

Proposal to serve

National Cooperative Purchasing Alliance

Business and IT Consulting and
Advisory Services

Solicitation Number: 41-20

November 19, 2020



EY

Building a better
working world



Ernst & Young LLP
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National Cooperative Purchasing Alliance
P.O. Box 701273
Houston, TX 77270

November 19, 2020

Dear NCPA Selection Committee:

We greatly appreciate the mission of the NCPA to enable public agencies across the country to access quality advisors and products, gain efficiencies and lower costs through the economies of scale and shared services approach a partnership with your organization offers. Thank you for this opportunity to describe EY's capabilities across the desired services RFP #41-20 requests for Business and IT Consulting and Advisory Services.

EY is one of the world's oldest, largest and fastest-growing integrated professional services organizations and a global leader in assurance, tax, strategy and transaction and consulting services. With nearly 300,000 people globally, and 49,000 people in 90 offices across the US, EY helps governments, investors and corporations globally working on their most complex projects.

EY brings a fresh, objective perspective to our clients through the development of innovative solutions to emerging and enduring challenges. We help empower government and public sector clients to respond more effectively to the needs and expectations of their communities by supporting the execution of policy and program initiatives, leveraging new technology, managing risk, increasing transparency and driving results. Among the outcomes we facilitate are improved service delivery, management of budget deficits, implementation of world-class infrastructure, and strategic collaboration between the public and private sectors.

Like NCPA's public sector leaders' respective agendas, EY is committed to building a better working world; one with increased trust and confidence in government, business, sustainable growth, and development of talent in all its forms. The needs and expectations of communities are increasing while the resources at their disposal are finite, now more than ever. Demands on the public sector are high, obliging governments and other public entities to find effective and innovative ways to support and reinvest in the well-being of their communities. Moreover, the financial upheaval that has gripped markets since 2008 and the current pandemic presents additional challenges and a growing list of mandates and obligations that are increasingly difficult to manage.

EY delivers a unified suite of capabilities, seamlessly coordinated by dedicated professionals with direct experience across your desired services. Our relentless focus is on implementation, minimizing risk in projects and supporting our clients in achieving their desired results. For our public sector clients, this includes integrating best practices from the private sector with a strong understanding of the unique requirements, values and objectives of agencies' leaders.

By working with EY, the NCPA will enable its stakeholders to tap into our wide array of capabilities across the Business and IT Consulting landscape, an area where EY has received noteworthy accolades such as:

- ▶ **Diversity and People focus** - EY was named to the DiversityInc Top 50 Hall of Fame for the last three consecutive years (2018-2020) and named a Best Workplace for Diversity in 2019 by Great Place to Work Institute,
- ▶ **Technology focus** - Forrester named EY as 2019 Leader for Global Business Transformation Accelerators, and
- ▶ **Consulting** - EY was named a 2019 market leader for Business Strategy & Planning Consulting by ALM Intelligence.

It will be our sincere pleasure to serve our mutual stakeholders together, to help them with their operational needs and biggest challenges.

Respectfully,

Jackie P. Taylor
Principal, EY US LLP, and Coordinating Partner for the State of New Jersey

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Information in these materials relating to our approach, methodologies or pricing is confidential and proprietary to Ernst & Young LLP and/or EY and may not be disclosed to third parties without our prior written consent.

Ernst & Young LLP (EY US or the Firm) is submitting this proposal. EY US is part of the global organization of member firms (collectively, EY) of Ernst & Young Global Limited, separate legal entities that perform professional services under the EY name worldwide.

Signature Form



Tab 1 – Master Agreement

General Terms and Conditions

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

- ◆ Disclosures
 - Respondent affirms that he/she has not given, offered to give, nor intends to give at any time hereafter any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor or service to a public servant in connection with this contract.
 - The respondent affirms that, to the best of his/her knowledge, the offer has been arrived at independently, and is submitted without collusion with anyone to obtain information or gain any favoritism that would in any way limit competition or give an unfair advantage over other vendors in the award of this contract.

- ◆ Renewal of Contract
 - Unless otherwise stated, all contracts are for a period of three (3) years with an option to renew for up to two (2) additional one-year terms or any combination of time equally not more than 2 years if agreed to by Region 14 ESC and the vendor.

- ◆ Funding Out Clause
 - Any/all contracts exceeding one (1) year shall include a standard “funding out” clause. A contract for the acquisition, including lease, of real or personal property is a commitment of the entity’s current revenue only, provided the contract contains either or both of the following provisions:
 - Retains to the entity the continuing right to terminate the contract at the expiration of each budget period during the term of the contract and is conditioned on a best efforts attempt by the entity to obtain appropriate funds for payment of the contract.

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

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

- ◆ Payments
 - The entity using the contract will make payments directly to the awarded vendor or their affiliates (distributors/business partners/resellers) as long as written request and approval by NCPA is provided to the awarded vendor.
- ◆ Adding authorized distributors/dealers
 - Awarded vendors may submit a list of distributors/partners/resellers to sell under their contract throughout the life of the contract. Vendor must receive written approval from NCPA before such distributors/partners/resellers considered authorized.
 - Purchase orders and payment can only be made to awarded vendor or distributors/business partners/resellers previously approved by NCPA.
 - Pricing provided to members by added distributors or dealers must also be less than or equal to the pricing offered by the awarded contract holder.
 - All distributors/partners/resellers are required to abide by the Terms and Conditions of the vendor's agreement with NCPA.
- ◆ Pricing
 - All pricing submitted shall include the administrative fee to be remitted to NCPA by the awarded vendor. It is the awarded vendor's responsibility to keep all pricing up to date and on file with NCPA.
 - All deliveries shall be freight prepaid, F.O.B. destination and shall be included in all pricing offered unless otherwise clearly stated in writing
- ◆ Warranty
 - Proposals should address each of the following:
 - Applicable warranty and/or guarantees of equipment and installations including any conditions and response time for repair and/or replacement of any components during the warranty period.
 - Availability of replacement parts
 - Life expectancy of equipment under normal use
 - Detailed information as to proposed return policy on all equipment
- ◆ Indemnity
 - The awarded vendor shall protect, indemnify, and hold harmless Region 14 ESC and its participants, administrators, employees and agents against all claims, damages, losses and expenses arising out of or resulting from the actions of the vendor, vendor employees or vendor subcontractors in the preparation of the solicitation and the later execution of the contract.
- ◆ Franchise Tax
 - The respondent hereby certifies that he/she is not currently delinquent in the payment of any franchise taxes.

◆ Supplemental Agreements

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

◆ Certificates of Insurance

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

◆ Legal Obligations

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

◆ Protest

- A protest of an award or proposed award must be filed in writing within ten (10) days from the date of the official award notification and must be received by 5:00 pm CST. Protests shall be filed with Region 14 ESC and shall include the following:
 - Name, address and telephone number of protester
 - Original signature of protester or its representative
 - Identification of the solicitation by RFP number
 - Detailed statement of legal and factual grounds including copies of relevant documents and the form of relief requested
- Any protest review and action shall be considered final with no further formalities being considered.

◆ Force Majeure

- If by reason of Force Majeure, either party hereto shall be rendered unable wholly or in part to carry out its obligations under this Agreement then such party shall give notice and full particulars of Force Majeure in writing to the other party within a reasonable time after occurrence of the event or cause relied upon, and the obligation of the party giving such notice, so far as it is affected by such Force Majeure, shall be suspended during the continuance of the inability then claimed, except as hereinafter provided, but for no longer period, and such party shall endeavor to remove or overcome such inability with all reasonable dispatch.
- The term Force Majeure as employed herein, shall mean acts of God, strikes, lockouts, or other industrial disturbances, act of public enemy, orders of any kind of government of the

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

◆ Prevailing Wage

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

◆ Miscellaneous

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

◆ Open Records Policy

- Because Region 14 ESC is a governmental entity responses submitted are subject to release as public information after contracts are executed. If a vendor believes that its response, or parts of its response, may be exempted from disclosure, the vendor must specify page-by-page and line-by-line the parts of the response, which it believes, are exempt. In addition, the respondent must specify which exception(s) are applicable and provide detailed reasons to substantiate the exception(s).
- The determination of whether information is confidential and not subject to disclosure is the duty of the Office of Attorney General (OAG). Region 14 ESC must provide the OAG sufficient information to render an opinion and therefore, vague and general claims to confidentiality by the respondent are not acceptable. Region 14 ESC must comply with the opinions of the OAG. Region 14 ESC assumes no responsibility for asserting legal arguments on behalf of any vendor. Respondent are advised to consult with their legal counsel concerning disclosure issues resulting from this procurement process and to take precautions to safeguard trade secrets and other proprietary information.

Process

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

- ◆ Contract Administration
 - The contract will be administered by Region 14 ESC. The National Program will be administered by NCPA on behalf of Region 14 ESC.
- ◆ Contract Term
 - The contract term will be for three (3) year starting from the date of the award. The contract may be renewed for up to two (2) additional one-year terms or any combination of time equally not more than 2 years.
 - It should be noted that maintenance/service agreements may be issued for up to (5) years under this contract even if the contract only lasts for the initial term of the contract. NCPA will monitor any maintenance agreements for the term of the agreement provided they are signed prior to the termination or expiration of this contract.
- ◆ Contract Waiver
 - Any waiver of any provision of this contract shall be in writing and shall be signed by the duly authorized agent of Region 14 ESC. The waiver by either party of any term or condition of this contract shall not be deemed to constitute waiver thereof nor a waiver of any further or additional right that such party may hold under this contract.
- ◆ Products and Services additions
 - Products and Services may be added to the resulting contract during the term of the contract by written amendment, to the extent that those products and services are within the scope of this RFP.
- ◆ Competitive Range
 - It may be necessary for Region 14 ESC to establish a competitive range. Responses not in the competitive range are unacceptable and do not receive further award consideration.
- ◆ Deviations and Exceptions
 - Deviations or exceptions stipulated in response may result in disqualification. It is the intent of Region 14 ESC to award a vendor's complete line of products and/or services, when possible.
- ◆ Estimated Quantities
 - The estimated dollar volume of Products and Services purchased under the proposed Master Agreement is \$15 - \$20 million dollars annually. This estimate is based on the anticipated volume of Region 14 ESC and current sales within the NCPA program. There is no guarantee or commitment of any kind regarding usage of any contracts resulting from this solicitation

