government. A joint planning team of consultants and a select group of respected middle managers and professionals on the city staff completed the following tasks:</p> <ul style="list-style-type: none"> <li>– A detailed assessment of strengths, weaknesses, opportunities and threats facing the city</li> <li>– A critical examination of the operating context within which the city must produce results</li> <li>– A comprehensive employee engagement process including a citywide survey and multiple focus groups</li> <li>– The documentation and prioritization of strategic goals, operating objectives and initiatives</li> <li>– The assignment of accountabilities and due dates</li> <li>– The development of an implementation and strategy execution road map</li> </ul> <p>Following adoption of the organizational strategic plan, David was further retained to support the city's development of a comprehensive strategic management system and process, including the development of performance indicators and targets for each of the major goals and objectives included within the organizational plan.</p> <p>Concurrently, as a part of its pursuit of national accreditation, the Ann Arbor Fire Department (AAFD) retained David to facilitate the development of a fire department strategic plan. That planning process encompassed significant interaction with employees at all levels of the department as well as external focus groups with select community leaders, resulting in the development and publication of the AAFD's first-ever strategic plan. David subsequently facilitated an executive workshop to review and update the organizational strategic plan, conducting a "gap analysis" exercise on each strategic goal, identifying improvement opportunities and proposing specific revisions to the plan to reflect current conditions.</p>		
<b>Size and description</b>	Population of 117,082, 773 FTE		
<b>Dates</b>	October 2013–January 2016		

**PROVIDING VALUABLE PERSPECTIVES FROM CURRENT CLIENTS**

*At Baker Tilly, relationships matter. Our Value Architects™ have a record of successfully enhancing and protecting similar clients' value – resulting in experience-based insights for Rock County.*

## Additional Strategic Planning Clients

Listed below are additional organizations that your engagement team members have supported with strategic planning services while with Baker Tilly or other consulting firms:

- Ann Arbor, Michigan Fire Department
- Arlington Tomorrow Foundation
- Association of Texas
- Big XII Athletic Conference
- Borough of Lansdale, Pennsylvania (Technology strategy)
- Champaign County, Illinois (Technology strategy)
- City of Abilene, Texas
- City of Angleton, Texas
- City of Arlington, Texas
- City of Clayton, Missouri
- City of Colleyville, Texas
- City of Duncanville, Texas
- City of Forney, Texas
- City of Fort Worth, Texas
- City of Irving, Texas
- City of Kansas City, Missouri
- City of Keller, Texas
- City of Lancaster, Texas
- City of Lee’s Summit, Missouri
- City of Lexington, Minnesota
- City of Marshall, Texas
- City of Moorhead, Minnesota
- City of New Braunfels, Texas (Technology strategy)
- City of New Ulm, Minnesota
- City of Northlake, Texas
- City of Sachse, Texas
- City of Sheboygan, Wisconsin
- City of Southlake, Texas
- City of Temple, Texas
- City of University Park, Texas
- City of Wichita Falls, Texas
- City of Windsor Heights, Iowa
- Conference USA
- Dallas, Texas City Manager’s Staff
- El Paso County, Texas
- Fauquier County Water and Sanitation Authority, Virginia
- Fort Wayne City Utilities, Indiana
- Government Finance Officers Association of Texas
- Irving, Texas Police Department
- Lancaster County, Pennsylvania, Economic Development Company
- MetroPort Cities Partnership
- Murray City, Utah (Technology strategy)
- National Procurement Institute
- New Hanover County, NC Health Department
- New Hanover County, North Carolina
- North Texas Municipal Water District
- North Texas Tollway Authority
- Oklahoma Municipal League
- Red Wing Housing and Redevelopment Authority, Minnesota
- Richland County, South Carolina
- San Jacinto River Authority, Texas
- Trinity River Authority of Texas
- University Park, Texas Community Development Department
- University Park, Texas Friends of the Library
- Village of Mount Pleasant, Wisconsin

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*Proposal Requirements*

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**1. Demonstrate an understanding of the County's request including deliverables.****Our understanding of your needs**

As a political subdivision in the State of Wisconsin, we understand the importance of ensuring Rock County residents continue to enjoy a wide range of programs and services including health, public works, conservation and development. The responsive city services are delivered by an efficient and streamlined 29 County Board of Supervisors along with a County Administrator, Clerk of Circuit Court, County Clerk, County Treasurer, District Attorney, Register of Deeds, a Sheriff and seven court judges.

The strategic plan we will help the County's leadership develop will build upon your existing strengths by thoroughly collaborating with the County's thoughtful and deliberative decision-makers by and using our proven approach. This will ensure the County's quality of life is maintained and enhanced and the operations of the municipal government are improved through the adoption of fully integrated strategic management across organization.

The strategic plan will deliver the following and incorporate all of the aspects of Rock County's required project scope, including:

- Vision Development
- Organizational structure review, staffing, etc.
- Strategy development
- Establishment of role clarity among community and business partners
- Structural alignment of the County's efforts to public policy priorities
- Roadmap to innovation
- Balanced approach while prioritizing business attraction

These deliverables will be executed through onsite facilitation of the strategic planning development process.

**A proven approach**

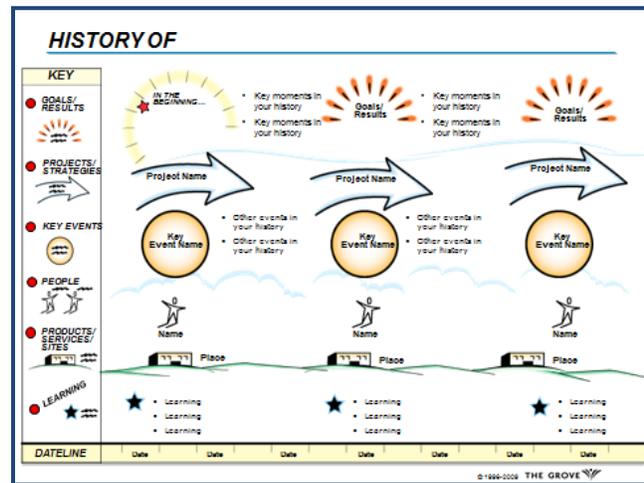
The County's strategic planning process will be characterized by its high-energy, interactive, visual approach to the facilitation and documentation of results. This section of the proposal illustrates the tools, techniques, methodology and detailed project plan that Baker Tilly will perform in collaboration with the elected and appointed leadership of the community.

### Planning Tools & Techniques

Baker Tilly consultants employ a visual planning approach that using industry-leading graphical planning templates published by The Grove Consultants, Inc., along with other templates and technology tools for consensus building and prioritization. Internal and external stakeholders, policy leaders and decision-makers will be engaged in a collaborative process to assess the current state of the County, visualize success, explore strategic options, and set and prioritize achievable goals and objectives. A selected set of these graphical tools are illustrated and briefly described below. **These graphic tools can be employed in either a traditional, person-to-person workshop or deployed digitally for socially distanced/virtual engagement.**

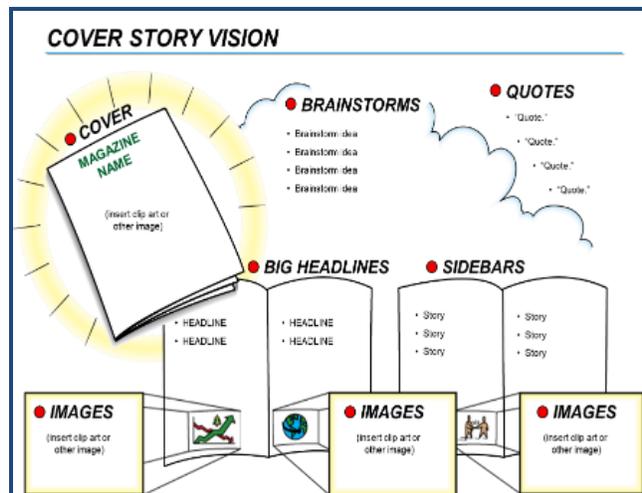
#### Graphic History

Often, the process of deciding where you want to go is most effective when informed by a shared understanding of where it is you have been. The Graphic History template, shown at right, allows participants to document the relevant history of the organization in terms of goals set and accomplished, particular projects completed, strategies adopted, transformation events and key contributors. The completion of major capital investments and the introduction of new or improved services can also be captured. Finally, important "lessons learned" over time can be documented, discussed, and applied to future goals, objectives, and initiatives.



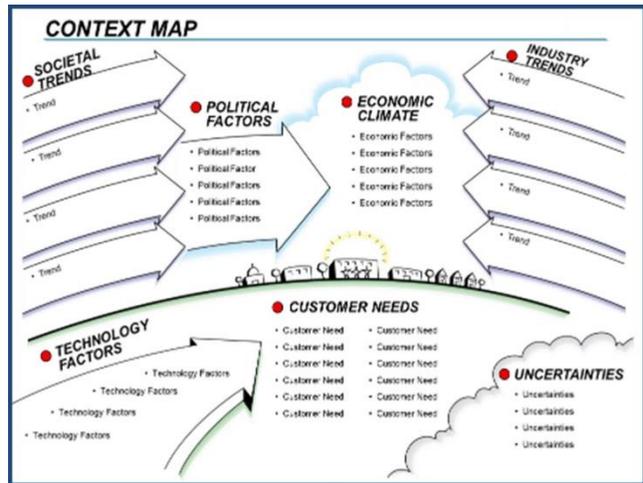
#### Cover Story Vision

The creation—or validation—of concise and compelling statements of Vision, Mission, and Values is a foundational element in the strategic planning process. If our initial planning indicates a need for an in-depth exploration of the County’s future vision, we can incorporate appropriate individual, small group, and collective activities designed to promote a thorough investigation of strategic options and priorities for the future of the organization. The Cover Story Vision graphic guide uses the metaphor of a future magazine cover story feature, written to describe the progress and accomplishment of the County, looking back from a position of great success.



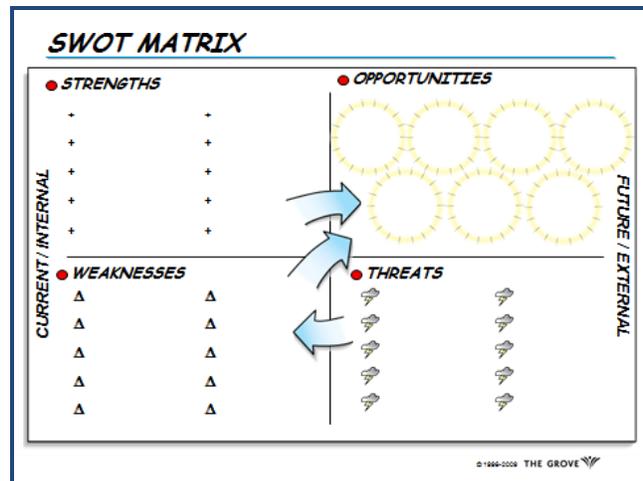
**Environmental Scan (Context Map)**

The graphical template shown to the right, known as a Context Map, is highly useful in the facilitation of environmental scanning sessions. Enlarged to wall chart size, we will record the input describing the current operational environment within which the County must achieve results, from the perspectives of various involved interests. While the specific categories in the Context Map can be customized to each client, typical topics for assessment include societal and community trends, political factors, economic climate, customer needs, technology factors, and uncertainties.