- ◆ Evaluation
 - Region 14 ESC will review and evaluate all responses in accordance with, and subject to, the relevant statutes, ordinances, rules and regulations that govern its procurement practices. NCPA will assist the lead agency in evaluating proposals. Recommendations for contract awards will be based on multiple factors, each factor being assigned a point value based on its importance.
- ◆ Formation of Contract
 - A response to this solicitation is an offer to contract with Region 14 ESC based upon the terms, conditions, scope of work, and specifications contained in this request. A solicitation does not become a contract until it is accepted by Region 14 ESC. The prospective vendor must submit a signed Signature Form with the response thus, eliminating the need for a formal signing process.
- ◆ NCPA Administrative Agreement
 - The vendor will be required to enter and execute the National Cooperative Purchasing Alliance Administration Agreement with NCPA upon award with Region 14 ESC. The agreement establishes the requirements of the vendor with respect to a nationwide contract effort.
- ◆ Clarifications / Discussions
 - Region 14 ESC may request additional information or clarification from any of the respondents after review of the proposals received for the sole purpose of elimination minor irregularities, informalities, or apparent clerical mistakes in the proposal. Clarification does not give respondent an opportunity to revise or modify its proposal, except to the extent that correction of apparent clerical mistakes results in a revision. After the initial receipt of proposals, Region 14 ESC reserves the right to conduct discussions with those respondent's whose proposals are determined to be reasonably susceptible of being selected for award. Discussions occur when oral or written communications between Region 14 ESC and respondent's are conducted for the purpose clarifications involving information essential for determining the acceptability of a proposal or that provides respondent an opportunity to revise or modify its proposal. Region 14 ESC will not assist respondent bring its proposal up to the level of other proposals through discussions. Region 14 ESC will not indicate to respondent a cost or price that it must meet to neither obtain further consideration nor will it provide any information about other respondents' proposals or prices.
- ◆ Multiple Awards
 - Multiple Contracts may be awarded as a result of the solicitation. Multiple Awards will ensure that any ensuing contracts fulfill current and future requirements of the diverse and large number of participating public agencies.
- ◆ Past Performance
 - Past performance is relevant information regarding a vendor's actions under previously awarded contracts; including the administrative aspects of performance; the vendor's history of reasonable and cooperative behavior and commitment to customer satisfaction; and generally, the vendor's businesslike concern for the interests of the customer.

Evaluation Criteria

- ◆ Pricing (40 points)
 - Electronic Price Lists
 - Products, Services, Warranties, etc. price list
 - Prices listed will be used to establish both the extent of a vendor's product lines, services, warranties, etc. available from a particular bidder and the pricing per item.

- ◆ Ability to Provide and Perform the Required Services for the Contract (25 points)
 - Product Delivery within participating entities specified parameters
 - Number of line items delivered complete within the normal delivery time as a percentage of line items ordered.
 - Vendor's ability to perform towards above requirements and desired specifications.
 - Past Cooperative Program Performance
 - Quantity of line items available that are commonly purchased by the entity.
 - Quality of line items available compared to normal participating entity standards.

- ◆ References (15 points)
 - A minimum of ten (10) customer references for product and/or services of similar scope dating within past 3 years

- ◆ Technology for Supporting the Program (10 points)
 - Electronic on-line catalog, order entry use by and suitability for the entity's needs
 - Quality of vendor's on-line resources for NCPA members.
 - Specifications and features offered by respondent's products and/or services

- ◆ Value Added Services Description, Products and/or Services (10 points)
 - Marketing and Training
 - Minority and Women Business Enterprise (MWBE) and (HUB) Participation
 - Customer Service

Signature Form

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

Prices are guaranteed: **120 days**

Ernst & Young LLP (EY US)

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Jackie Taylor

Principal



Tab 2 - NCPA
Administration Agreement

Tab 2 – NCPA Administration Agreement

This Administration Agreement is made as of December 8, 2020, by and between National Cooperative Purchasing Alliance (“NCPA”) and Ernst & Young LLP (EY US) (“Vendor”).

Recitals

WHEREAS, Region 14 ESC has entered into a certain Master Agreement dated December 8, 2020, referenced as Contract Number 11-58, by and between Region 14 ESC and Vendor, as may be amended from time to time in accordance with the terms thereof (the “Master Agreement”), for the purchase of Business and IT Consulting and Advisory Services;

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

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

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

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

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

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

◆ General Terms and Conditions

- The Master Agreement, attached hereto as Tab 1 and incorporated herein by reference as though fully set forth herein, and the terms and conditions contained therein shall apply to this Agreement except as expressly changed or modified by this Agreement.
- NCPA shall be afforded all of the rights, privileges and indemnifications afforded to Region 14 ESC under the Master Agreement, and such rights, privileges and indemnifications shall accrue and apply with equal effect to NCPA under this Agreement including, but not limited to, the Vendor’s obligation to provide appropriate insurance and certain indemnifications to Region 14 ESC.
- Vendor shall perform all duties, responsibilities and obligations required under the Master Agreement in the time and manner specified by the Master Agreement.
- NCPA shall perform all of its duties, responsibilities, and obligations as administrator of purchases under the Master Agreement as set forth herein, and Vendor acknowledges that NCPA shall act in the capacity of administrator of purchases under the Master Agreement.
- With respect to any purchases made by Region 14 ESC or any Public Agency pursuant to the Master Agreement, NCPA (a) shall not be construed as a dealer, re-marketer, representative, partner, or agent of any type of Vendor, Region 14 ESC, or such Public Agency, (b) shall not be obligated, liable or responsible (i) for any orders made by Region

14 ESC, any Public Agency or any employee of Region 14 ESC or Public Agency under the Master Agreement, or (ii) for any payments required to be made with respect to such order, and (c) shall not be obligated, liable or responsible for any failure by the Public Agency to (i) comply with procedures or requirements of applicable law, or (ii) obtain the due authorization and approval necessary to purchase under the Master Agreement. NCPA makes no representations or guaranties with respect to any minimum purchases required to be made by Region 14 ESC, any Public Agency, or any employee of Region 14 ESC or Public Agency under this Agreement or the Master Agreement.

- The Public Agency participating in the NCPA contract and Vendor may enter into a separate supplemental agreement to further define the level of service requirements over and above the minimum defined in this contract i.e. invoice requirements, ordering requirements, specialized delivery, etc. Any supplemental agreement developed as a result of this contract is exclusively between the Public Agency and Vendor. NCPA, its agents, members and employees shall not be made party to any claim for breach of such agreement.

◆ **Term of Agreement**

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

◆ **Fees and Reporting**

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

Entity Name	Zip Code	State	PO or Job #	Sale Amount

Total _____

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

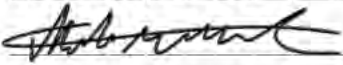
<u>Annual Sales Through Contract</u>	<u>Administrative Fee</u>
0 - \$30,000,000	2%
\$30,000,001 - \$50,000,000	1.5%
\$50,000,001+	1%

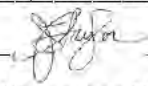
- Supplier shall maintain an accounting of all purchases made by Public Agencies under the Master Agreement. NCPA and Region 14 ESC reserve the right to audit the accounting for a

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

◆ General Provisions

- This Agreement supersedes any and all other agreements, either oral or in writing, between the parties hereto with respect to the subject matter hereof, and no other agreement, statement, or promise relating to the subject matter of this Agreement which is not contained herein shall be valid or binding.
- Awarded vendor agrees to allow NCPA to use their name and logo within website, marketing materials and advertisement. Any use of NCPA name and logo or any form of publicity regarding this contract by awarded vendor must have prior approval from NCPA.
- If any action at law or in equity is brought to enforce or interpret the provisions of this Agreement or to recover any administrative fee and accrued interest, the prevailing party shall be entitled to reasonable attorney's fees and costs in addition to any other relief to which such party may be entitled.
- Neither this Agreement nor any rights or obligations hereunder shall be assignable by Vendor without prior written consent of NCPA, provided, however, that the Vendor may, without such written consent, assign this Agreement and its rights and delegate its obligations hereunder in connection with the transfer or sale of all or substantially all of its assets or business related to this Agreement, or in the event of its merger, consolidation, change in control or similar transaction. Any permitted assignee shall assume all assigned obligations of its assignor under this Agreement.
- This Agreement and NCPA's rights and obligations hereunder may be assigned at NCPA's sole discretion, to an existing or newly established legal entity that has the authority and capacity to perform NCPA's obligations hereunder
- All written communications given hereunder shall be delivered to the addresses as set forth below.

National Cooperative Purchasing Alliance:
Name: Matthew Mackel
Title: Director, Business Development
Address: PO Box 701273
Houston, TX 77270
Signature: 
Date: December 8, 2020

Vendor: Ernst & Young LLP (EY US)
Name: Jackie Taylor
Title: Principal
Address: 99 S. Wood Avenue
Iselin, NJ 08830
Signature: 
Date: November 19, 2020

Tab 3 -
Vendor Questionnaire

Tab 3 – Vendor Questionnaire

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

◆ States Covered

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

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

- | | | |
|-----------------------------------------------|-----------------------------------------|-----------------------------------------|
| <input type="checkbox"/> Alabama | <input type="checkbox"/> Maryland | <input type="checkbox"/> South Carolina |
| <input type="checkbox"/> Alaska | <input type="checkbox"/> Massachusetts | <input type="checkbox"/> South Dakota |
| <input type="checkbox"/> Arizona | <input type="checkbox"/> Michigan | <input type="checkbox"/> Tennessee |
| <input type="checkbox"/> Arkansas | <input type="checkbox"/> Minnesota | <input type="checkbox"/> Texas |
| <input type="checkbox"/> California | <input type="checkbox"/> Mississippi | <input type="checkbox"/> Utah |
| <input type="checkbox"/> Colorado | <input type="checkbox"/> Missouri | <input type="checkbox"/> Vermont |
| <input type="checkbox"/> Connecticut | <input type="checkbox"/> Montana | <input type="checkbox"/> Virginia |
| <input type="checkbox"/> Delaware | <input type="checkbox"/> Nebraska | <input type="checkbox"/> Washington |
| <input type="checkbox"/> District of Columbia | <input type="checkbox"/> Nevada | <input type="checkbox"/> West Virginia |
| <input type="checkbox"/> Florida | <input type="checkbox"/> New Hampshire | <input type="checkbox"/> Wisconsin |
| <input type="checkbox"/> Georgia | <input type="checkbox"/> New Jersey | <input type="checkbox"/> Wyoming |
| <input type="checkbox"/> Hawaii | <input type="checkbox"/> New Mexico | |
| <input type="checkbox"/> Idaho | <input type="checkbox"/> New York | |
| <input type="checkbox"/> Illinois | <input type="checkbox"/> North Carolina | |
| <input type="checkbox"/> Indiana | <input type="checkbox"/> North Dakota | |
| <input type="checkbox"/> Iowa | <input type="checkbox"/> Ohio | |
| <input type="checkbox"/> Kansas | <input type="checkbox"/> Oklahoma | |
| <input type="checkbox"/> Kentucky | <input type="checkbox"/> Oregon | |
| <input type="checkbox"/> Louisiana | <input type="checkbox"/> Pennsylvania | |
| <input type="checkbox"/> Maine | <input type="checkbox"/> Rhode Island | |

All US Territories and Outlying Areas (Selecting this box is equal to checking all boxes below)

- | | |
|---------------------------------------------------------|---------------------------------------------------------|
| <input type="checkbox"/> American Samoa | <input type="checkbox"/> Northern Mariana Islands |
| <input type="checkbox"/> Federated States of Micronesia | <input checked="" type="checkbox"/> Puerto Rico |
| <input type="checkbox"/> Guam | <input checked="" type="checkbox"/> U.S. Virgin Islands |
| <input type="checkbox"/> Midway Islands | |

◆ **Minority and Women**

Business Enterprise (MWBE) and (HUB) Participation

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

- **Minority / Women Business Enterprise**
 - Respondent Certifies that this firm is a M/WBE
- **Historically Underutilized Business**
 - Respondent Certifies that this firm is a HUB

◆ **Residency**

➤ Responding Company's principal place of business is in the city of New York, State of NY

◆ **Felony Conviction Notice**

- Please Check Applicable Box;
- A publically held corporation; therefore, this reporting requirement is not applicable.
 - Is not owned or operated by anyone who has been convicted of a felony.
 - Is owned or operated by the following individual(s) who has/have been convicted of a felony
- If the 3rd box is checked, a detailed explanation of the names and convictions must be attached.

◆ **Distribution Channel**

- Which best describes your company's position in the distribution channel:
- | | |
|-------------------------------------------------|-------------------------------------------------------------------|
| <input type="checkbox"/> Manufacturer Direct | <input type="checkbox"/> Certified education/government reseller |
| <input type="checkbox"/> Authorized Distributor | <input type="checkbox"/> Manufacturer marketing through reseller |
| <input type="checkbox"/> Value-added reseller | <input type="checkbox"/> Other: <u>Professional services firm</u> |

◆ **Processing Information**

- Provide company contact information for the following:
- **Sales Reports / Accounts Payable**
Contact Person: Jackie Taylor and Ram Venkatraman
Title: Jackie (Principal) and Ram (Managing Director)
Company: Ernst & Young LLP (EY US)
Address: Jackie: 99 S. Wood Ave., Iselin, NJ 08830; Ram: 5 Times Sq.,
City: NY, NY State: _____ Zip: _____
Phone: _____ Email: jackie.taylor@ey.com

Jackie phone: +1 212 773 7336; Ram phone: +1 212 773 5341
ram.venkatraman@ey.com

▪ **Purchase Orders**

Contact Person: The contacts are the same as shown above.
 Title: _____
 Company: _____
 Address: _____
 City: _____ State: _____ Zip: _____
 Phone: _____ Email: _____

▪ **Sales and Marketing**

Contact Person: Erin Boyle
 Title: Contract Manager
 Company: Ernst & Young LLP (EY US)
 Address: One Commerce
 City: Philadelphia State: PA Zip: _____
 Phone: +1 215 448 4147 Email: erin.boyle@ey.com

◆ **Pricing Information**

➤ In addition to the current typical unit pricing furnished herein, the Vendor agrees to offer all future product introductions at prices that are proportionate to Contract Pricing.

- If answer is no, attach a statement detailing how pricing for NCPA participants would be calculated for future product introductions.

X

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

X Yes No

➤ Vendor will provide additional discounts for purchase of a guaranteed quantity.

X Yes No

◆ **Cooperatives**

➤ List any other cooperative or state contracts currently held or in the process of securing.

Please see the Appendix of this proposal for the response about cooperatives.			

Tab 4 - Vendor Profile



Please provide the following information about your company:

1. Company’s official registered name.

Ernst & Young LLP (together with its affiliate, Ernst & Young U.S. LLP, the “Firm”) is a private limited liability partnership. The Firm is owned by approximately 3,600 US partners and principals and is a member of Ernst & Young Global Ltd., an organization whose locally owned member firms operate under the “EY” name in approximately 150 countries around the world. No individual partner or principal owns more than a 1% interest in the partnership. EY refers to the global organization of member firms of Ernst & Young Global Limited, each of which is a separate legal entity. For more information about our organization, please visit www.ey.com. This response is being submitted by Ernst & Young LLP (the “Firm”), a member firm serving clients in the US.

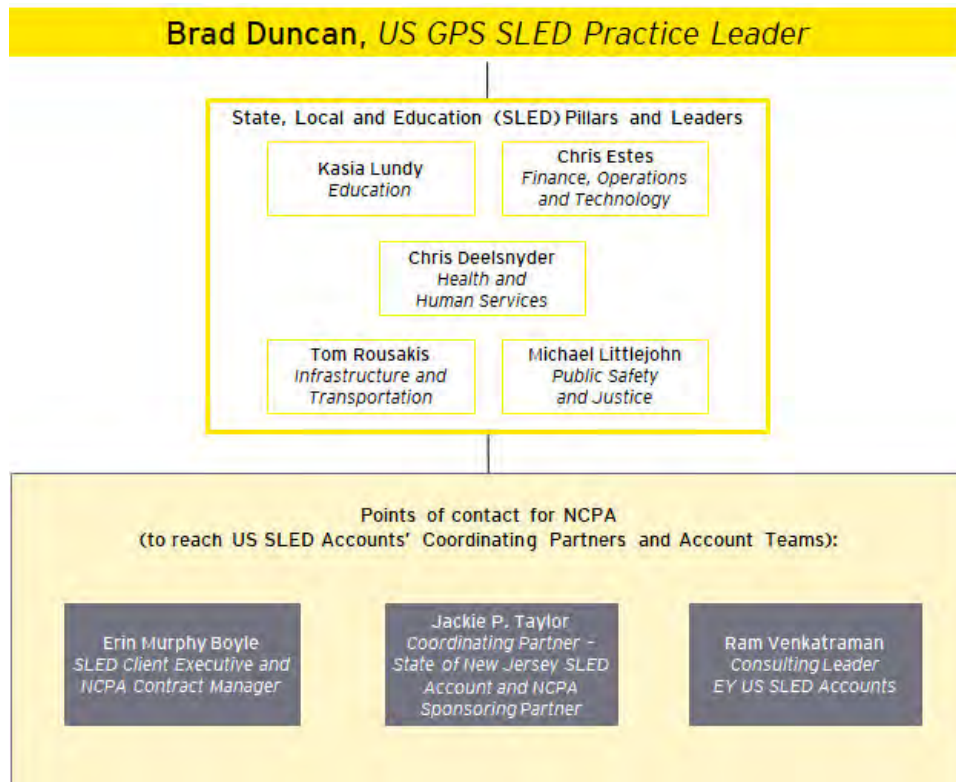
2. Brief history of your company, including the year it was established.

The firm and its predecessors have been in business in the US for more than 100 years. The roots of EY date to the early 1900s and to the lasting legacies of two visionaries – A.C. Ernst and Arthur Young. In 1903, A.C. Ernst opened the first office of the US firm in Cleveland, Ohio. On July 1, 1989, Ernst & Whinney merged with Arthur Young to create the US firm.

3. Company’s Dun & Bradstreet (D&B) number.

Ernst & Young’s Dun & Bradstreet (D&B) number is 058369562 for our headquarters at 5 Times Square in New York, NY. D&B has a Business Information Report (BIR) on Ernst & Young, but because we are a private, limited liability partnership, we do not divulge any financial information, and therefore the report does not include any debt or key business ratios. The D&B rating that is included in that report is based on our number of employees only.

4. Company’s organizational chart of those individuals that would be involved in the contract.



5. Corporate office location.

- ← List the number of sales and services offices for states being bid in solicitation.
 - ← List the names of key contacts at each with title, address, phone and e-mail address.
-

Our services are conducted nationwide by our staff of nearly 300,000 people located across 90 offices in the US and more than 700 offices globally. For a listing of our US locations, please go to:

https://www.ey.com/en_us/locations/united-states.

Our US State, Local and Education practice is led by Brad F. Duncan whose contact information is:

Brad F. Duncan
EY US LLP
55 Ivan Allen Jr. Blvd., Suite 1000
Atlanta, GA 30308
Office: +1 404 817 5371 | brad.duncan@ey.com

For the purposes of this relationship and to connect to our US states' accounts, please contact Erin Murphy Boyle, our SLED Client Executive and proposed NCPA Contract Manager:

Erin Murphy Boyle
EY US LLP
2005 Market Street, Suite 700
Philadelphia, PA 19103
Mobile: +1 717 433 7175 | erin.boyle@ey.com

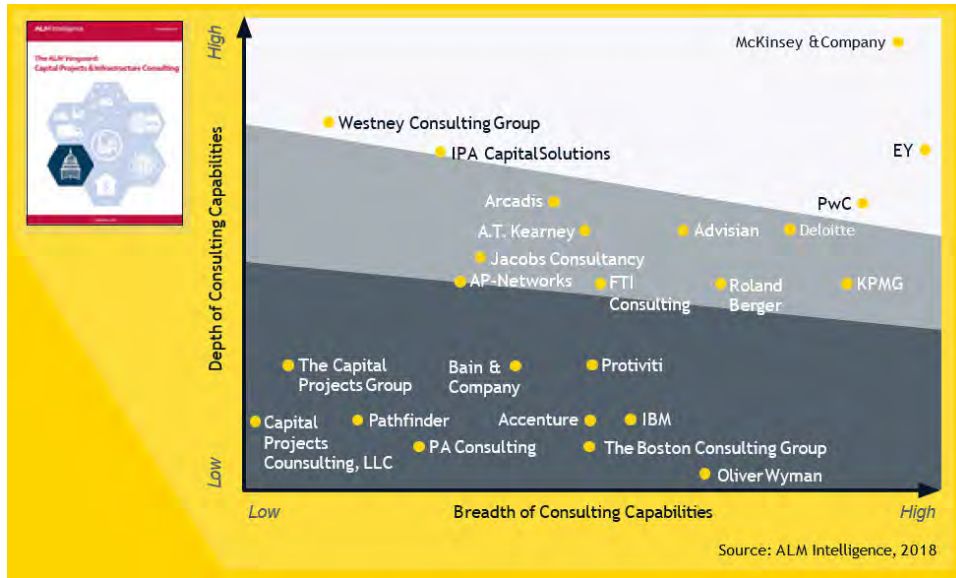
6. Define your standard terms of payment.