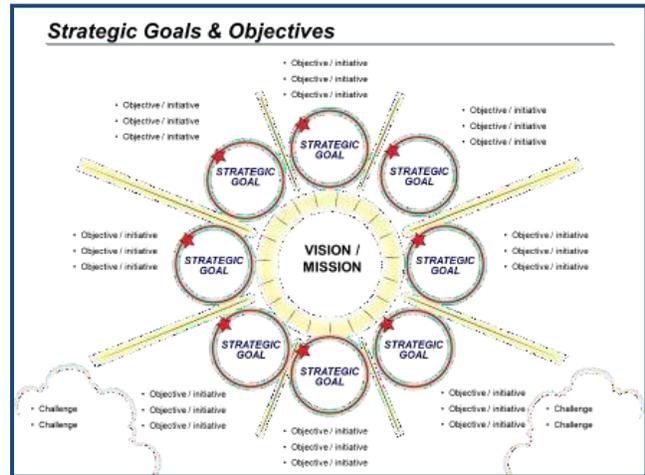
**SWOT Analysis**

Where context mapping concentrates on building an understanding of impacts of the external environment on the County, SWOT analysis—Strengths, Weaknesses, Opportunities, and Threats—has both internal and external dimensions. As with the environmental scan, SWOT analysis is helpful in the development of a shared understanding of present conditions and a consensus on likely future events. Both of these processes are essential, foundational steps in the strategic planning process. For the SWOT analysis, project participants are asked to consider the internal operations, culture, business processes, core competencies, and other factors that enable or inhibit successful execution of the County’s mission and accomplishment of its strategic goals and objectives critically and constructively.



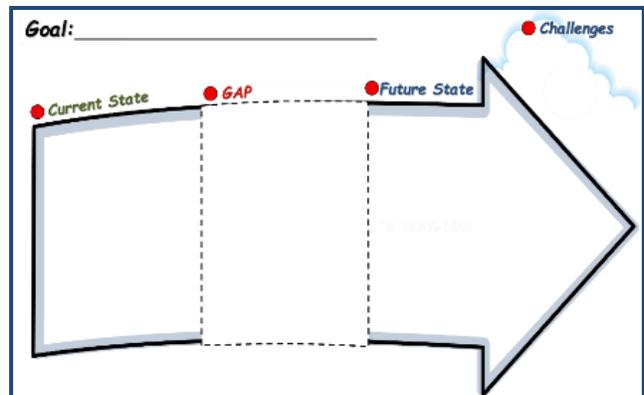
### Strategic Goals and Objectives

Goals, objectives, and initiatives described in increasing levels of detail are the components of strategic success. While statements of vision and mission paint the organization's future with a broad brush, it is the identification of concrete, measurable goals that provide the clarity of direction policy makers, managers and staff need to effectively implement the Board's intent. This graphic guide is used to allow participants to individually brainstorm the specific outcomes or results that need to be achieved and then to identify the common themes or patterns of consensus that emerge. Working from the specific to the general helps workshop attendees understand the shared and collaborative nature of the enterprise and of the interrelationships, similarities, and differences that exist.



### Gap Analysis

Strategic planning often involves the assessment of the current state of the organization and its performance, the description of the desired future state, and the identification of specific actions required to close the gap between the "as-is" to the "to-be" future of the organization. The gap analysis template visually depicts this process and supports creative thinking, brainstorming and dialogue around various approaches to gap closure.



### Strategy Map

One of the key deliverables of the strategic planning effort will be a graphical strategy map. A strategy map is merely a visual depiction of the organization's strategy in terms of its vision, mission, core values, strategic goals, and business objectives. It serves as a concise, quick reference guide to the strategic plan and is a useful tool for communicating the plan to others. It also supports the alignment of departmental operating plans, program initiatives, and the overall strategic plan.



2. Outline the steps/processes/elements for the development of a comprehensive strategic plan.

**Strategic planning methodology**

Baker Tilly’s strategic planning methodology, called D<sup>4</sup> (Define, Discover, Develop, Deploy), serves as a reliable and repeatable approach to the completion of strategic planning projects. D<sup>4</sup> has been applied and refined over many years of helping local government organizations with their strategic planning programs and incorporates proven processes and techniques organized within a structured, yet flexible, framework.

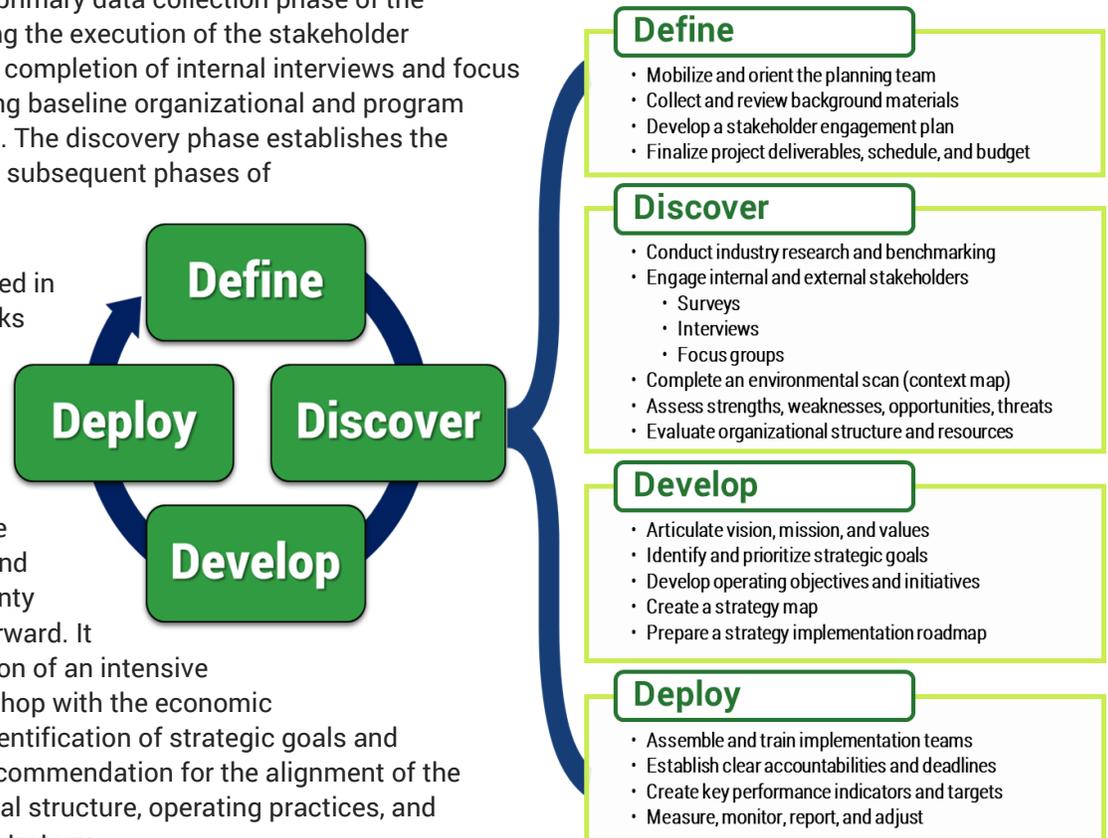
There are four separate phases to the D<sup>4</sup> framework, all of which are included in the project scope for the County:

**Define**—This phase involves project start-up activities, initial data collection, stakeholder identification, engagement and involvement planning, initial meetings with key project staff, confirming scope, and refining and finalizing the project plan and budget as needed.

**Discover**—This is the primary data collection phase of the methodology, including the execution of the stakeholder engagement plan, the completion of internal interviews and focus groups, and conducting baseline organizational and program assessment activities. The discovery phase establishes the factual foundation for subsequent phases of the planning process.

**Develop**—Encompassed in this phase are the tasks and steps needed to create, review, approve and adopt a written organizational strategic plan to guide the overall priorities and operations of the County organization going forward. It includes the completion of an intensive strategy offsite workshop with the economic development team, identification of strategic goals and objectives, and the recommendation for the alignment of the County’s organizational structure, operating practices, and programs to the new strategy.

**Deploy**—This phase of the methodology involves the development of an implementation road map, collaborative development of strategic performance measures, and the completion other steps necessary to link the strategic plan to related economic growth and development plans and service delivery programs across the County organization and community as appropriate.



## Scope of Work

The strategic planning approach described in this section is based on the D<sup>4</sup> framework described above and will serve as point of reference for the consulting team and the County in conducting the strategic planning project.

### *Phase 1—Define*

*The purpose of the work in the Define phase is to successfully initiate the strategic planning project, verify timelines, due dates, and budgets, and to initiate the extensive data collection, interviewing and engagement tasks necessary to lay the groundwork for creating a modern Rock County Strategic Plan.*

#### **Task 1.1—Mobilize the strategic planning team**

In this step, we will work closely with appropriate parties to clarify and refine the scope, timing and deliverables of the strategic planning program. Completion of this task helps to ensure a shared understanding between the County and the consulting team of the answers to questions such as:

- What are the purpose and intended uses of the new strategic plan? (What does a successful project look like?)
- Who (specifically, by name or role) should be involved in preparation, review and approval of the strategic plan, and how?
- Where and when should the various Board and staff-level planning workshops be held, and who on the staff will be accountable for making those logistical arrangements?
- What is the level of County resource commitment to the strategic planning project?
- What are the important milestone dates and other time constraints that the Baker Tilly team must respect?

Primary activities included within this task are:

- Conduct initial project kickoff meetings
- Confirm project management and reporting protocols
- Discuss, at a high level, the "business landscape" for the County in terms of the operating environment, critical issues, funding streams, policy priorities, key stakeholders groups, and related topics
- Initiate logistical planning and coordination for the planning workshops.

#### **Task 1.2—Collect background data and materials**

The consulting team will request, collect and review a considerable amount of documentary data as background for the planning project. Examples of the types of data we will request—to the extent available—include:

- Current operating budget
- Comprehensive Annual Financial Report
- Strategic plan progress updates
- Goals, objectives, performance measures and results by Department)

- Multi-year revenue and expenditure projections
- Capital improvement program
- Comprehensive land use plan
- County-wide and departmental organizational charts
- Prior community and employee survey results

**Task 1.3—Develop stakeholder outreach and engagement plan**

Based on information developed through the initial kickoff meetings, the Baker Tilly team will draft and review a written plan for the engagement and involvement. The engagement plan will list the various internal and external stakeholder interests and groups, suggest engagement methods for each, identify those accountable for completion of the proposed engagement activities and propose a tentative schedule. Examples of the range of engagement techniques include:

- Project website
- Online surveys
- Social media
- Community events and forums
- Vision boards
- "Meeting in a box"
- Individual interviews
- Focus groups

**Task 1.4—Finalize and deliver the project plan and milestone schedule**

The final project plan will address all of the activities necessary to complete the strategic planning project, establish key deliverable due dates and other significant project milestones and indicate resource assignments.

**Phase 1 Deliverables**

- Stakeholder outreach and engagement plan
- Finalized project plan and schedule

*Phase 2—Discover*

*The Discover phase is the primary data collection stage of the planning process and includes the internal interviews, focus groups and research effort. Completion of these tasks provides the consulting team with the foundation of data, facts and understanding necessary to develop an effective strategic plan, promote buy-in and support, and ensure alignment with the policy intent and priorities of the organization’s elected and appointed leadership.*

**Task 2.1—Review background materials and data**

The Baker Tilly team will work to develop a solid understanding of the "as-is" organizational and operational model and strategic challenges facing the County. Through a review of County-provided documents, available economic data, industry literature, historical trends, and both quantitative and qualitative internal performance metrics, the consulting team will be prepared for onsite data collection and will have developed a base of understanding of the issues, concerns, and improvement opportunities likely to arise during the planning process.

**Task 2.2—Complete internal discovery interviews and focus groups**

Discovery interviews may be conducted individually or in group settings, as appropriate to the particular stakeholders. Based on a review of the County’s organizational chart and website, we would seek to interview the following individuals, either individually or in small groups:

- County Board of Supervisors
- Clerk of Circuit Court
- County Clerk
- County Treasurer
- District Attorney
- Register of Deeds
- Sheriff
- Circuit Court Judges

We will discuss the strengths, weaknesses, opportunities, and threats related to the County’s realization of its long term priorities, along with key organizational, operational, financial, and service delivery issues and other issues and concerns relevant to the current state and future strategic direction of the County. We will then synthesize the interview results to identify the common, resonant themes that surfaced.

Baker Tilly will work closely with County staff to organize and coordinate these focus groups with affiliated clusters of employees across the organization. We will work with these groups to gather insight into the particular strategic challenges facing the County in the form of graphical Context Maps and SWOT matrices.