Our standard terms and conditions describe in general that clients shall pay our professional fees and specific expenses in connection with the services we conduct, as detailed in an applicable Statement of Work. Clients typically also reimburse us for other reasonable expenses incurred in performing services, but we make every effort to limit travel expenses and staff our projects with locally or regionally based personnel. Unless otherwise set forth in an applicable Statement of Work, payment is due within 30 days following receipt of each of our invoices. We may receive rebates in connection with certain purchases, which we use to reduce charges that we would otherwise pass on to our clients. Depending on the client's preferred payment methods, we can receive payment via wire transfers or ACH payments.

7. Who is your competition in the marketplace?

As a global professional services firm, EY's competitors include McKinsey & Company, Boston Consulting Group, Bain & Company and our historic Big 4 public accounting experience means that other EY competitors include KPMG, PwC and Deloitte.

The ALM Intelligence noted a comparative view of our market's depth and breadth:



9. What differentiates your company from competitors?

EY is a recognized market leader in consulting and global service excellence. The insights we deliver help build trust and confidence in governments, capital markets and economies across the world.

Our organization brings together more than 20 competencies, united by a single operating structure and a common culture of innovation and knowledge-sharing. To achieve our clients' desired outcomes, we provide focused, dedicated teams whose seamless combinations of skills are tailored for each assignment and draw upon the full breadth of EY's capabilities.

In the US, EY provides independent financial advice through our SEC and MSRB-registered affiliate, Ernst & Young Infrastructure Advisors, LLC, allowing us to advise governmental clients on public and private finance as well as hybrid approaches. We are the only organization of our type which maintains such capabilities and licenses.

Across our service offerings, our experience has taught us that successful projects result from close collaboration with clients' staff and an interdisciplinary team of technical, legal and other professionals. The ability to work with and learn from people with differing perspectives enables us to drive innovation, build strong relationships and deliver the best approach for our clients.

At EY, our differences help us achieve better business results, creating an environment where all people are valued. Principles of diversity and inclusiveness are embedded in all our business processes: recruiting and onboarding, experiences and assignments, career management, pipeline management, account planning, succession planning, recognition and performance management.

Whenever possible, our US States' account teams seek out local diverse businesses for subcontracting opportunities to add this additional value to our work. We recognize the critical role that small businesses play in the economy. Further, we are committed to achieving SLED clients' supplier diversity goals. As a longtime supporter and mentor for small businesses, we team with small businesses both as prime contractor and as subcontractor. Throughout our state-focused account teams, we have established a strong network of exceptional small business partners with whom we deliver work in integrated teams and collaborate for specialized insights.

In sum, our differentiators we would highlight for your consideration include: our united culture and collaborative approach, our commitment to diversity and inclusiveness, our desire to team with small businesses whenever possible, and our independent financial advisor status and credentials. Above all, we seek to contribute the highest quality teams to achieve our clients' desired goals, across a project's life cycle, from strategy and implementation to compliance-related activities.

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

EY has a nationwide network of state-focused account teams as well as solution leaders and teams. Through our direct client relationships, EY intends to discuss this contract as a potential channel for our clients to access our services in an expedited, efficient manner, based on their needs and operational goals. Additionally, we will highlight this relationship in our marketing materials, such as our thought leadership, white papers and other written solution summaries/presentations that we routinely share with clients. Also, we welcome the opportunity to discuss with NCPA additional recommended marketing activities.

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

Overall, the goal of EY's team is to create and strengthen a relationship with NCPA across our US states' accounts and solutions' teams, to further the NCPA's mission and goal of fostering expedited and more affordable contracting options to our shared audience of state and local government, education and non-profit leaders. We strive to help our clients resolve their biggest challenges, and we are eager to team with the NCPA in achieving our shared goals of supporting our mutual clients and stakeholders. It would be ideal to spend some time with NCPA leaders to also better understand how EY could better support your imperatives. Through our relationships and commitment to our clients and teams, EY creates long-term value through the work we do every day. We also believe that business has an important role to play in tackling society's toughest challenges, which have been particularly heightened this year.

More specifically, we would suggest convening an early introductory conversation between NCPA and EY's government leaders, and then could easily connect NCPA either directly with state account teams of interest, or our wider nationwide government practice through our SLED team calls and briefings.

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

EY is a global leader in Assurance, Tax, Strategy and Transaction and Consulting services. Worldwide, our nearly 300,000 people are united by an unwavering commitment to quality in the services we offer and to help our people and clients build a better working world. At the top of the agenda is harnessing the power of emerging digital technologies to enhance sector-specific capabilities, to help our clients get ahead and stay ahead of the curve. Our services are as follows:

- ▶ Assurance: We support our clients in building stakeholder confidence and trust by helping them manage regulatory responsibilities, mitigate risk, promote transparency and drive long-term sustainable growth.
- ▶ Tax: Our tax services help clients navigate the dynamic tax environment and address their business issues. This includes harnessing the benefits of market trends and focusing on the role that the tax function can play in long-term business growth.

- ▶ **Strategy and Transactions:** We help organizations manage their capital and transactions, including strategies to raise, invest, optimize and preserve capital. By managing their capital, organizations can define their competitive position and create social and economic value in the future.
- ▶ **Consulting:** Our Consulting services help organizations realize their social, economic and cultural value by helping them improve performance, manage their risk appetite and harness their people agenda.

As a professional services firm, we do not utilize an online catalog or ordering website.

EY Government and Public Sector

Commitment to the Government and Public Sector

EY's Government and Public Sector (GPS) team helps governments navigate a fast-changing economic and business environment and emerge with economies enhanced, communities strengthened and a better working world for everyone.

Our Government and Public Sector team currently has more than 19,000 GPS professionals across more than 100 countries. We have more than 17,000 GPS clients across Federal, state and local governments worldwide. We focus on key business issues that are impacting government today. Some of these include:

Improving service delivery through technology

Digital technologies and social media are changing how governments and citizens engage with one another. As a result, "digital government" is emerging as a powerful tool to help governments provide better public services to citizens and businesses. EY helps governments develop effective strategies, understand target audiences and expectations and execute on information technology development and implementation.

Fighting cybercrime

Cybercrime costs more than an estimated \$400 billion each year. Our professionals understand the risks to government entities. They comprise former CSOs, CIOs and specialized subject matter professionals, including former military personnel. Drawing on their in-depth knowledge and extensive experience working with major organizations, our people can work with you to deliver sustainable, measurable results.

Providing a secure retirement

Over the next four decades, the world's over-60 population will rise from 12% to 22%. Shifting demographics and limited resources have accelerated the need for governments to act systemically, swiftly and decisively in response to the challenges facing their pension systems. EY helps drive transformational change as policymakers consider how to make pensions and retirement sustainable and whether pensions are best delivered by the public or private sectors or a mix of both.

Addressing budget deficits

Governments have to balance the need for revenue with increased competition for labor and capital. EY's Public Finance Management (PFM) professionals help governmental sector organizations improve budgetary and financial performance, improve public transparency and accountability requirements. Our sector tax team provides tax policy development and support of the strengthening and modernization of tax administration.

Updating deteriorating infrastructure

Governments are making infrastructure investment and development a top priority. It is an indispensable step toward poverty reduction, social progress and inclusive economic growth. EY helps governments meet these complex infrastructure challenges by providing project evaluation and management, support of procurement, financial close, construction, operations and change management. We also support municipal power and utilities

on their customer interface platforms, asset management, grid management, information security, and finance operations.

Working with the private sector

Public-private partnerships (PPP) allow governments to tap the private sector's financial resources and management experience on projects ranging from public infrastructure to traditional government service provision. EY professionals are well qualified to help develop highly effective PPPs in a wide range of economic sectors.

Strengthening government-sponsored health

Government-sponsored programs contribute to more than \$1.4 trillion of healthcare spending in the US. EY brings a unique perspective and understanding across all points of the Government Health triangle – Providers, Payers, and Government. Our US Health Care Advisory practice comprises more than 1,500 professionals who work with more than 200 US health systems and providers, including nine of the top ten US health plans.

Helping states advance their agenda



Our commitment to innovation and excellence

Analyst and third-party recognition

As one of the world's largest professional services organizations, EY is committed to innovation and excellence across every dimension of our business. Our purpose is to build a better working world for our clients, our people, and our communities. We are proud of the recognition that we have received from independent third parties that confirm this commitment and help us hire and retain the very best talent in the market – talent that we can provide to NCPA's stakeholders in support of their biggest challenges. A sample of such recognition is shown below.



No. 1 Professional Services Employer for the fourth consecutive year in a row
 – Universum's World's Most Attractive Employers annual survey (2019)



World's Best Workplaces
 – Great Place to Work® Institute (2019), Highest of all management consulting firms and "Big 4" firms



"**Magic Quadrant**" for Data and Analytics Service Providers
 – Gartner (2020)



Market Leader in Americas Business Consulting Services
 – IDC (2019)



Leader for Global Digital Business Transformation Accelerators
 – Forrester (2019)



Market leader for Business Strategy & Planning Consulting
 – ALM Intelligence (2019)



Best Companies to Work For
 – Fortune (2020), 2nd highest of all professional services firms, and highest of all management consulting firms and "Big 4" firms



Best Workplaces in Consulting & Professional Services
 – Great Place to Work® Institute (2020), 2nd highest of all firms, and highest of all management consulting firms and "Big 4" firms

Innovation

Management consulting services ecosystems are always evolving, based upon client needs and the rapid pace of innovation driving new strategies, technologies, processes and organizational requirements. EY regularly publishes thought leadership on emerging innovations and megatrends that will present future challenges and opportunities for governments, such as blockchain, artificial intelligence, digital government, cloud transformation, the internet of things, robotics and automation, and many more. EY brings an understanding of these emerging technologies and their practical application, providing access to advisors with the latest thinking on how these technologies are reshaping the governmental environment. Combined with our alliance partnerships and on-going research, these insights accelerate strategy development and implementation.



Select EY thought leadership on emerging innovations and megatrends

Alliance relationships

In addition to our organic delivery capabilities, EY also works across the full ecosystem of technology enablers with key alliance relationships to provide our government clients with the latest thinking on key platforms and new innovations. A sample of these alliance relationships are highlighted in the graphic and we expand on these relationships in Tab 8. Our alliances help us respond to complex business challenges by:



Representative sample of EY's alliance relationships

- ▶ Co-innovating and co-developing services that can offer substantive value and differentiation
- ▶ Gaining early and preferential access to product releases and specialized skills to help the State quickly innovate and resolve challenging issues
- ▶ Extending our reach and scale to offer comprehensive and innovative solutions around emerging trends
- ▶ Influencing product direction to create opportunities to improve business outcomes in future objectives

Diversity and inclusiveness

Diversity and inclusiveness (D&I) are about creating an environment where all people are and feel valued, and where differences are embraced and leveraged to achieve better business results. Real, sustainable D&I progress requires more than talk: it requires a culture that drives continuous improvement and measurable outcomes. EY is proud to be consistently recognized by our own employees and by reputable third parties as one of the top places to work for people of all backgrounds and identities.

At EY, our differences help us achieve better business results, creating an environment where all people are valued. D&I principles are embedded in all our business processes - recruiting and onboarding, experiences and assignments, career management, recognition and performance management - and we bring these values to our clients. Our focus on D&I is integral to how we serve our clients, develop our people, and play a leadership role in our communities.



Best Workplaces for Diversity
- Great Place to Work® Institute (2019)



Top 50 Hall of Fame
- DiversityInc (2018-2020)

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

EY does not have a direct Customer Service Department; rather we deploy a qualitative review of all our engagements through our accounts' respective leadership and focused attention on our clients directly engaged with us.

Account Framework

EY employs a globally consistent account management framework (AMF) approach to strategic relationship management on its priority accounts. The AMF methodology focuses primarily on providing exceptional client service as a foundational pillar of our client relationship. Exceptional client service features a dynamic and comprehensive approach that focuses on relentlessly serving our clients' needs. It represents a commitment to going above and beyond expectations. The three tenets of exceptional client service are being connected, proactive and insightful.

- ▶ **Connected:** we strive to understand our client's business agenda, we serve in the way our client wants to be served, and we use our global network to introduce our high-caliber people
- ▶ **Proactive:** we demonstrate the desire and commitment to listen and bring innovative ideas to our clients
- ▶ **Insightful:** we present high-value insights proactively, we deliver technical excellence and we create business-oriented service offerings.

Our global account teams meet both internally and externally with our clients on a regular cadence (monthly and weekly) to stay coordinated regarding current engagements, upcoming meetings and mid-term and longer term strategic discussions. A direct output of our AMF approach is activities centered around regular and routine idea and insight sharing, frequent communication, project updates as well as agreed-upon timely reporting regarding spend levels and milestone targets.

To create a consistent client experience that differentiates EY, we develop a deeper understanding of client expectations and strive to deliver exceptional service in all our client interactions.

Client Experience

EY's Client Experience (ASQ) is a globally consistent qualitative review program that helps anticipate client needs, assess our performance against expectations, and provide points of view on areas of opportunity and improvement – all critical to delivering exceptional client service. Through the Expectations of Service Quality (ESQ) process, a client communicates its service and relationship expectations before we begin an engagement.

ASQ does not replace ongoing service delivery discussions with the client's EY team. Rather, it supplements them by systematically and independently measuring how the client views the quality of our services, tracking those action plans and our effectiveness in meeting your expectations.

In addition to its office locations throughout the US, EY also uses centralized delivery centers which has transitioned from a new way of working to a standard delivery model for both projects and ongoing operations. Delivery centers provide concentrated experience in key process and technology domains, including access to top talent and capabilities in areas such as cybersecurity, application configuration and testing, and process automation. EY maintains a network of service delivery centers across the US, including places like Jacksonville, Florida, and San Antonio, Texas. These employees help clients manage risk, drive cost savings and streamline business processes. The service delivery centers are also part of our broader investment in the states where they reside, drawing from the region's universities and local market talent to provide the highly qualified resources to our clients.

14. Green Initiatives

← As our business grows, we want to make sure we minimize our impact on the Earth's climate. We are taking every step we can to implement innovative and responsible environmental practices throughout NCPA to reduce our carbon footprint, reduce waste, energy conservation, ensure efficient computing and much more. To that effort we ask respondents to provide their companies environmental policy and/or green initiative.

Environmental sustainability supports EY's purpose of building a better working world and creates long-term benefits for our people, our clients, our planet and EY. The highest level of responsibility for sustainability at Ernst & Young LLP rests with the firm's Board, which has authority for executing the global Ernst & Young strategy at the Firm. The global Corporate Responsibility Governance Council (CRGC) provides oversight of the environmental strategy, including implementation of the EY Global Environmental Statement. In addition, the Americas Executive Board, which is the governing body of Ernst & Young Americas LLC, has the authority for coordinating strategy across EY Americas. responsibility for overseeing the implementation of global Ernst & Young policies in the Americas.

We believe a better working world must be one that works for all of us. This belief supports our responsibility to drive inclusive growth through responsible business practices, helping to create a world where everyone, everywhere is able to contribute to and share in the benefits of economic growth.

Environmental sustainability is an essential component of inclusive growth. As part of our commitment to environmental sustainability, we are systematically measuring the environmental impact of our own business operations. What we've found is nearly all our carbon output comes from two sources – business travel, particularly air travel, and office energy consumption.

The [EY Global Environmental Statement](#) demonstrates our commitment to our people, and the communities where we live and work, that we will operate in a more responsible manner.

We are measuring and publicly reporting our progress. Working with our own in-house [Climate Change and Sustainability Services \(CCaSS\) practice](#), we measure our global carbon footprint annually and report our environmental impact via the United Nations Global Compact (UNGC). Ernst & Young LLP (EY US) reports our environmental data through the Carbon Disclosure Project. This practice also practice helps our clients operate more sustainably and, frequently, lower their costs in the process.

EY US has entered into a renewable energy virtual power purchase agreement that will underpin the financing and construction of two new large-scale Texas-based wind farms and these are actionable steps. These wind farms will generate enough zero-carbon electricity to offset the absolute greenhouse gas emissions of our US business, setting us up to be "100% renewable" and "net zero carbon" starting in 2020, while also providing a net savings in energy costs to the business.

This agreement will add carbon-free energy to the grid that is attributable to EY US, helping to power the US with cleaner energy sources. The wind farms are expected to be operational in summer 2020.

Below are examples of the efforts we're making to reduce our impact on the environment:

- ▶ Ongoing efforts, e.g., measuring our carbon footprint, measuring our performance against our carbon reduction goal, reducing energy consumption, reducing business travel, making our meetings more environmentally friendly and consuming less paper.
- ▶ Earthwatch Ambassador Program, where our people can apply to be part of week-long sustainability expeditions to learn about environmental challenges and how to design best practices to effectively address them.

15. Vendor Certifications (if applicable)

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

EY does not have federal certifications, but is a viable vendor in SAM (www.sam.gov). This is a Federal registered vendor site and includes business disclosures that affirm we are not excluded or disbarred in any way. Our DUNS number is 058369562.

We also have business in good standing in US states in which we do business.

Our employees obtain professional certifications in their area of specialty as early in their careers as possible. Our service lines have established policies requiring certain certifications before an individual in certain sub-service lines can be considered for promotion to a specific level.

Examples of these certifications include, but are not limited to: Certified Public Accountant (CPA), Certified Internal Auditor (CIA), Certified Information Systems Auditor (CISA), Certified Information Systems Security Professional (CISSP), Certified Fraud Examiner (CFE), Cisco Certified Network Associate (CCNA), Microsoft Certified Systems Engineer (MCSE), PMI Project Management Professional (PMI PMP), and Six Sigma (Greenbelts, Blackbelt).

CPA licensing for the firm is obtained state by state and those permits are listed below by jurisdiction, permit number and expiration.

EY CPA Permit Firm Registration
As of Nov. 2020

Jurisdiction	License / Permit No.	Expiration Date
AK	G35	12/31/2021
AL	F485	12/31/2020
AR	2LP	12/31/2020
AZ	967-B (Firm No.)	9/30/2022
CA	PAR 5413	12/31/2020
CO	FRM.0000877	8/31/2023
CT	CPA.0002746	12/31/2020
DC	CPC73	12/31/2020
DE	CF 0000262 (Baltimore, MD)	6/30/2021
FL	AD0015578	12/31/2021
GA	ACF002410	6/30/2022
GU	F-007	6/30/2021
HI	FPTP-100	12/31/2021
IA	2017-0556	6/30/2021
ID	FR-0416 (Salt Lake City, UT)	9/30/2021
IL	066-003466	11/30/2021
IN	FP 59700032	6/30/2021
KS	5172 (Firm ID No.)	12/31/2020
KY	68	7/31/2022
LA	FIRM.001013	12/31/2020
MA	634	6/30/2021
MD	27531	7/23/2021
ME	FM 10000962 (Chattanooga, TN)	9/30/2021
MI	1102 002304	7/31/2021
MN	941	12/31/2020

EY CPA Permit Firm Registration
As of Nov. 2020

Jurisdiction	License / Permit No.	Expiration Date
MO	C0926F	10/31/2021
MS	F1129 (Memphis, TN)	12/31/2020
MS	F0881 (New Orleans, LA)	12/31/2020
MS	F1247 (Las Vegas, NV)	12/31/2020
MT	619	12/31/2020
NC	1000045 (Raleigh, NC) - Company No.	12/31/2020
NC	1000047 (Charlotte, NC) - Company No.	12/31/2020
NC	1000049 (Greensboro, NC) - Company No.	12/31/2020
ND	ND does not issue Reg. Numbers	6/30/2021
NE	55362	6/30/2021
NH	No. 817 (Boston, MA)	6/30/2021
NJ	20CB00262400	6/30/2021
NM	9183 (Phoenix, AZ)	6/30/2021
NV	NV19961000089	5/31/2021
NY	24066	10/31/2021
NY	24066	10/31/2021
OH	FIRM.44115-001-PR	10/31/2021
OK	License No. 12299/Permit No. 209	6/30/2021
OR	144	12/31/2020
PA	AF-000537-L	12/31/2021
RI	P11	6/30/2021
SC	AFI.1322	1/31/2021
SD	692	7/31/2021
TN	00000387 (Memphis, TN)	12/31/2020

EY CPA Permit Firm Registration
As of Nov. 2020

TN	00000386 (Nashville, TN)	12/31/2020
TN	00000388 (Chattanooga, TN)	12/31/2020
TX	P04513	12/31/2020
UT	100137-2603	12/31/2020
VA	132249	6/30/2021
VI	F-0206	6/30/2021
VT	92.0064313	7/31/2021
WA	2054	6/30/2022
WI	638-003	12/14/2021
WV	F0153	6/30/2021
WY	114 (Denver, CO)	12/31/2020

Tab 5 -
Products and Services



1. Respondent shall perform and provide these products and/or services under the terms of this agreement. The supplier shall assist the end user with making a determination of their individual needs.