**Task 2.3—Engage stakeholders**

Stakeholder involvement is a cornerstone of successful strategic planning. Based on the stakeholder engagement plan developed in Phase 1, the Baker Tilly team will plan and facilitate up to six engagement sessions and other processes including, potentially, individual, or small group interviews, focus groups, surveys, or other engagement techniques. One or more of these could be in an open “town hall” type format, while others may be for specific groups, neighborhood associations, business interests, etc., or some combination thereof. County staff will have the opportunity to participate with the engagement team to learn the techniques and to prepare for the facilitation and documentation of additional outreach sessions, as may be necessary and worthwhile.

**Task 2.4—Evaluate the organizational structure, staffing and programs of the County**

Baker Tilly consultants, during the course of the interviews, focus groups, and review of background documents, will develop an understanding of the organizational structure, staffing, and distribution of duties and responsibilities of County staff. Additionally, we will assess the alignment of the County’s organizational structure to the key priorities of the County as revealed through the interviews and data review and will identify opportunities for strategic realignment as warranted.

**Task 2.5—Summarize baseline Discover phase findings**

Baker Tilly will prepare a presentation-style summary of the results, findings, and conclusions of all Discover phase tasks. This document will be prepared in draft form for review with the executive team and revised and clarified as necessary and appropriate based on feedback received.

**Phase 2 Deliverables**

- Baseline *Discover* phase findings summary

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## Phase 3—Develop

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*This phase of work comprises the tasks necessary for the preparation and adoption of a new organizational strategic plan for the County. The principal tasks in the Develop phase center on the leadership and members of the County, along with such other key participants in the County's broader strategic planning eco system.*

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### **Task 3.1—Design an offsite strategic planning workshop**

In this task, the Baker Tilly team will define and document the participants, agenda, process, and logistics required for a one-and-a-half-day or two-day off-site strategic planning workshop for the County's leadership, staff, and other key participants in the strategic planning process as appropriate. The retreat-like workshop will be designed as an intensive, active, engaging, and energetic event, promoting collaboration and consensus-building around a mission-critical set of strategic goals and priorities. Representative activities for this task include:

- Identify and finalize the list of participants
- Develop the workshop activities and agenda
- Coordinate the workshop venue and logistical details with County staff
- Present the workshop design for final approval to the County Director, Assistant County Manager for Community Development, and others

### **Task 3.2—Facilitate the strategic planning workshop**

This task includes several critical sub-tasks to lead the County's governing body and senior administrators through the process of establishing the County's strategic plan.

Following some general introductory and "ice-breaking" activities, the members of the Baker Tilly team will facilitate a carefully planned series of small group discussions, brainstorming sessions, and consensus building exercises to achieve agreement on the essential elements of the new strategy.

#### **Task 3.2.1—Understand and describe the current strategic context and SWOT**

This sub-task includes an examination of the internal and external environment within which the organization must operate and succeed. It considers such factors as social and economic trends, political and regulatory actions, emerging technology, customer needs, and other uncertainties. The strategic context map establishes the environmental conditions which are most likely to have an impact on the County's ability to achieve its mission, consistent with its vision and values. The workshop participants will then create their own, summarized view of the current context and SWOT analysis based on their knowledge and the results of the consulting team's data gathering, outreach and engagement efforts.

#### **Task 3.2.2—Articulate vision, mission, and values**

Effective strategy must rest on a shared and clearly articulated understanding of the organization's overarching purposes and goals. This is most commonly expressed and documented in the form of concise and memorable statements of the organization's vision (typically aspirational in nature), a focused statement of mission (more action-oriented than the vision) and a brief listing of core values (the ethical parameters within which the vision and mission will be realized).

**Task 3.2.3—Develop and prioritize strategic goals**

Using a collaborative and interactive process, supported by advanced technology tools for group consensus building and prioritization, Baker Tilly will facilitate the definition of strategic goals for the County leadership. These goals will then be ranked, ordered, and evaluated in terms of their strategic importance and current performance in the identified areas to establish those goals that, if achieved, can have the most impact on the organization's ability to achieve its mission. These goals constitute the "whats" of the strategic plan. These will address such strategic needs as business expansion in underrepresented communities, implementation of the neighborhood centers plan, the provision of financial literacy training and counseling support, and the desired balance of business attraction, retention, and expansion initiatives.

**Task 3.2.4—Identify mission-critical services and business processes**

Having defined the vision and mission for the County, having articulated shared values, and having established and prioritized strategic goals, the participants can next concentrate on the "hows" of the strategic plan. We will review the County's key core service offerings and business processes to ask the question, "Which of these are the most critical to the accomplishment of our mission?" These are the things that the County must be very good at and are the activities that should have resources allocated that commensurate with their criticality. Other aspects of the overall strategy that may be covered in the workshop(s), depending on the discovery phase results and the final retreat design, include:

- **Strategic Partnerships**—Who do we need on our side?
- **Risks**—What could get in the way of our success?
- **Core Competencies**—What are the skills we need within our workforce to implement our strategic plan?

**Task 3.3—Create a Rock County strategy map**

The strategy map is a graphical depiction of the overall strategy and illustrates the linkages between the mission, values, and strategic goals and objectives. The strategy map is the framework for strategic management and an effective tool for the communication of the organization's strategic intent.

**Task 3.4—Identify and document operating objectives and initiatives**

Once the high-level strategic goals are established, Baker Tilly consultants will next work closely with County staff to more fully develop the specific operating objectives and individual programmatic initiatives needed to achieve the strategic goals established in the planning workshop/retreat participants. For each objective and supporting initiative, a target completion date will be established, and the accountable staff member name(s) or title(s) will be specifically identified. We will do this through a process of facilitated training workshops followed by "homework" assignments for County staff and, potentially, other participants in the planning process.

**Task 3.5—Prepare a strategy deployment roadmap**

Strategic planning efforts often fail. They fail in the execution more often than they fail in the adoption of a flawed strategy. Therefore, this task includes the development of a written plan for the operationalization of the new strategy and organizational model, along with recommendations for the periodic evaluation and revision on the plan over its expected life of three to five years. As required by the County’s RFP, the roadmap will focus on activating the County’s commitment to innovation and entrepreneurship.

**Task 3.6—Finalize and present the strategic plan**

The final task involves the compilation of all previously developed elements of the County’s organizational strategic plan into a cohesive and highly attractive document. Organized within the conceptual structure illustrated to the right, the strategic plan will serve as an effective tool for communicating the plan to the organization and the public, and for sustaining and renewing a strategy-focused approach to policy leadership and organizational management over time. The strategic plan document will first be presented in draft form for review and comment and then revised and refined as needed based on comments received.



**Phase 3 Deliverables**

- Draft final strategic plan documents

**Phase 4—Deploy**

*During the Deploy phase of the methodology, the center of gravity of the strategic planning effort begins to shift away from the Baker Tilly consulting team and towards the staff members responsible for the leadership and execution of the adopted plan. In this optional/future phase of the strategic planning methodology, the consulting team can be available to transfer knowledge and understanding, support and coach leadership on the implementation and sustainment of the adopted strategic plan and provide change management guidance in the transition from the current state to the desired future state. Examples of the type of work that could be included in this phase are described below.*

**Optional Task 4.1—Establish and train strategy implementation teams**

Baker Tilly consultants will work with County and other internal and external partners to create cross functional staff implementation teams and sub teams based on the adopted strategic plan and implementation roadmap. We will work with and through the County Director to identify implementation team leaders, participants, and points of contact and to secure their commitment to their assigned implementation responsibilities. Additionally, the project consultants can support the development of an overall program management structure and team to integrate organizational implementation efforts with other, ongoing efforts within the municipal enterprise as needed.

**Optional Task 4.2—Develop performance metrics and reporting model**

Key performance indicators and performance targets will be established for each strategic objective included in the final strategic plan. Baker Tilly consultants will lead a series of workshops for each implementation working group to establish standards for the development of key performance indicators (KPIs) and performance targets and standards. The cross-functional implementation teams will prepare their proposed KPIs and targets as a "homework" assignment for subsequent quality assurance review by the Baker Tilly team and submittal to County Administrator for acceptance. The approved KPIs will then be incorporated into a standardized reporting model format and regular reporting process.

**Optional Task 4.3—Select and implement strategic plan management software**

Recent years have seen the development of robust, moderately priced, cloud-based technology tools to facilitate the strategy deployment and results tracking and reporting processes. These tools allow for a more rapid, effective and sustainable transition from strategic planning to strategic management.

Among the leading providers of strategy management software in the local government market today is a company called Envisio. The strategy, data analytics, performance evaluation and reporting functionality supports important strategic management needs, including:



- Alignment of the strategic plan and business plan (budget)
- Aggregation and visualization of results data
- Organizational and community dashboards to drive transparency
- Management of employee performance
- Performance benchmarking

Baker Tilly is neither a reseller nor an implementer of Envisio application suite, though we are familiar with the product and its capabilities. Should the County be interested in exploring such a technology capability, either now or later in the planning process, we can arrange for a product demonstration and provide costing for future budget consideration.

**Optional Task 4.4—Provide ongoing implementation technical (future scope)**

Based on the needs of the County at the time, Baker Tilly can deliver additional value-added technical and supportive services to the County and the implementation teams. While not included within the scope of this proposal, they may become relevant to the creation and sustainment of a transformative strategic management process.

The degree to which these and other services may be worthwhile will be determined by the County, in consultation with Baker Tilly, based on the results of the strategic planning process, the skills and availability of county personnel, and the needs identified in the deployment roadmap. These services may include, but are not limited to:

- Establishment of monitoring tools and protocols, leading to the cyclical evaluation of strategic results and the adjustment of plans, operating methods and practices as needed to sustain the County’s strategy and provide for the dynamic revision of the plan as changing circumstances warrant.
- Application of data analytics tools and the development of dashboards for the monitoring and reporting on strategic plan results to managers, policymakers and the public at large.
- Creating requirements, developing an RFP, and managing the software evaluation and selection process for the acquisition of strategic plan management and reporting software.
- Analysis and re-engineering of critical business processes to align them with the new strategy and/or organizational operating model resulting from the strategic planning process, as necessary and appropriate.
- Improvement of governance processes and the interplay between policy makers and administrators to make sure that strategic focus is maintained at the level of detail appropriate to the various levels of the organization.
- Provision of additional training, resources, technical support and tools to the operating units to facilitate the changes to operating practices needed to fully realize strategic objectives.

**Phase 4 Deliverables**

- Recommended cross-functional implementation team structure
- Implementation team training
- Key strategic performance indicators
- Recommended reporting format and process
- Continuing support and special projects as requested

**3. Propose a timeline for the completion of the plan with the project completion no later than October 1, 2022 including proposed dates in Project Timetable section.**

**Preliminary project schedule**

The project timeline below shows a plan that allows for the completion of the core strategic planning tasks over a three-month time period. Your proposed project team is available to begin immediately. Optional value-added supportive and advisory services are described in the project plan and can be made available beyond the initial scope of work as requested by the County.

Project phases and tasks	March	April	May	June	July
<b>Phase 1—Define</b>					
Mobilize the strategic planning team					
Collect background data and materials					
Develop stakeholder outreach and engagement plan					
Finalize and deliver the project plan and milestone schedule					

Phase 2—Discover					
Review background materials and data					
Complete internal and external discovery interviews and focus groups					
Engage County leadership and Board members					
Evaluate the organizational structure, staffing and programs of the County					
Summarize baseline Discover phase findings					
Phase 3—Develop					
Design a an offsite strategic planning workshop					
Facilitate the strategic planning workshop					
Create a Rock County strategy map					
Identify and document operating objectives and initiatives					
Prepare a strategy deployment roadmap					
Finalize and present the Strategic Plan					
Phase 4—Deploy <i>(Out of Scope – If Necessary – Timeline TBD)</i>					
Establish and train strategy implementation teams					
Develop key performance metrics and reporting model					
Select and implement strategic plan management software					
Provide ongoing implementation technical					

While uncertainties inherent to the COVID-19 pandemic are easing, Baker Tilly recognizes that our approach must be flexible and adaptable. We will maintain open communication throughout the engagement and will make necessary adjustments to the approach and timing as required. Interviews, focus group sessions, workshops and deliverable review can be conducted remotely if required. If we are unable to travel for the duration of the project due to restrictions enacted by the State of Wisconsin, the County, Baker Tilly leadership or another entity then we will work with the County project team to accomplish appropriate elements of the project plan remotely.