The following is a list of suggested (but not limited to) categories. List all categories that you are responding with:

1. Strategic Planning

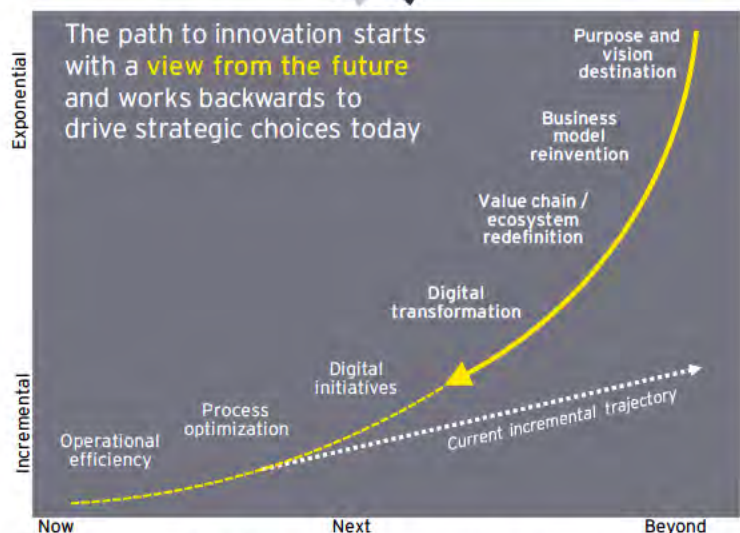
EY's Strategy practice employs more than 1,700 US-based consultants that are focused on developing and implementing strategy with a practical execution mindset to solve our clients' most complex issues. Every strategy project is unique, but EY brings specific capabilities, tools and experience in key methods that can help organizations adapt to disruptive change and drive results:

- ▶ **Strategic Planning** - Determine strategic positioning, objectives, priorities and initiatives
- ▶ **Digital Strategy and Transformation** - Design and execute programs to unlock digital potential with new operating models
- ▶ **Project Portfolio Optimization** - Prioritize projects based upon funding levels, dependencies, scenarios and fit with strategic objectives, thereby curtailing lower-return investments and accelerating higher return projects
- ▶ **Strategic Cost Transformation** - Identify, achieve and sustain significant improvements in performance, efficiency and cost structure
- ▶ **Driver-Based Analytics** - Enable strategic decision making and planning by linking value drivers and outcome metrics to decision-support capabilities
- ▶ **Innovation Realized** - Build breakthrough innovation capabilities, creating a culture of positive disruption and supporting processes and technologies



EY's future-back approach to helping clients define their operating model

Our strategy work utilizes “future-back” thinking, starting with the megatrends that shape the future environment, then working backward to understand their implications for today. Strategic initiatives and investments can then be prioritized to drive current results while laying a foundation for the long term. Our approach is pragmatic and results-oriented versus a “pie in the sky” strategy that may never be implemented. We help clients



EY's management strategy to help organizations remain relevant in a disruptive environment

define the operating model that will execute the strategy, including key areas such as process models, organizational structure, technology infrastructure, operating locations, talent and culture, governance and performance metrics with benefits tracking to capture and maintain value over time (Figure 3).

With the relentless pace of technology change, government organizations are becoming more focused on innovation as a core part of their strategy: leaders must balance optimizing current operations with innovating for future services. As part of an overall management strategy, EY works with government organizations to create the right tools, processes and, most importantly, culture to drive breakthrough innovation. By linking strategic planning with future-back innovation techniques, our clients can secure their future relevance in a disruptive environment. Specific areas of focus include:

- ▶ Business model innovation
- ▶ Experience innovation (both customer and employee)
- ▶ Ecosystem innovation
- ▶ Digital innovation
- ▶ Process innovation
- ▶ Supply chain innovation
- ▶ Managerial innovation

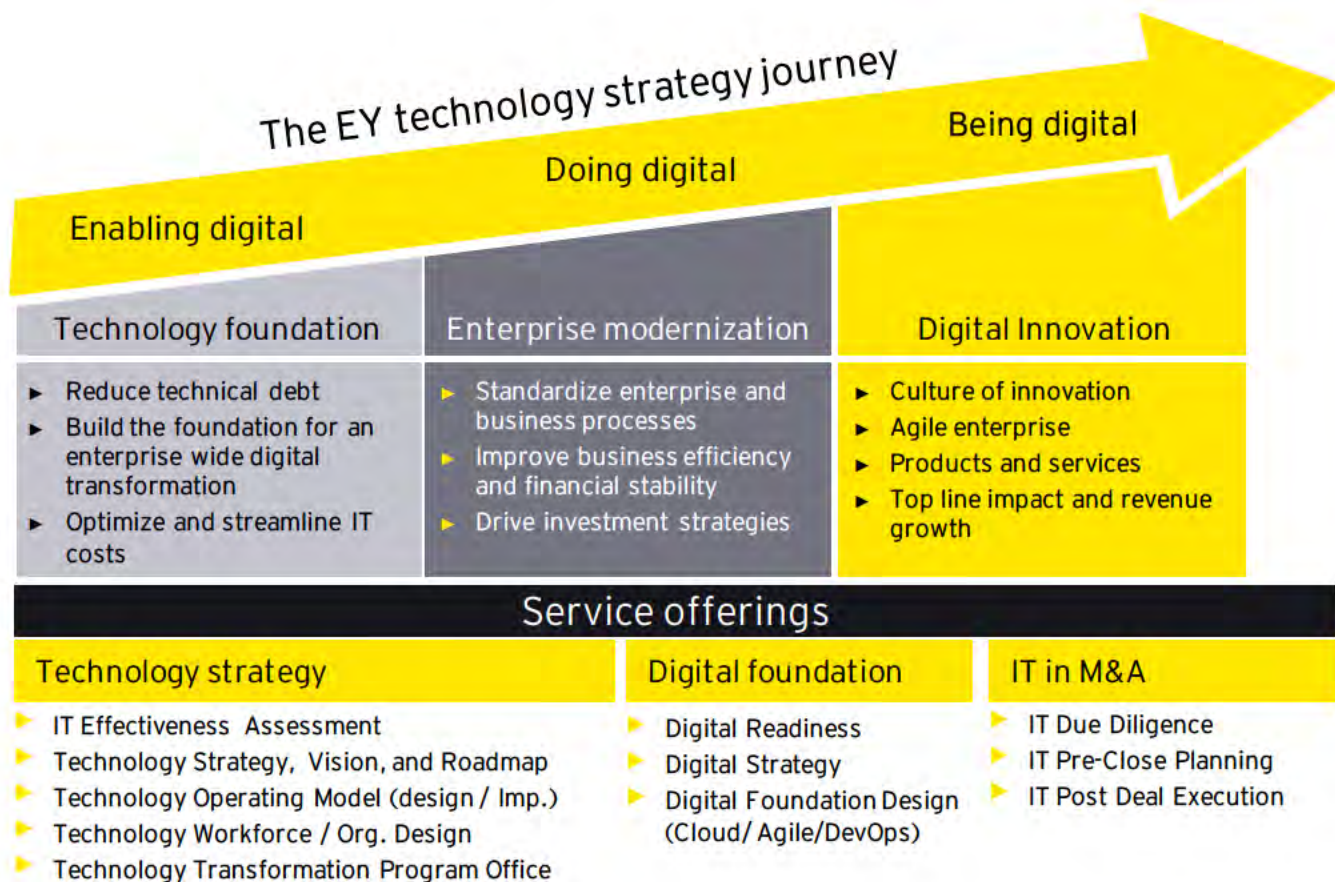
In Forrester’s report on the landscape of Innovation Consulting service providers, *The Forrester Wave: Innovation Consulting Services Providers, Q4 2018*, EY was rated #1 on both dimensions of strategy and current offering (Figure 5). In this report, Forrester commented “EY’s approach focuses on an end-to-end model from ideation to scale. One key element that differentiates EY’s innovation consulting offering is how it blends business, design, and advanced technology skills into collaborative teams...What stands out in terms of EY’s innovation consulting capabilities is this blend of diverse mindsets that is at the core of how breakthroughs are generated and accelerated through to scale.”



Forrester Wave: Innovation Consulting Services Providers, Q4 2018

2. IT Assessments

Technology strategy encompasses a full set of advisory capabilities, including IT assessments, to help clients think through strategic issues and fully align technology to overall purpose and business objectives. It's not enough to just apply technology to solve problems, EY focused on fostering an environment that drive technology innovations for all aspects of our clients' organizations.



3. Project Management Oversight

Our project management oversight methodology provides a logical process for project management support to manage a portfolio of transformation initiatives. We recognize one size does not fit all: we tailor our delivery for the requirements, complexity, and duration of each specific undertaking. Our approach drives capacity building through shared knowledge and incorporates leading practices through digital enablement.

Our PM methodology is built with core components including **Performance Path**, tailored Project Management Plans (PMP) and our **Program Management (PM) Playbook**. Our Performance Path approach is designed so that strategic considerations are factored into all project phases from kickoff to closeout. This enables client PM team members and other stakeholders to align on the vision for the program. We bring tools and templates, consistent with the Project Management Institute (PMI) practices, to support planning, scheduling and communication activities. This toolkit, which will reside in a centralized knowledge management repository, and will include kickoff meeting templates, sample status reports, travel reports and other tools. Documents and templates in the knowledge management repository will be accessible to involved stakeholders internal and external to the organization, as determined on a project by project basis. We will develop a detailed Program Management Plan (PMP) to capture project objectives, schedules, and deliverables. To coordinate our team's communication and meeting cadence, we bring to each task a tailored PM Playbook, a component of the PMP,

to provide for all team members on-boarding and off-boarding processes, office and communication protocols, use of problem notification reports and escalation procedures, and detailed tactical roles and responsibilities.

Our PM activities are organized around: governance, planning, execution, and control and monitoring.

- ▶ **Governance:** We support organizations in establishing a governance framework from our PM Playbook of processes and functions to manage and monitor activities and to support improved project delivery productivity. Our experience, understanding and participation with governance processes and leading transformation practices across industries gives us the ability to provide actionable recommendations for Client initiatives while maintaining a focus on selected objectives and goals.
- ▶ **Program planning:** Our program planning activities align to existing strategic plans and objectives for organizations and includes: inter-project dependencies, financial modeling, resource planning, benefits planning, quality planning, schedule development, enterprise risk planning, and technical status meetings. As a managed baseline, our plan is a reference document to track the benefits realized as a result of program activity to drive decision-making and management efficacy.
- ▶ **Program execution:** Our approach to program execution is driven by frequent communication with project stakeholders and business stakeholders. To support this communication and maintain a single source of “truth” on execution status, we will employ our centralized knowledge management repository, an customized online exchange based on the digital architecture of each organization to provide templates, project plans, documentation, risks, actions and issues, empowering HUD’s project efficiencies and quality.
- ▶ **Program control and monitoring:** We promote quality and continuous improvement from a foundation of monitoring and control. Results outside expected outcomes are addressed. We will provide Problem Notifications and develop mitigation strategies to address any potential project risks early and often.

As an example, EY applied our approach through delivering program management and governance support to the Army’s Audit Readiness engagement, one of the most complex audits in the world. EY deployed a cloud-based solution, APLUS, to manage the progress of 20 large programs. This allowed the Army to track strategic plans, project health indicators of schedule, scope, and budget, risk/issues, and dependencies in a standardized, centralized and transparent manner.

4. Business Process Improvement

EY has deep experience in process and productivity improvement efforts across thousands of projects. We bring a deep bench of personnel with relevant experience in process improvement techniques, including:

- ▶ **Methods** - including Lean, Six Sigma, Kaizen and Business Process Reengineering
- ▶ **Tools** - including process benchmarking that allows relevant and high-impact comparisons across organizations to identify potential performance gaps, and a repository of standard process models with related information including risks and controls, key performance indicators (KPIs) and maturity models
- ▶ **Supporting technologies** - including RPA and digital workflow platforms (such as Pega and ServiceNow)

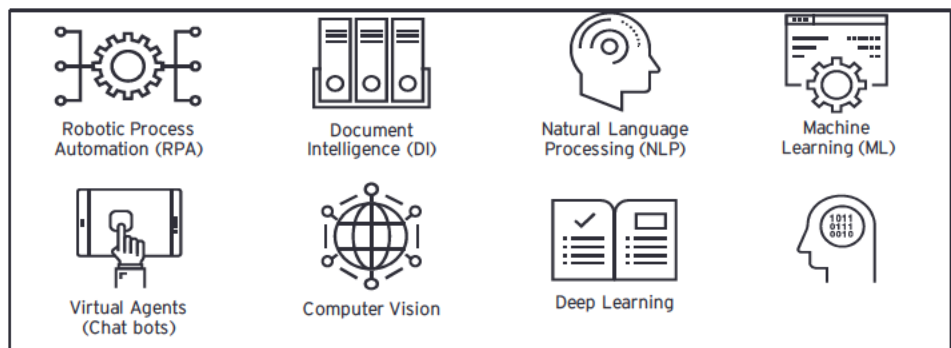
Based on our many years supporting both government and commercial organizations, EY brings a disciplined approach to support process improvement programs to drive successful results and return on investment (ROI). Key components of our approach include:

- ▶ **Rapid Improvement Event (RIE):** A successful process improvement program that balances both speed and benefits; some projects need to be completed rapidly in order to support cost savings within a fiscal year, achieve milestones for a broader corrective action plan, and/or build organizational momentum behind change. The use of RIEs is a leading practice for organizations seeking to create speed in the organization, drive results and generate faster benefits.

- ▶ **Focus on sustainability:** EY focuses on delivering real change with ongoing communication, training and knowledge transfer to promote a successful, sustainable process improvement program. We help clients to develop self-funding improvement models to achieve continuous, ongoing process improvement over time.
- ▶ **Structured improvement methodology:** We leverage an overarching Identify, Diagnose, Design, Deliver and Sustain (IDDDS) process improvement methodology based upon the American Society for Quality (ASQ) Body of Knowledge (BOK).
- ▶ **Measurable results:** We establish clear, quantitative baselines in both outcome and process metrics during project identification. Regular reporting within and across initiatives helps focus management energy on the areas that will deliver the greatest benefit, as well as communicate success across the organization.

Intelligent automation (IA) continues to accelerate in the market as an approach to drive process automation and efficiencies. EY is viewed by independent analysts and rating agencies as an IA leader. We have delivered IA services on more than 1,000 client engagements for some of the world's largest and most complex commercial and government organizations. EY's approach to IA covers a broad spectrum of connected technologies and includes the following key attributes:

- ▶ **Lead by example:** EY is one of the largest global RPA users with more than 1,000 RPA bots working on our own internal processes and greater than 2,000,000 annual hours saved through automation, making us one of the largest users of RPA globally. We also have virtual agents as well as machine learning (ML) and natural language processing (NLP) applications that can be applied to support client needs.



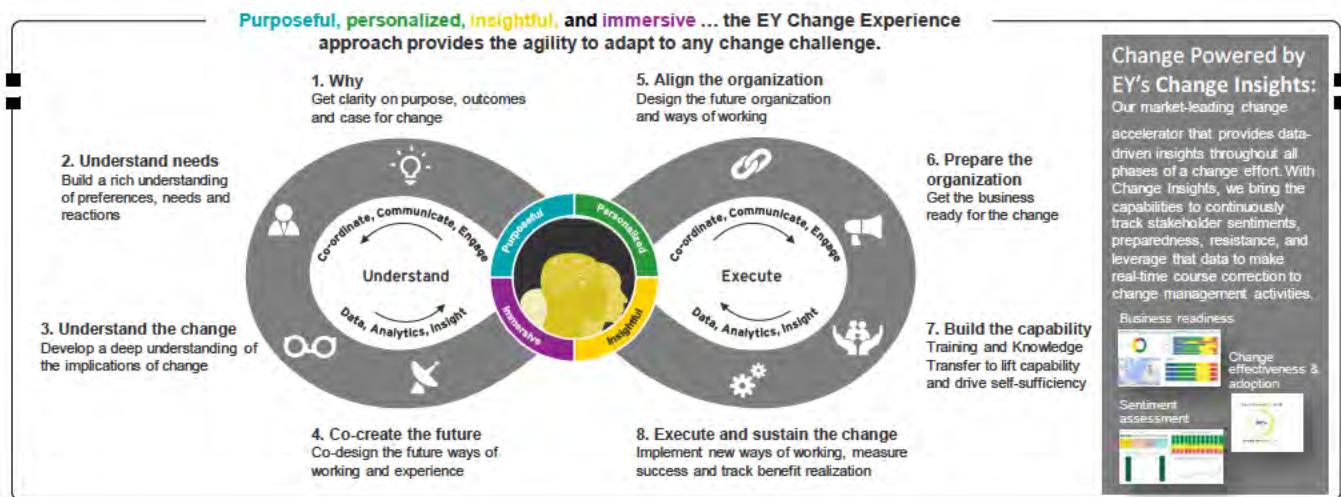
EY's integrated approach to IA across a spectrum of connected technologies

- ▶ **Transformation vs. automation:** Our focus is on IA-led transformation rather than just automation. Our approach is to train subject matter resources in every major function to bring clients a holistic solution.
- ▶ **Global delivery network:** More than 3,000 dedicated IA professionals around the world to serve local and global clients.
- ▶ **IP and functional assets:** We maintain a library of real-time functional assets integrating RPA and other technologies (bot library) that can be leveraged to accelerate solution delivery.
- ▶ **Vendor agnostic:** We maintain relationships with top IA vendors including product direction and training as well as strategy, collaboration and joint solution development.
- ▶ **Proven methodology and enablers:** Our professionals leverage a common methodology and templates to aid team development and accelerate engagements.

Our IA experience spans remote desktop automation to artificial intelligence and covers a multitude of functional areas. We are a preferred provider for the major RPA software companies - including being the first and only professional services firm to achieve Platinum certification from Blue Prism, a leading RPA software vendor. Our experience includes navigating IA software options in the market and implementing projects across all major vendor platforms. As a result, we have an extensive set of use cases and project tools that accelerate project delivery.

5. Organizational Change Management

EY's approach to organizational change management methodology, *The Change Experience*, is designed to help an organization adapt to and navigate through complex and continuous change. Our approach provides organizations with balance and impact through plans that are purposeful, insightful, personalized, and interactive. This approach is integrated with EY's Change Insights analytics platform that tracks stakeholder sentiments, adoption, resistance, preparedness, and interprets data to provide real-time course correction to overcome roadblocks. Our change plans are inclusive of defining stakeholder roles and responsibilities, communications needs, training needs, documentation updates, workforce and organizational change readiness, and the impact to organizational culture. EY's design performance control and monitoring techniques powered by the Change Insights platform provide ongoing status data and feedback for the full life cycle of each change.



EY applies an eight-step process to create a tailored change management plan that effectively prepares stakeholders across organizations for varying levels of change:

- ▶ **Explore “why?”:** in this first step, EY works with organizational leaders to get clarity and align on the purpose, vision, and outcomes for the specific change by building a case for change to align leaders behind a shared vision
- ▶ **Understand needs:** EY establishes baselines captured through assessments, metrics, representative personas, and user experience definitions to determine the levels of stakeholder engagement, communication, and training that are needed to move stakeholder towards change adoption
- ▶ **Understand the change:** EY works with functional leaders and involved stakeholder to conduct a change impact assessment to evaluate changes across people, process and technology to support the creation of a relevant and customized change management plan
- ▶ **Co-create the future:** EY works hand-in-hand with organizational leadership and key stakeholders to document the future user experience and define desired behaviors and targeted interventions, such as communications, engagement and support systems
- ▶ **Align the organization:** EY actively shapes leadership roles, develop training materials, updates policies and other documentation, and define user-to-role mapping
- ▶ **Prepare the organization:** EY conducts a change readiness assessment that provides the ability to drill down to readiness performance across organizations and identify hot-spots for response and mitigation

- ▶ **Build the capability:** EY delivers trainings, conducts readiness testing, performs leadership and culture align activities, and deploys ongoing communications and engagement interventions to build change and adoption capabilities
- ▶ **Execute and sustain the change:** EY proactively defines post go-live support needs, tracks adoption levels, designs performance control and intervention plans for the full life cycle of change, and develops a transition plan to build longevity into the fabric of each change program

This approach has been deployed across thousands of public sectors and commercial entities, and with each application our model has been refined and informed based on these experiences. EY brings the experience and capabilities to deliver impactful and long-lasting change to our clients.