The above timeline assumes the timely availability of accurate data and the availability of managers, staff, and Board members to participate in interviews, focus groups, workshops and the planning retreat.

**4. Describe the means and methods to engage the County Board of Supervisors in the development of a strategic plan.**

As stated in Task 3.2.3, using a collaborative and interactive process, supported by advanced technology tools for group consensus building and prioritization, Baker Tilly will facilitate the definition of strategic goals for the City leadership. These goals will then be ranked, ordered and evaluated in terms of their strategic importance and current performance in the identified areas to establish those goals that, if achieved, can have the most impact on the organization's ability to achieve its mission. These goals constitute the "whats" of the strategic plan.

This process will allow Board members to speak openly and ensure that priorities of all board members are ranked equally. The process is transparent and efficient in gathering opinions around County priorities.

**5. Describe the means and methods to identify county priorities as articulated by the County Board of Supervisors.**

Identification of priorities is included in the workshop described in Question 4. This is an important element of reaching a conclusion regarding the strategic plan.

**6. Describe techniques for building consensus among 29 members to identify achievable priorities.**

See the answer to Question 4. Our technology use to rank priorities allows us to complete this task with ease. Our Baker Tilly team members also facilitate conversation to ensure that all Board members are understanding the same tasks.

**7. Describe the means and methods to measure the Board's commitment to the identified priorities.**

As described in the answers to the three questions above, Baker Tilly will provide a solid ranking of priorities during the workshop using the technology described.

**8. Provide an estimated number of meetings (facilitations) with County Board of Supervisors to accomplish the development of the desired strategic plan with due regard for Wisconsin's Open Meeting Law requirements. This shall include identifying on-site vs. remote format meetings.**

We estimate that the strategic planning assignment can be completed within six months of notice to proceed. The detailed project timeline will be discussed, agreed upon with the County, and documented in writing as a *Phase I* deliverable.

Due to uncertainties related to the COVID-19 pandemic, Baker Tilly recognizes that our approach must be flexible and adaptable. We will maintain open communication throughout the engagement and will make necessary adjustments to the approach and timing as required. Interviews, focus group sessions, workshops and deliverable review can be conducted remotely if required. If we are unable to travel for the duration of the project due to restrictions enacted by the State of Wisconsin, the County, Baker Tilly leadership or another entity then we will work with the County's project team to accomplish all work remotely. We estimate only one facilitated workshop with the Board.

**9. Describe the means and methods for seeking input from county stakeholders, citizens, businesses.****Proposed Methods of Public Involvement**

A crucial aspect of strategic planning is gathering information from members of the community. In order to adequately obtain community member opinions, the Baker Tilly project team can leverage the knowledge from our internal community survey experts.

The community survey experts can work alongside the strategic planning engagement team, specifically during the Discover and Develop phases (further details can be found later in the proposal) of the project. Depending on how the County would like to engage community members, the project team can facilitate and/or assist the County in community outreach consisting of public meetings, group discussion sessions, community outreach forums, community survey(s), attending local events, and developing information to post on social media.

Specifically, if the County decides to develop a community survey, our internal community survey experts have the capability to create custom surveys based on the County's needs and desired outcome. Once the survey data is collected, they will analyze the survey responses and prepare a report for the County.

To reiterate, as noted later in our proposal, during the Discover phase of the project, we will work with the County to identify the appropriate method to engage community members or any external stakeholders. Ultimately, which ever method is identified, Baker Tilly has the necessary resources to successfully meet the County's public engagement needs.

**10. Explain the process and provide recommendations regarding periodic plan reviews/updates and/or plan maintenance.****Ongoing collaboration**

We will apply a disciplined approach to managing our effort and delivery to ensure that we are responsive to the County's needs, aligned with the Board of Supervisor's culture and organizational values, and conscientious of the sensitivity of the information that we receive.

We look forward to working closely with all key stakeholders to provide regular status updates, communicate next steps, and project issues if they arise. Maintaining open lines of communication between Baker Tilly and the County will allow us to be responsive to your needs while understanding and addressing any potential effects on this effort. We believe in regularly communicating with you to ensure that we obtain your perspectives and input for:

- Guiding the scope of our work
- Ensuring that we consider all relevant factors in our analysis
- Confirming the facts
- Incorporating context into our reporting

The table below illustrates some of the tools and techniques Baker Tilly has used to facilitate consistent communication and accountability throughout our engagements. Baker Tilly will work with the County's identified point of contact to define project management and communication requirements, tailor these tools to the County, and to define protocols for communicating exceptional events.

Tool/technique	Ongoing	One-time
Project planning meeting with management		✓
Project kickoff meeting		✓
Protocols for issue escalation memo		✓
Project plan and calendar		✓
Status reports	✓	
Budget-to-actual reports	✓	
Issues log	✓	
Information request logs		✓
Observations review meeting after field testing		✓
Final observations presentation		✓
Project close meeting		✓
Other key reporting as needed	TBD	

Regular status meetings with the County management will be an integral communication tool to achieve responsiveness and monitor agreed-upon milestones. During these meetings, Baker Tilly will discuss:

- The status of work performed, and milestones achieved
- Next steps and upcoming milestones
- Any unresolved issues, challenges, or questions
- Preliminary observations
- Changes in the project risk landscape

Our partners, managers and staff are available in-person, via email or telephone to the County whenever the need arises, and we will respond promptly to your inquiries and concerns. The County can rely on us to raise probing questions and offer ideas to spark conversation rather than imposing judgment and conclusions.

**11. Describe processes for educating and engaging future County Boards regarding the adopted Strategic Plan**

**Knowledge transfer**

Baker Tilly consultants will work with the County to create cross functional implementation teams and sub teams based on the adopted strategic plan. We will work with and through the County Board of Supervisors, County Administrator, Clerk of Circuit Court, County Clerk, County Treasurer, District Attorney, Register of Deeds, Sheriff and Circuit Court Judges to identify implementation team leaders, participants and points of contact and to secure their commitment to their assigned implementation projects.

# Pricing—Appendix C

*Proposal shall contain an itemized outline for all costs associated with the project.*

*Proposals shall include a complete and full inventory of expenses for project management and all support services. Expenses must be presented in an un-bundled fashion by itemizing each expense as a separate line item.*

## Value for fees

Costs are important to Rock County, just as they are to Baker Tilly. We have prepared this project budget carefully, based on our understanding of your requirements and relying on our extensive experience in completing similar projects in comparable communities across the United States. If, however, our project plan and budget do not align with your expectations, we will be happy to review and adjust both to achieve an appropriate balance between your desired results and consulting fees.

Baker Tilly proposes to complete the strategic planning project as described herein for a fixed fee of **\$91,975** for professional services based on an estimated workplan using the rates in the rate chart below. In addition to the fixed professional fee, Baker Tilly will invoice the County for reimbursement of direct project related costs for such items as travel and per diem, document design and production, and other usual and customary expenses for projects of this type. Expenses typically range between 12% and 15% of professional fees. We will work actively with the County to minimize travel costs, using virtual meeting technology where appropriate. Additionally, due to our valued relationship with the County, we'd like to provide a \$12,500 discount on this effort.

Baker Tilly will submit progress billings on a monthly basis, based on work performed during the preceding month plus expense reimbursement. Expenses are invoiced on an actual cost basis without markup for administrative or overhead charges. Invoices are due upon receipt.

## Assumptions

We have based our pricing plan on the assumptions detailed below. Should any of these change during the engagement, we will bring the matter to the County's attention immediately and prepare a change order detailing the new requirements and corresponding budget impact. We will not undertake additional work without the County's written approval.

Baker Tilly assumes the following when considering the costs and timeline associated with performing these services:

- Adequate support, preparedness, and cooperation from the County's management
- The County will create a steering committee that will work to eliminate or minimize biased opinions from all resources provided to Baker Tilly
- The County will appoint a project liaison to coordinate with the Baker Tilly project manager on resource and information needs
- Baker Tilly will have access to and be provided with electronic or other readily available data which requires no significant data manipulation

- When in need of data, information and records, Baker Tilly consultants will make formal data requests and provide the County with sufficient time to respond
- Appropriate staff and officials will be available per the agreed-to schedules and key stakeholders will be available for activities such as functional interviews and status updates
- Information will be provided within the specified timeframes and in an electronic format, with minimal manipulation required
- The County will provide resources to assist with coordination activities such as scheduling, gathering contact information, and securing project team space and technical resources
- No significant changes in scope

### Additional work

Should the County require additional work outside of the scope of services included in this proposal, we will be pleased to provide such services at either our standard hourly rates, plus direct expenses or at an agreed-upon fee based on the additional scope requested. We will perform no such additional work without the prior written authorization of Rock County. The table below lists Baker Tilly’s current hourly billing rates for professional services:

Title	Hourly Rate
Principal, Partner	\$400
Managing Director	\$325
Director	\$275
Senior Manager	\$250
Manager	\$225
Senior Consultant	\$200
Consultant	\$180
Administrative Support	\$85

### Non-Attest Services

Baker Tilly currently serves as the independent financial auditor for Rock County. If selected for the strategic planning project, the services that we will be providing are non-attest services. To ensure that our independence is maintained with respect to the financial audit, it is the County’s responsibility to review our work in addition to understanding the nature of our work. We will not perform any management functions or make management decisions on your behalf with respect to any non-attest services we provide. In addition, we will not enter transactions into the County’s general ledger, approve County transactions or supervise County staff.

In connection with our performance of any non-attest services, if awarded, you agree that you will:

- Continue to make all management decisions and perform all management functions, including approving our work product when it is submitted to you.
- Designate an employee with suitable skill, knowledge and/or experience, preferably within management, to oversee the services we perform.
- Evaluate the adequacy and results of the non-attest services we perform.

PRICING INFORMATION—APPENDIX C

- Accept responsibility for the results of our non-attest services.
- Establish and maintain internal controls, including monitoring ongoing activities related to the non-attest function.

**Workplan**

Project Phases and Tasks	Consultant Hours							Total
	Partner	Managing Director	Project Manager	Consulting Manager	Sr. Consultant	Subject Matter Specialist	Subject Matter Specialist	
	Hourly Rate	\$ 400	\$ 325	\$ 225	\$ 225	\$ 200	\$ 275	
<b>Phase 1 - Define</b>								
Mobilize the strategic planning team	1	1	1	1	1	1	1	5
Collect background data and materials	-	1	1	4	4	1	4	10
Develop stakeholder outreach and engagement plan	-	1	4	-	-	8	8	5
Finalize and deliver the project plan and schedule	1	1	4	-	-	-	-	6
<i>Sub Total Hours</i>	2	4	10	5	5	10	13	49
<i>Sub Total Fees</i>	\$ 800	\$ 1,300	\$ 2,250	\$ 1,125	\$ 1,000	\$ 2,750	\$ 2,600	\$ 11,825
<b>Phase 2 - Discover</b>								
Review background materials and data	-	1	4	4	4	4	4	13
Complete internal discovery interviews and focus groups	-	4	8	16	16	8	8	44
Engage citizens and stakeholders	-	1	4	4	4	20	20	13
Summarize baseline Discover phase findings	1	1	8	8	8	4	12	26
<i>Sub Total Hours</i>	1	7	24	32	32	36	44	176
<i>Sub Total Fees</i>	\$ 400	\$ 2,275	\$ 5,400	\$ 7,200	\$ 6,400	\$ 9,900	\$ 8,800	\$ 40,375
<b>Phase 3 - Develop</b>								
Design an offsite leadership team strategic planning workshop	-	2	4	4	4	4	4	14
Facilitate the leadership workshop	-	20	20	20	20	-	-	80
Create the strategy map	-	2	4	4	4	-	-	14
Identify and document operating objectives and initiatives	-	2	8	16	16	-	-	42
Prepare a strategy deployment roadmap	-	1	2	4	4	4	2	11
Finalize and present the Strategic Plan	1	2	8	16	16	4	2	43
<i>Sub Total Hours</i>	1	29	46	64	64	12	8	224
<i>Sub Total Fees</i>	\$ 400	\$ 9,425	\$ 10,350	\$ 14,400	\$ 12,800	\$ 3,300	\$ 1,600	\$ 52,275
<b>Phase 4 - Deploy</b>								
Establish and train implementation teams	TBD/Future Scope							
Develop performance metrics and reporting model								
Prepare a change management and communication plan								
(Optional) Provide ongoing implementation technical support								
<i>Sub Total Hours</i>								
<i>Sub Total Fees</i>								
Grand Total Hours	4	40	80	101	101	58	65	449
Grand Total Professional Fees	\$ 1,600	\$ 13,000	\$ 18,000	\$ 22,725	\$ 20,200	\$ 15,950	\$ 13,000	\$ 104,475
Loyalty Discount								\$ 12,500
Total Fees After Discount								\$ 91,975

# Vendor proposal certification—Appendix D

Proposal must be certified accurate for 60 days from the Proposal Due Date. Appendix D shall be signed and submitted with Proposal response.

ROCK COUNTY, WISCONSIN

PURCHASING DIVISION  
FINANCE DIRECTOR



#2022-06  
REQUEST FOR PROPOSALS  
STRATEGIC PLANNING PROCESS  
FOR  
COUNTY OF ROCK  
JANESVILLE, WISCONSIN

**APPENDIX D**  
**VENDOR PROPOSAL CERTIFICATION**

**The following certification must be submitted with Proposal.**

I hereby certify that all prices included in this Proposal are accurate and binding for one hundred twenty (120) days from the Proposal due date.

I further certify that the total costs accurately reflect the total Proposal cost, and that the company which I represent will deliver services per the request for proposal for the total amount of \$ 91,975 (see attached pages for detail).

The contractor to perform services for Rock County shall indemnify, hold harmless, and defend Rock County, its officers, agents, and employees from any and all liability including claims, demands, losses, costs, damages and expenses of any kind and description or damage to person or property arising out of or in connection with or occurring during the course of any agreement between the contractor and Rock County where such liability is founded upon or grows out of the acts or omissions of any agents or employees of the contractor.

David W Eisenlohr February 11, 2022  
Authorized Signature Date

David Eisenlohr  
Printed Name

Managing Director  
Title

Baker Tilly US, LLP  
Company

4807 Innovate Lane, Madison, WI 53718  
Address

+1 (214) 577 6525  
Telephone

david.eisenlohr@bakertilly.com  
E-Mail

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# Project schedule, methodology/approach and management summary

*Proposal shall include a description of the:*

- *Project schedule showing major tasks, time frames, vendor staffing, client staffing, expenses*
- *Methodology/approach to the project*
- *Management summary*

The information listed above has been provided starting on page 15.

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# Contractual issues

*Proposal shall include a complete standard professional services contract.*

*Proposal shall include a description of how vendor will handle contract clauses such as response times.*

*Notwithstanding the above, Rock County is not obligated to use the vendor's standard contract and reserves the right to further negotiate the terms of said agreement with successful vendor. All contracts shall be reviewed by Rock County's Purchasing Division, Finance Director and Corporation Counsel. The Proposal received from the successful vendor along with this RFP document and any addenda will be attached to and become part of the final contract.*

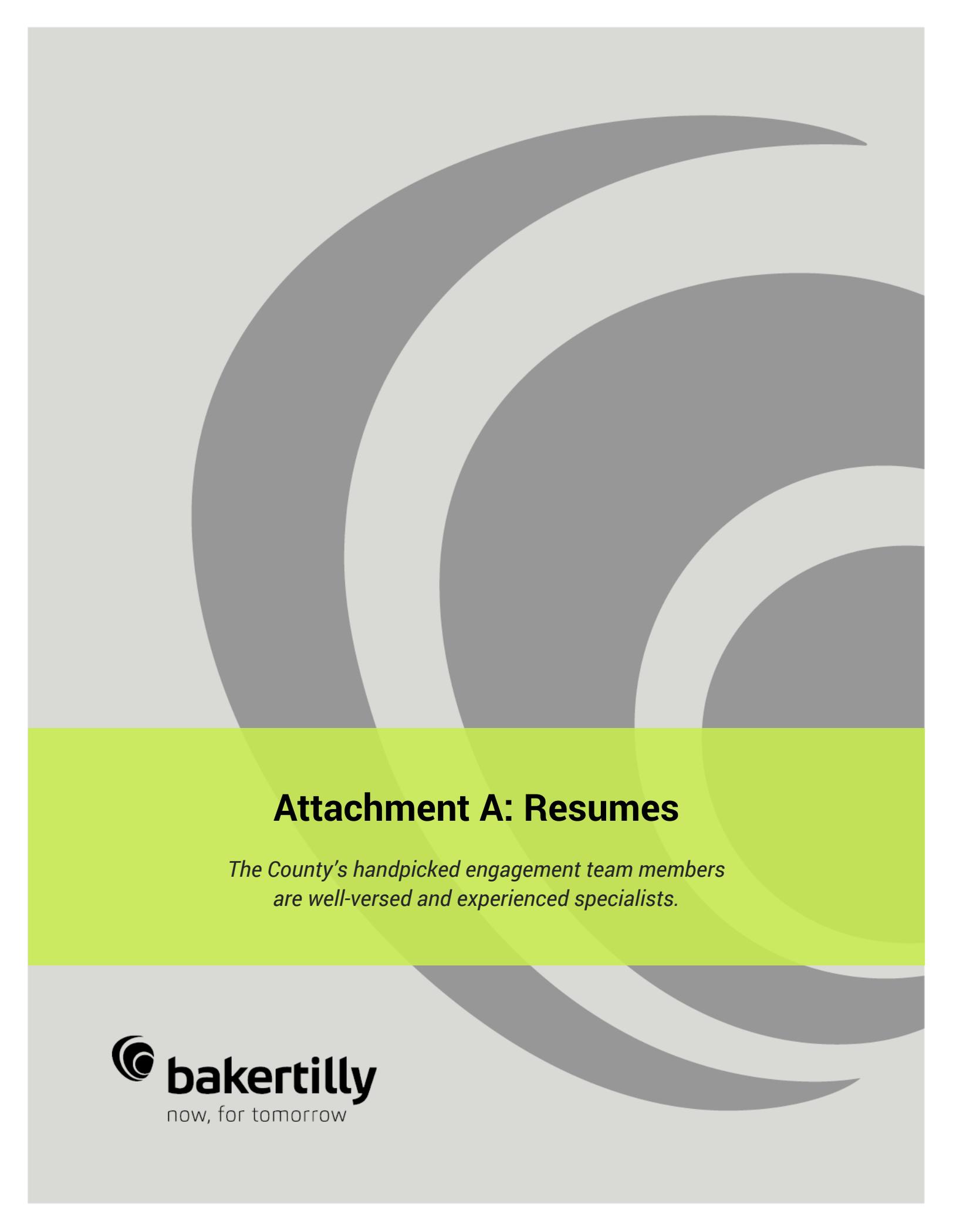
Notwithstanding anything to the contrary in the RFP, we hereby take exception to the Sections titled "Indemnification," "Insurance Requirements," and Paragraph 3 of Appendix D. Per RFP Section B(5), we have included a copy of our standard engagement terms in **Attachment B** for review. Should the County wish to propose alternative terms or incorporate specific language from the RFP (including without limitation specific insurance or indemnification requirements) into the final contract, we will require the ability to negotiate mutually acceptable terms and conditions prior to executing a final contract.

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# Subcontractors and third-party assignments

*Proposals shall include full disclosure of subcontractors and third-party assignment used for preparation of the Proposal, support for existing software and hardware, implementation, training and any other supplies or services.*

Subcontractors will not be used.



## **Attachment A: Resumes**

*The County's handpicked engagement team members  
are well-versed and experienced specialists.*

## ENGAGEMENT DIRECTOR

# David W. Eisenlohr

*David Eisenlohr, an engagement director at Baker Tilly, is a member of the firm's state and local government consulting practice.*



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[bakertilly.com](http://bakertilly.com)

## Education

Master of Public Administration  
Edwin O. Stene Program  
University of Kansas  
(Lawrence, Kansas)

Bachelor of Arts, political science  
Texas A&M University  
(College Station, Texas)

David has actively supported state and local government performance improvement initiatives for more than 35 years, first as an operational manager and then as a highly regarded management consultant. An insightful analyst and skilled facilitator, David works closely with senior leadership teams and governing bodies in both the public and not-for-profit sectors to help them develop strategic clarity, establish priorities, improve organizational performance and streamline business processes and technologies.

David previously served in key leadership roles with the government services practices of two large professional services organizations, including Arthur Andersen LLP, where he directed the strategy, organization and change team within the firm's Southwest Region public sector practice and MAXIMUS, Inc., with responsibility for the company's local government management consulting team. He then founded The Azimuth Group, Inc., a boutique public sector consultancy.

Prior to his consulting career, David served in progressively responsible local government analytical and leadership roles. He was a Budget Analyst with the City of San Antonio, Texas and led the city's internal management and analysis and performance improvement team. He subsequently served as an assistant city manager in the City of Grand Prairie, Texas.

## Specific experience

- Strategic, organizational, and operational improvement consulting for units of state and local government including cities, counties, water and sewer utilities, transit and transportation organizations and other special purpose districts and authorities
- Organizational and process analysis and redesign including planning and development services, building and code enforcement, procurement, human capital management, public works and utilities, public safety and courts, finance and accounting, parks and recreation and public information
- Experience with governing body, organization-wide and departmental strategic planning and goal setting programs

## ENGAGEMENT DIRECTOR

# David W. Eisenlohr

*Page 2*

## **Specific experience, continued**

- Provides human capital and talent management services including workforce compensation, employee performance management, employee engagement and culture assessment
- Provides technology assessment and strategy, system requirements gathering and procurement support
- Works with local governments on organizational change management

## **Industry involvement**

- International City/County Management Association (ICMA)
- Texas City Management Association (TCMA)
- Government Finance Officers Association of Texas (GFOAT)

## **Community involvement**

- Circle 10 Council, Boy Scouts of America, District Chairman
- Troop 70, BSA, Assistant Scoutmaster for High Adventure Programs
- United States Military Academy, Admissions Representative and Congressional District Coordinator,
- Friend of West Point
- West Point Parent's Club of North Texas, President, Treasurer, Webmaster
- Dallas Summer Musicals, Board of Directors, Marketing Committee

## PROJECT MANAGER

# Peter Haney, CCIM

*Peter Haney, project manager with Baker Tilly, has been with the firm since 2018.*



### **Baker Tilly US, LLP**

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[peter.haney@bakertilly.com](mailto:peter.haney@bakertilly.com)

[bakertilly.com](http://bakertilly.com)

### **Education**

Northwestern University  
Master of Arts in public policy  
and administration (anticipated  
graduation January 2021)

Bachelor of Business  
Administration in supply chain  
management and marketing  
University of Illinois at Urbana-  
Champaign

Management and Strategy  
Institute  
Certified Continuous  
Improvement Manager

Peter provides management consulting services to state, local, and tribal government clients. Peter has experience with multiple interdepartmental operational reviews with a focus on process improvements, including Economic & Community Development and Planning departments. As a Certified Continuous Improvement Manager (CCIM), Peter specializes in delivering value through the use of continuous improvement methodologies in all client deliverables and recommendations. Peter is also a graduate of Northwestern University's Master of Public Policy and Administration Program and The University of Illinois' Gies College of Business. Peter's education and work experience highlights his understanding of theory and reality in process efficiency and public administration.

### **Specific experience**

- Conducts operational and organizational reviews for public sector clients
- Assists in change management for organizations concerned with change agility
- Conducts gap analyses in organizational policies and procedures and provides recommendations for further development
- Reviews risks and strength of controls within processes
- Conducts data analyses of large data sets to draw conclusions and make recommendations
- Provides enterprise resource planning (ERP) system selection guidance for municipalities through needs assessments, development of requirements and requests for proposals, and vendor selection and implementation assistance
- Contributes to thought leadership and provides industry insights to clients through webinars, seminars, whitepapers and articles

### **Industry involvement**

- Illinois City/County Managers Association (ILCMA)
- International City/County Managers Association (ICMA)
- Illinois Association of Municipal Management Assistants (IAMMA)

**PARTNER**

## Andrea Jansen, CPA, CFE

*Andrea Jansen has been with the firm since 2005 and serves as a partner with the firm's public sector practice.*



### **Baker Tilly US, LLP**

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### **Education**

Master of Accountancy  
Bachelor of Business  
Administration in accounting  
University of Wisconsin –  
Madison

Andrea specializes in providing accounting, auditing and IT risk assessment services to the public sector, including municipalities, counties, utilities and school districts. Andrea is the public sector leader for Baker Tilly's technology risk community of practice. She is a certified fraud examiner.

### **Professional experience**

- Analyzes transactions, accounting systems and controls related to forensic matters for counties and municipalities
- Partner-in-charge of financial and compliance-related audits of government units including cities, towns, villages and counties, as well as school districts and utilities
- Partner-in-charge of single audit engagements for municipalities, counties and school districts
- Assists clients in implementing new accounting standards
- Prepares financial statements and other annual reports for government entities
- Provides accounting assistance, agreed-upon procedures and consulting services
- Performs and reviews IT risk assessment services
- Presents results and reporting to governing bodies and management
- Reviews and provides technical assistance to local governments participating in the GFOA Comprehensive Annual Financial Report award program
- Performs compliance and financial audits of tax increment financing districts and business improvement districts
- Offers recommendations on accounting policies and procedures to strengthen internal controls
- Licensed CPA in Wisconsin

**PARTNER**

## **Andrea Jansen, CPA, CFE**

*Page 2*

### **Industry involvement**

- American Institute of Certified Public Accountants
- Wisconsin Institute of Certified Public Accountants
- Wisconsin Government Finance Officers Association
- Association of Certified Fraud Examiners
- Presenter – University of Wisconsin-Green Bay, Clerks and Treasurer's Institute – "Fraud in government" (2021-2016); "Audit Preparation" (2019)
- Presenter – WIAWWA, "How Secure is Your Utility's Network? Assessing Cyber Risk" (2019)

SENIOR CONSULTANT

# Melanie Varghese

*Melanie Varghese, senior consultant with the public sector team, joined Baker Tilly in 2019.*



## Baker Tilly US, LLP

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[melanie.varghese@bakertilly.com](mailto:melanie.varghese@bakertilly.com)

[bakertilly.com](http://bakertilly.com)

## Education

Bachelor of Science in behavioral  
and community health  
University of Maryland  
College Park

Melanie specializes in business process improvement, risk and change management. She has managed teams in identifying program-related risks and has worked to develop mitigation strategies and contingency plans for large-scale organizations in both state and federal government.

Melanie has analyzed public sector organizations in several industries, including energy and utilities, oil and gas, human resources, education and health and human services. Additionally, she has strong experience engaging stakeholders, identifying areas of efficiency and providing recommendations in alignment with industry best practices.

## Specific experience

- Conducts in-depth reviews of existing documentation and elevates pain points and solutions
- Leads business process reviews to identify areas of operational improvement in alignment with industry best practices
- Creates detailed process workflows highlighting stakeholders' roles and pain points
- Documents processes and detailed standard operating procedures
- Engages stakeholders through surveys, interviews and workgroups to identify areas of efficiency
- Gathers requirements needed to develop visual dashboards
- Communicates and facilitates working sessions with multiple stakeholder groups
- Serves clients in the human resources, oil and gas, education, health and human services industries

## Community involvement

- Moveable Feast Volunteer
- Regional Service Team

## SENIOR CONSULTANT

# Christopher Strom, MPA

*Christopher Strom, senior consultant with the energy and utilities team, joined Baker Tilly in 2019.*



### **Baker Tilly US, LLP**

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### **Education**

Master of Public Administration  
Bachelor of Science, law  
enforcement and justice  
administration  
Western Illinois University  
(Macomb, Illinois)

Christopher specializes in various aspects of government, joining Baker Tilly with four years of first-hand industry experience. His areas of expertise include parks and recreation, public works, information technology, local government administration, finance, community development, public safety and capital project planning.

Christopher previously held a variety of positions with the Elmhurst Park District, Village of Itasca, DuPage Mayors and Managers Conference and Village of Kenilworth. He takes pride in creating trusted professional relationships with clients, with the goal of delivering effective results.

### **Specific experience**

- Financial system implementation
- Project management
- Public infrastructure management
- Policy creation and implementation
- S.W.O.T. analysis
- Government budgeting
- Operational and organizational reviews
- Operational and organizational policy audit
- Grant writing and post-award management

### **Industry involvement**

- Illinois City/County Management Association
- Illinois Association of Municipal Management Assistants

### **Community involvement**

- PADS Shelter Program, homeless shelter volunteer
- Habitat for Humanity

## DIRECTOR

# Marta Purdy, AICP

*Marta Purdy is a director with Baker Tilly's public sector advisory practice.*



### Baker Tilly US, LLP

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[bakertilly.com](http://bakertilly.com)

## Education

Master of City and Regional  
Planning  
University of North Carolina at  
Chapel Hill

Bachelor of Arts, geography,  
Certificate from the Nelson  
Institute of Environmental Studies  
University of Wisconsin –  
Madison

Marta recently joined Baker Tilly in 2021 and has more than 15 years of experience in managing public private partnerships (P3) towards investing in catalytic community development projects. Marta works with P3 teams to establish investment team partners and structures, set clear and shared visions, develop and execute complex financial and financing strategies, and manage design and approval processes. Before joining Baker Tilly, Marta worked at Vandewalle and Associates, a boutique urban planning and economic development consulting firm for 12 years, working throughout the Midwest.

## Specific experience

- Served as planning and economic development consultant for community development, economic development, market assessment, redevelopment, targeted area and city-wide planning initiatives for communities including: City of Davenport, Iowa; City of Moline, Illinois; City of Waterloo, Iowa; City of Rifle, Colorado; City of Muncie, Indiana.
- Work closely with public and private sector leaders to advance growth and development through effective relationship management, problem-solving, and interpersonal abilities.
- Perform financial analysis of economic development strategies and development initiatives to optimize available project financing options.
- Provide application and feasibility reviews for federal and state tax credit, financing, and funding programs.
- Advises on complex project implementation strategies focused on advancing client growth initiatives, often engaging public private partnerships, including corporate and non-profit organizations.
- Develops strategies, concepts, budgets, and implementation plans for place-based and/or industry-led economic development initiatives.

## Industry involvement

- American Institute of Certified Planners (AICP)
- American Planning Association (APA), National and Wisconsin Chapters

**STAFF CONSULTANT**

# Rachel Ramthun

*Rachel Ramthun is a staff consultant with Baker Tilly.*



**Baker Tilly US, LLP**

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[bakertilly.com](http://bakertilly.com)

## Education

Master of public affairs  
Master of urban and  
regional planning  
University of Wisconsin-Madison

Bachelor of Arts, political science  
and public administration  
University of Wisconsin-La Crosse

After interning with Baker Tilly and completing a double Master’s program at the University of Wisconsin-Madison, Rachel joined the Baker Tilly economic development practice full time in Jan. 2021. Rachel specializes in tax increment finance and other economic development incentives, community business mix and market analysis, and bridging the gap between economic development and public management.

Prior to joining Baker Tilly full time, Rachel was an associate outreach specialist with the Community Development Institute in the UW-Madison Division of Extension. Here, she conducted community and market analysis, as well as other related research, for communities around the state of Wisconsin. Additionally, she gained experience with conducting community surveys, design charrettes, and branding workshops.

## Specific experience

- Heavy involvement in preparation for and implementation of design charrettes and community branding processes for Kewaunee and Mineral Point, Wisconsin, in addition to participation in each for other Wisconsin communities. Involvement in the past has included administration of and analysis of community surveys, demographic and market research and analysis, and guiding stakeholder community-visioning workshops.
- Making recommendations for community improvement based on a balance of quantitative and qualitative data.
- Conducting trade area and market analyses for Wisconsin communities and making recommendations for business recruitment and retention.
- Estimating client’s potential economic development incentive awards.
- Researching and analyzing potential changes to Wisconsin TIF law and publishing recommendations.
- Researching and analyzing state statutes and federal code and understanding their implications.
- Working with, and on, community not-for-profit boards and understanding their importance in community and economic development.



# Attachment B: Sample Master Services Agreement

Date

Client  
Client Contact  
Address  
City, ST ZIP

RE: Engagement Letter Agreement Related to Services

This letter agreement (the “Engagement Letter”) is to confirm our understanding of the basis upon which Baker Tilly US, LLP (“Baker Tilly”) and its affiliates are being engaged by **Client** (the “Client”) to assist the Client with advisory services.

### **Scope, Objectives and Approach**

It is anticipated that projects undertaken in accordance with this Engagement Letter will be at the request of the Client. The scope of services, additional terms and associated fee for individual engagements will be contained in a Scope Appendix or Appendices to this Engagement Letter. Authorization to provide services will commence upon execution and return of this Engagement Letter and one or more Appendices.

### **Management's Responsibilities**

It is understood that Baker Tilly will serve in an advisory capacity with the Client. The Client is responsible for management decisions and functions, and for designating an individual with suitable skill, knowledge or experience to oversee the services we provide. The Client is responsible for evaluating the adequacy and results of the services performed and accepting responsibility for such services. The Client is responsible for establishing and maintaining internal controls, including monitoring ongoing activities.

The procedures we perform in our engagement will be heavily influenced by the representations that we receive from Client personnel. Accordingly, false representations could cause material errors to go undetected. The Client, therefore, agrees that Baker Tilly will have no liability in connection with claims based upon our failure to detect material errors resulting from false representations made to us by any Client personnel and our failure to provide an acceptable level of service due to those false representations.

The ability to provide service according to timelines established and at fees indicated will rely in part on receiving timely responses from the Client. The Client will provide information and responses to deliverables within the timeframes established in a Scope Appendix unless subsequently agreed otherwise in writing.

The responsibility for auditing the records of the Client rests with the Client’s separately retained auditor and the work performed by Baker Tilly shall not include an audit or review of the records or the expression of an opinion on financial data.

### **Ownership of Intellectual Property**

Unless otherwise stated in a specific Scope Appendix, subject to Baker Tilly's rights in Baker Tilly's Knowledge (as defined below), Client shall own all intellectual property rights in the deliverables developed under the applicable Scope Appendix or Appendices ("Deliverables"). Notwithstanding the foregoing, Baker Tilly will maintain all ownership right, title and interest to all Baker Tilly's Knowledge. For purposes of this Agreement "Baker Tilly's Knowledge" means Baker Tilly's proprietary programs, modules, products, inventions, designs, data, or other information, including all copyright, patent, trademark and other intellectual property rights related thereto, that are (1) owned or developed by Baker Tilly prior to the Effective Date of this Agreement or the applicable Scope Appendix or Appendices ("Baker Tilly's Preexisting Knowledge") (2) developed or obtained by Baker Tilly after the Effective Date, that are reusable from client to client and project to project, where Client has not paid for such development; and (3) extensions, enhancements, or modifications of Baker Tilly's Preexisting Knowledge which do not include or incorporate Client's confidential information. To the extent that any Baker Tilly Knowledge is incorporated into the Deliverables, Baker Tilly grants to Client a non-exclusive, paid up, perpetual royalty-free worldwide license to use such Baker Tilly Knowledge in connection with the Deliverables, and for no other purpose without the prior written consent of Baker Tilly. Additionally, Baker Tilly may maintain copies of its work papers for a period of time and for use in a manner sufficient to satisfy any applicable legal or regulatory requirements for records retention.

If Audit, Tax work, bond work, regulated work we need to retain ownership and should use the following:

The supporting documentation for this engagement, including, but not limited to work papers, is the property of Baker Tilly and constitutes confidential information. We may have a responsibility to retain the documentation for a period of time sufficient to satisfy any applicable legal or regulatory requirements for records retention. If we are required by law, regulation or professional standards to make certain documentation available to required third parties, the Client hereby authorizes us to do so.

### **Timing and Fees**

Specific services will commence upon execution and return of a Scope Appendix to this Engagement Letter and our professional fees will be based on the rates outlined in such Scope Appendix.

Unless otherwise stated, in addition to the fees described in a Scope Appendix the Client will pay all of Baker Tilly's reasonable out-of-pocket expenses incurred in connection with the engagement. All out of pocket costs will be passed through at cost and will be in addition to the professional fee.

### **Dispute Resolution**

Except for disputes related to confidentiality or intellectual property rights, all disputes and controversies between the parties hereto of every kind and nature arising out of or in connection with this Engagement Letter or the applicable Scope Appendix or Appendices as to the existence, construction, validity, interpretation or meaning, performance, nonperformance, enforcement, operation, breach, continuation, or termination of this Agreement or the applicable Scope Appendix or Appendices as shall be resolved as set forth in this section using the following procedure: In the unlikely event that differences concerning the services or fees provided by Baker Tilly should arise that are not resolved by mutual agreement, both parties agree to attempt in good faith to settle the dispute by engaging in mediation administered by the American Arbitration Association under its mediation rules for professional accounting and related services disputes before resorting to litigation or any other dispute resolution procedure. Each party shall bear their own expenses from mediation and the fees and expenses of the mediator shall be shared equally by the parties. If the dispute is not resolved by mediation, then the parties agree to expressly waive trial by jury in any judicial proceeding involving directly or indirectly, any matter (whether sounding in tort, contract, or otherwise) in any way arising out of, related to, or connected with this Agreement or the applicable Scope Appendix or Appendices as or the relationship of the parties established hereunder.

Because a breach of any the provisions of this Engagement Letter or the applicable Scope Appendix or Appendices as concerning confidentiality or intellectual property rights will irreparably harm the non-breaching party, Client and Baker Tilly agree that if a party breaches any of its obligations thereunder, the non-breaching party shall, without limiting its other rights or remedies, be entitled to seek equitable relief (including, but not limited to, injunctive relief) to enforce its rights thereunder, including without limitation protection of its proprietary rights. The parties agree that the parties need not invoke the mediation procedures set forth in this section in order to seek injunctive or declaratory relief.

### **Limitation on Damages**

To the extent allowed under applicable law, the aggregate liability (including attorney's fees and all other costs) of either party and its present or former partners, principals, agents or employees to the other party related to the services performed under an applicable Scope Appendix or Appendices shall not exceed the fees paid to Baker Tilly under the applicable Scope Appendix or Appendices to which the claim relates, except to the extent finally determined to have resulted from the gross negligence, willful misconduct or fraudulent behavior of the at-fault party. Additionally, in no event shall either party be liable for any lost profits, lost business opportunity, lost data, consequential, special, incidental, exemplary or punitive damages, delays or interruptions arising out of or related to this Engagement Letter or the applicable Scope Appendix or Appendices as even if the other party has been advised of the possibility of such damages.

Each party recognizes and agrees that the warranty disclaimers and liability and remedy limitations in this Engagement Letter are material bargained for bases of this Engagement Letter and that they have been taken into account and reflected in determining the consideration to be given by each party under this Engagement Letter and in the decision by each party to enter into this Engagement Letter.

The terms of this section shall apply regardless of the nature of any claim asserted (including, but not limited to, contract, tort or any form of negligence, whether of you, Baker Tilly or others), but these terms shall not apply to the extent finally determined to be contrary to the applicable law or regulation. These terms shall also continue to apply after any termination of this Engagement Letter.

You accept and acknowledge that any legal proceedings arising from or in conjunction with the services provided under this Engagement Letter must be commenced within twelve (12) months after the performance of the services for which the action is brought, without consideration as to the time of discovery of any claim.

### **Other Matters**

#### E-Verify Program

Baker Tilly participates in the E-Verify program. For the purpose of this paragraph, the E-Verify program means the electronic verification of the work authorization program of the Illegal Immigration Reform and Immigration Responsibility Act of 1996 (P.L. 104-208), Division C, Title IV, s.401(a), as amended, operated by the United States Department of Homeland Security or a successor work authorization program designated by the United States Department of Homeland Security or other federal agency authorized to verify the work authorization status of newly hired employees under the Immigration Reform and Control Act of 1986 (P.L. 99-603). Baker Tilly does not employ any "unauthorized aliens" as that term is defined in 8 U.S.C. 1324a(h)(3).

#### Investments

Baker Tilly certifies that pursuant to Indiana Code 5-22-16.5 *et seq.* Baker Tilly is not now engaged in investment activities in Iran. Baker Tilly understands that providing a false certification could result in the fines, penalties, and civil action listed in I.C. 5-22-16.5-14.

#### Non-Discrimination

Pursuant to Indiana Code §22-9-1-10, Baker Tilly and its subcontractors, if any, shall not discriminate against any employee or applicant for employment to be employed in the performance of this Engagement Letter, with respect to hire, tenure, terms, conditions or privileges of employment or any matter directly or indirectly related to employment, because of race, religion, color, sex, disability, national origin, ancestry, or veteran status. Breach of this covenant may be regarded as a material breach of this Engagement Letter.

Baker Tilly certifies that, except for de minimis and non-systematic violations, it has not violated the terms of I.C. 24-4.7, I.C. 24-5-12, or I.C. 24-5-14 in the previous three hundred sixty-five (365) days, even if I.C. 24-4.7 is preempted by federal law, and that Baker Tilly will not violate the terms of I.C. 24-4.7 for the duration of the Engagement Letter, even if I.C. 24-4.7 is preempted by federal law. Baker Tilly further certifies that any affiliate or principal of Baker Tilly and any agent acting on behalf of Baker Tilly or on behalf of any affiliate or principal of Baker Tilly, except for de minimis and non-systematic violations, has not violated the terms of I.C. 24-4.7 in the previous three hundred sixty-five (365) days, even if I.C. 24-4.7 is preempted by federal law, and will not violate the terms of I.C. 24-4.7 for the duration of the Engagement Letter, even if I.C. 24-4.7 is preempted by federal law.

#### Anti-Nepotism

The Firm is aware of the provisions under IC 36-1-21 et seq. with respect to anti-nepotism in contractual relationships with governmental entities. The Firm is not aware of any relative (as defined in IC 36-1-21-3) of any elected official (as defined in IC 36-1-21-2) of the Client who is an owner or an employee of the Firm.

- The Firm acknowledges that a Baker Tilly employee is a relative ( ) to a member of the Client's . The Baker Tilly employee will not be involved in the engagement and the Client's Official will not be the final decision maker for this engagement.

In the event Baker Tilly is requested by the Client; or required by government regulation, subpoena, or other legal process to produce our engagement working papers or its personnel as witnesses with respect to its Services rendered for the Client, so long as Baker Tilly is not a party to the proceeding in which the information is sought, Client will reimburse Baker Tilly for its professional time and expenses, as well as the fees and legal expenses incurred in responding to such a request.

Neither this Engagement Letter, any claim, nor any rights or licenses granted hereunder may be assigned, delegated, or subcontracted by either party without the 'written consent of the other party. Either party may assign and transfer this Engagement Letter to any successor that acquires all or substantially all of the business or assets of such party by way of merger, consolidation, other business reorganization, or the sale of interest or assets, provided that the party notifies the other party in writing of such assignment and the successor agrees in writing to be bound by the terms and conditions of this Engagement Letter.

In the event that any provision of this Engagement Letter or statement of work contained in a Scope Appendix hereto is held by a court of competent jurisdiction to be unenforceable because it is invalid or in conflict with any law of any relevant jurisdiction, the validity of the remaining provisions shall not be affected, and the rights and obligations of the parties shall be construed and enforced as if the Engagement Letter or statement of work did not contain the particular provisions held to be unenforceable. The unenforceable provisions shall be replaced by mutually acceptable provisions which, being valid, legal and enforceable, come closest to the intention of the parties underlying the invalid or unenforceable provision. If the Services should become subject to the independence rules of the U.S. Securities and Exchange Commission with respect to Client, such that any provision of this Engagement Letter would impair Baker Tilly's independence under its rules, such provision(s) shall be of no effect.

#### **Termination**

Both the Client and Baker Tilly have the right to terminate this Engagement Letter or any work being done under an individual Scope Appendix at any time after reasonable advance written notice. On termination, all fees and charges incurred prior to termination shall be paid promptly. Unless otherwise agreed to by the Client and Baker Tilly, the scope of services provided in a Scope Appendix will terminate 60 days after completion of the services in such Appendix.

### Important Disclosures

Incorporated as Attachment A and part of this Engagement Letter are important disclosures. These include disclosures that apply generally and those that are applicable in the event Baker Tilly is engaged to provide municipal advisory services.

This Engagement Letter, including the attached Disclosures as updated from time to time, comprises the complete and exclusive statement of the agreement between the parties, superseding all proposals, oral or written, and all other communications between the parties. Both parties acknowledge that work performed pursuant to the Engagement Letter will be done through Scope Appendices executed and made a part of this document.

Any rights and duties of the parties that by their nature extend beyond the expiration or termination of this Engagement Letter shall survive the expiration or termination of this Engagement Letter or any statement of work contained in a Scope Appendix hereto.

If this Engagement Letter is acceptable, please sign below and return one copy to us for our files.

Sincerely,

### Signature Section:

The terms as set forth in this Engagement Letter are agreed to on behalf of the Client by:

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

## **Attachment A Important Disclosures**

### Non-Exclusive Services

Client acknowledges and agrees that Baker Tilly, including but not limited to Baker Tilly US, LLP, Baker Tilly Municipal Advisors, LLC, Baker Tilly Capital, LLC, and Baker Tilly Investment Services, LLC, is free to render municipal advisory and other services to the Client or others and that Baker Tilly does not make its services available exclusively to the Client.

### Affiliated Entities

Baker Tilly US, LLP is an independent member of Baker Tilly International. Baker Tilly International Limited is an English company. Baker Tilly International provides no professional services to clients. Each member firm is a separate and independent legal entity and each describes itself as such. Baker Tilly US, LLP is not Baker Tilly International's agent and does not have the authority to bind Baker Tilly International or act on Baker Tilly International's behalf. None of Baker Tilly International, Baker Tilly US, LLP, nor any of the other member firms of Baker Tilly International has any liability for each other's acts or omissions. The name Baker Tilly and its associated logo is used under license from Baker Tilly International Limited.

Baker Tilly Investment Services, LLC ("BTIS"), a U.S. Securities and Exchange Commission ("SEC") registered investment adviser, may provide services to the Client in connection with the investment of proceeds from an issuance of securities. In such instances, services will be provided under a separate engagement, for an additional fee. Notwithstanding the foregoing, Baker Tilly may act as solicitor for and recommend the use of BTIS, but the Client shall be under no obligation to retain BTIS or to otherwise utilize BTIS relative to Client's investments. The fees paid with respect to investment services are typically based in part on the size of the issuance proceeds and Baker Tilly may have incentive to recommend larger financings than would be in the Client's best interest. Baker Tilly will manage and mitigate this potential conflict of interest by this disclosure of the affiliated entity's relationship, a Solicitation Disclosure Statement when Client retains BTIS's services and adherence to Baker Tilly's fiduciary duty and/or fair dealing obligations to the Client.

Baker Tilly Capital, LLC ("BTC") Baker Tilly Capital, LLC ("BTC") is a limited service broker-dealer specializing in merger and acquisition, capital sourcing, project finance and corporate finance advisory services. BTC does not participate in any municipal offerings advised on by its affiliate Baker Tilly Municipal Advisors. Any services provided to Client by BTC would be done so under a separate engagement for an additional fee.

Baker Tilly Municipal Advisors ("BTMA") is registered as a "municipal advisor" pursuant to Section 15B of the Securities Exchange Act and rules and regulations adopted by the SEC and the Municipal Securities Rulemaking Board ("MSRB"). As such, BTMA may provide certain specific municipal advisory services to the Client. BTMA is neither a placement agent to the Client nor a broker/dealer. The offer and sale of any Bonds is made by the Client, in the sole discretion of the Client, and under its control and supervision. The Client acknowledges that BTMA does not undertake to sell or attempt to sell bonds or other debt obligations and will not take part in the sale thereof.

Baker Tilly, may provide services to the Client in connection with human resources consulting, including, but not limited to, executive recruitment, talent management and community survey services. In such instances, services will be provided under a separate scope of work for an additional fee. Certain executives of the Client may have been hired after the services of Baker Tilly were utilized and may make decisions about whether to engage other services of Baker Tilly or its subsidiaries. Notwithstanding the foregoing, Baker Tilly may recommend the use of Baker Tilly or a subsidiary, but the Client shall be under no obligation to retain Baker Tilly or a subsidiary or to otherwise utilize either relative to the Client's activities.

## Conflict Disclosure Applicable to Municipal Advisory Services Provided by BTMA

*Legal or Disciplinary Disclosure.* BTMA is required to disclose to the SEC information regarding criminal actions, regulatory actions, investigations, terminations, judgments, liens, civil judicial actions, customer complaints, arbitrations and civil litigation involving BTMA. Pursuant to MSRB Rule G-42, BTMA is required to disclose any legal or disciplinary event that is material to the Client's evaluation of BTMA or the integrity of its management or advisory personnel.

There are no criminal actions, regulatory actions, investigations, terminations, judgments, liens, civil judicial actions, customer complaints, arbitrations or civil litigation involving BTMA. Copies of BTMA filings with the SEC can currently be found by accessing the SEC's EDGAR system Company Search Page which is currently available at <https://www.sec.gov/edgar/searchedgar/companysearch.html> and searching for either Baker Tilly Municipal Advisors, LLC or for our CIK number which is 0001616995. The MSRB has made available on its website ([www.msrb.org](http://www.msrb.org)) a municipal advisory client brochure that describes the protections that may be provided by MSRB rules and how to file a complaint with the appropriate regulatory authority.

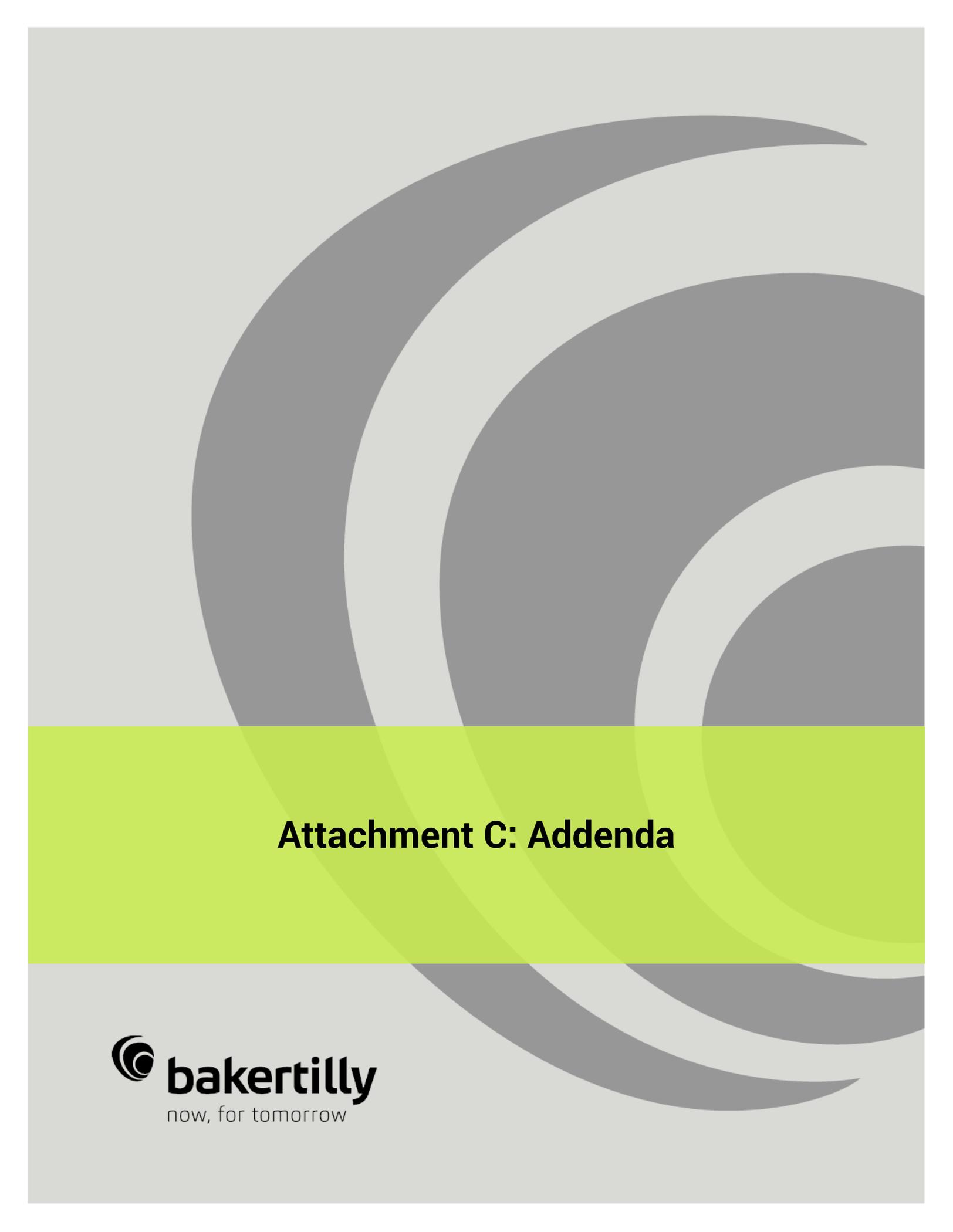
*Contingent Fee.* The fees to be paid by the Client to BTMA are or may be based on the size of the transaction and partially contingent on the successful closing of the transaction. Although this form of compensation may be customary in the municipal securities market, it presents a conflict because BTMA may have an incentive to recommend unnecessary financings, larger financings or financings that are disadvantageous to the Client. For example, when facts or circumstances arise that could cause a financing or other transaction to be delayed or fail to close, BTMA may have an incentive to discourage a full consideration of such facts and circumstances, or to discourage consideration of alternatives that may result in the cancellation of the financing or other transaction.

*Hourly Fee Arrangements.* Under an hourly fee form of compensation, BTMA will be paid an amount equal to the number of hours worked multiplied by an agreed upon billing rate. This form of compensation presents a potential conflict of interest if BTMA and the Client do not agree on a maximum fee under the applicable Appendix to this Engagement Letter because BTMA will not have a financial incentive to recommend alternatives that would result in fewer hours worked. In addition, hourly fees are typically payable by the Client whether or not the financing transaction closes.

*Fixed Fee Arrangements.* The fees to be paid by the Client to BTMA may be in a fixed amount established at the outset of the service. The amount is usually based upon an analysis by Client and BTMA of, among other things, the expected duration and complexity of the transaction and the work documented in the Scope Appendix to be performed by Baker Tilly. This form of compensation presents a potential conflict of interest because, if the transaction requires more work than originally contemplated, Baker Tilly may suffer a loss. Thus, Baker Tilly may recommend less time-consuming alternatives, or fail to do a thorough analysis of alternatives.

BTMA manages and mitigates conflicts related to fees and/or other services provided primarily through clarity in the fee to be charged and scope of work to be undertaken and by adherence to MSRB Rules including, but not limited to, the fiduciary duty which it owes to the Client requiring BTMA to put the interests of the Client ahead of its own and BTMA's duty to deal fairly with all persons in its municipal advisory activities.

To the extent any additional material conflicts of interest have been identified specific to a scope of work the conflict will be identified in the respective Scope Appendix. Material conflicts of interest that arise after the date of a Scope Appendix will be provide to the Client in writing at that time.



**Attachment C: Addenda**



**#2022-06**  
**REQUEST FOR PROPOSALS**  
**STRATEGIC PLANNING PROCESS**  
**ROCK COUNTY**

**ADDENDUM #1**  
**QUESTIONS / ROCK COUNTY RESPONSES**

Rock County's responses are in **bold** and underlined.

1. Whether companies from Outside USA can apply for this? (like, from India or Canada) **Yes**
2. Whether we need to come over there for meetings? **Yes but some may be conducted remotely. Can be further defined thru potential interview phase.**
3. Can we perform the tasks (related to RFP) outside USA? (like, from India or Canada)  
**Some tasks could be performed remotely but some will need to be on-site. Can be further defined thru potential interview phase.**
4. Can we submit the proposals via email? **Only hard copy mailed at this time.**
5. Does the County have regular/ongoing opportunities, channels, and venues for engaging the community?  
**None, other than livestreaming and/or zoom meetings open to the public.**  
If so, can the County briefly describe the County's engagement activities?
6. Has the County conducted a citizen engagement/customer satisfaction survey within the past year or two?  
If so, can the survey and results be provided to us? **Rock County has never conducted a citizen engagement/customer satisfaction survey.**
7. What methods of employee engagement does the County have in place in addition to the employee survey deployed in September 2021? Please describe. **Annually, employees are surveyed regarding suggestions to update/revise the County's personnel policies and procedures. Management reviews employee input and makes recommendations to the County Board.**  
**Rock County has also conducted employee engagement surveys for a number of years.**
8. What mechanisms does the County have in place (e.g. existing performance measures or annual Reporting) that would support the monitoring and evaluating of progress on the strategic plan? **None.**
9. Has the County contemplated how it might utilize the Blue Ribbon Commission in the strategic planning process, and if so can the County please describe its thoughts to date? **The Blue Ribbon Commission expects to be involved throughout the process in the role of oversight/sounding board, including reviewing/recommending project consultant.**
10. For planning and scoping purposes, can you please share your project budget estimate? **\$50,000 has been budgeted for this project.**
11. Does the County expect the consulting team to provide the final strategic plan as a professional Design the documents. professionally design? **Rock County does not intend to professionally design the final strategic plan. The consultant should determine the format in which they would like to deliver the final plan.**

12. Please provide the budget for this project. We do not price according to the budget. However, we are able to learn more about potential client expectations by knowing the budget. **\$50,000 has been budgeted for this project.**
13. Is it possible to receive addenda by Monday, February 7 (96 hours prior to due date)? Because of shipping delays, we will be mailing our proposal no later than February 8 and may not receive the addendum in time. **The final addenda will be issued on Tuesday, January 25, 2022 and available on the County's website.**
14. We understand the parts of the proposal are listed as appendices. Is it ok to have the appendices in one flowing document with a cover letter, table of contents and attachments as long as page numbers are listed on Appendix A? **Yes**
15. the current job descriptions considered accurate from the perspective of employees, managers, and HR? **Position descriptions are updated during annual performance evaluations.**
16. Is the County open to employees completing Position Description Questionnaires to provide the most accurate and recent job responsibilities? **Yes.**
17. Has the County conducted a compensation study in the past? If so, when? **Rock County conducted their own compensation study in 2016.**
18. Can the proposal be submitted electronically or is hard copy required? **Hard copy.**
19. Is it possible to receive addenda by Monday, February 7 (96 hours prior to due date)? Because of shipping delays, we will be mailing our proposal no later than February 8 and may not receive the addendum in time. **Yes, addenda will be out well before that date, by Friday, January 28.**



**#2022-06**  
**REQUEST FOR PROPOSALS**  
**STRATEGIC PLANNING PROCESS**  
**ROCK COUNTY**

**ADDENDUM #1**  
**QUESTIONS / ROCK COUNTY RESPONSES**

**SIGN AND RETURN THIS FORM WITH BID.**

COMPANY: Baker Tilly US, LLP  
SIGNATURE: David W. Cink  
DATE RECEIVED: January 27, 2022