6. Procurement

Procurement Consulting Services

EY brings relevant experience in supporting procurement functions across public sector entities – EY combines our experiences in procurement and broader supply chain enhancement, including experience performing end-to-end procurement analysis, to support the optimization and modernization of procurement operations.

Supply chain and procurement

Against a background of growing change in ecosystems and with ever-shorter innovation cycles, we have supported clients to solve some of the most complex transactions and transformations around the globe. Our supply chain capabilities support new opportunities as supplier markets are constantly developing and evolving; both to enhance the cost of products and services and improve customer experience. Now, more than ever, procurement is central to business value creation; it must harness these developments and bring them to fruition through innovative, collaborative approaches to establish its position as a key contributor to optimization, performance and differentiation.

We have the practiced capabilities to view procurement in its complete life cycle, including components of property and payment in addition to HR, legal and technology. Our supply chain professionals are constantly identifying opportunities to increase effectiveness and efficiencies as well as minimize risks through leading processes and controls. Supply Chain Advisory areas include, but are not limited to, the following:

Full diagnostics		Implementation of savings plans	
Analyze the maturity of procurement organizations, identify key performance drivers and prepare a detailed savings plan broken down by procurement category.		Implement a performance plan with the rapid generation of successive waves of savings, built up jointly with client teams.	
Design of the target organization and transformation plan	Digital transformation to aid procurement	Change management and implementation, training and coaching	
Define the target organizational model, adapting the operating method and processes to suit the nature of the category and the client's procurement context.	Capitalize on advanced technologies such as robotics, analytics/big data, process mining and artificial intelligence to increase procurement performance.	Implement and accelerate skills development in the procurement teams to achieve and sustain a higher level of performance.	

Our Supply Chain and Procurement teams provide end-to-end recommendations with a wide range of resources. Our team of experienced supply chain professionals has a strong track record of delivering results,

and has successfully completed numerous performance improvement and implementation support projects across the public and private sectors. Our supply chain professionals provide significant value and insight with our deep operational experience that allows us to understand functional requirements, enabling us to craft recommendations that are tailored to client specific challenges.

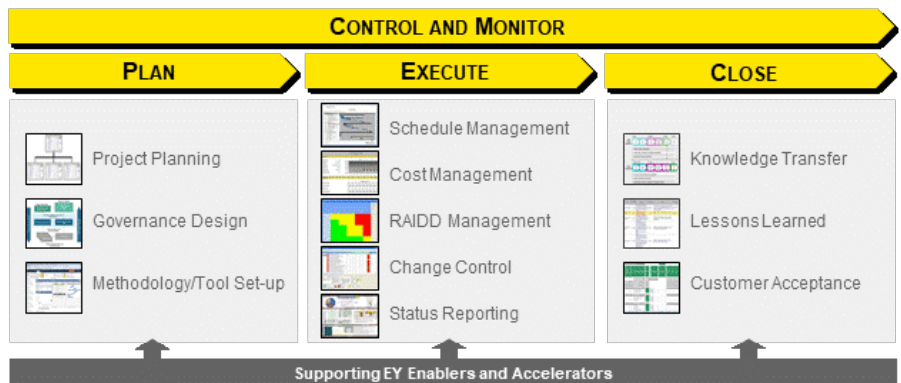
7. Implementation Oversight

Program Management

EY combines program management experience with industry insight to help our clients mobilize, operate, and optimize complex programs and achieve desired outcomes. Our PM solutions are designed to help clients answer common questions such as:

- ▶ How do we establish an effective Program Management Office (PMO) for our initiatives?
- ▶ What is our programs' health, and how do we measure success?
- ▶ What decisions and adjustments can we make to address issues and risks impacting our programs?
- ▶ What does "done" look like, and how do we know we are on track?

While the above are common challenges, every program has unique considerations. Therefore, we put agility



Our Program Management Approach


and flexibility at the forefront, approaching each engagement with a focused lens on our clients' specific needs. The figure on the left captures the fundamental components to our PM approach, mapped against the major phases of a program.

During the **Planning** phase, our focus is establishing a governance model, project baselines, and supporting

mechanisms to enable smooth program management operations during execution. This includes key activities such as: (a) confirming the program scope, decision authorities, and escalation paths; (b) developing the program's work breakdown structure, integrated schedule, and cost baselines; and (c) activating clear processes, templates, and tools to facilitate the **control and monitoring** activities that will take place throughout the life of the program.

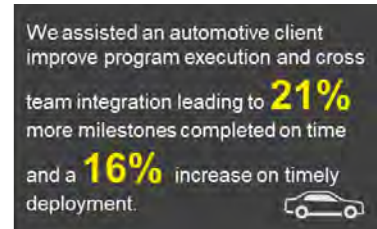
During the **Execution** phase, we monitor, update, and document progress against established scope, schedule, and cost baselines. We log approved changes to baselines in the Change Control Log according to the process defined during the Planning phase. Additionally, we keep the program's stakeholders informed of progress and performance through risk, assumption, issue, decision, and dependency (RAIDD) updates and regular status reporting.

Once the program is in the **Closing** phase, we work with the client to ensure the work has been delivered/completed to satisfaction and resulted in formal acceptance. Our primary focus shifts to knowledge transfer and close-out activities to make sure our client is properly prepared to be operationally independent. This includes documentation of lessons learned that can assist the client in their continued operations or future initiatives.

We helped a health care client raise its rate of projects delivered on or under budget by **20%** and increase the number of projects that met or exceeded ROI results year-over-year by **12%** through improved governance and an integrated scope-schedule-cost framework 

We helped a technology client  achieve **100%** projects on time, on budget, and on benefits through cross-team reporting processes and technology-enabled PM processes

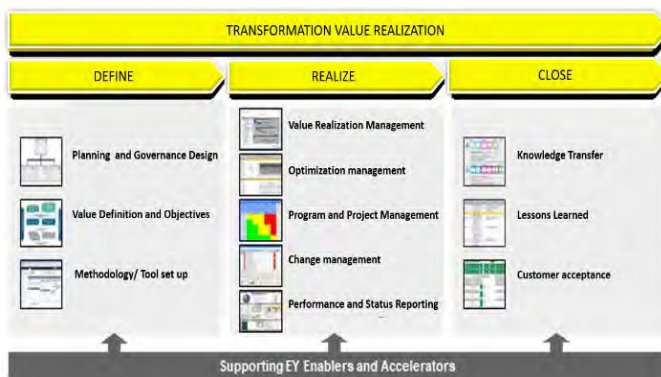
Enablers and Accelerators: EY has developed a mature, robust, global methodology named Exelerator2 that can be leveraged to quickly architect, build, and activate PM functions while enabling our consultants to customize it to fit our clients' needs. We also have proprietary, pre-configured, scalable PM solutions that integrate the experience of our people, the rigor of our processes, and the benefits of cloud-based technology from our focused alliance with Microsoft to help our clients deliver program excellence. These solutions assist us in fast-tracking design and implementation of PM functions, establishing single-source reporting and advanced analytics, and enabling teams to operate in a consistent and integrated fashion.



Transformation Management Overview

EY combines our global transformation management subject matter experiences with industry insight to help our clients transform, realize value, and innovate at scale while staying true to a proven set of core principles and leading practices. Our holistic approach includes a customer-centric Strategy Execution Management (SEM) focus to drive positive predictable value realization, strategic alignment, and help our clients answer common questions such as:

- ▶ How do we establish an effective Transformation Management Office (TMO) for our initiatives?
- ▶ What is our transformations' health, and how do we define, measure and track risk and value?
- ▶ What does "Done" look like, and how do we increase the predictability of positive value realizations?



End-to-End PPM Lifecycle

Although these questions may be common, we tailor our proven methodologies and frameworks to address the unique needs of each transformation.

Accordingly, we approach each engagement with flexibility and a focused lens on our clients' specific situation and needs. The figure at left captures the fundamental components to our transformation approach, mapped against the major phases of a transformation.

During the **Define** phase, we work closely with key stakeholders to gain consensus on the future-back transformation agenda and plan. In the dimensions of

now, next and beyond, we collectively define the value statement and objectives that set-up, inform and drive the **Realize** phase. Our SEM approach includes integration with the entity's core business on the definition of value. We collaborate to strong stakeholder communication, and sync with client governance calendar to define and align on the transformation value, objectives, business case models, and key performance indicators. These define, align and design activities help drive value realization and include activities such as: 1) establishing a Transformation Management Office (TMO); 2) confirming the transformation scope, decision authorities, measures, benefits, and escalation paths; and 3) the portfolio of initiatives to enable integrated human-centered transformation management from strategy to value realization.

During the **Realize** phase, under the TMO construct and across appropriate client dimensions, we deploy an integrated SEM value-focused plan and model. By deploying our TMO's value-realization construct, we holistically oversee and manage the transformation scope and risk. Also, we oversee or perform Portfolio and PMO functions. In alignment with the agreed TMO design and roadmap, we seek to realize value through use of artificial intelligence, automation, methods and accelerators at all levels of the transformation. We communicate and work with stakeholders and teams to analyse, align, prioritize, optimize, and track transformation value realization. We monitor, track and report on risks, value, cost, and schedule. Throughout the journey, we report progress alignment or variance using client sources of truth for data, processes, and

agreements with the business and functional leaders to facilitate alignment and data driven decisions. We analyse data inputs to confirm that all teams are following the agreed guidelines and data quality standards to report transformation value realization.

At the end of the realized phase, the transformation value realized is confirmed, and it moves to the **Close** phase. Then our focus shifts to knowledge transfer, and close-out activities to make sure our client is properly prepared to be operationally independent. This includes confirmation of customer satisfaction and next steps as well as documentation of lessons learned that can assist the client in their continued operations or future initiatives.

Enablers and Accelerators: To further accelerate transformation results, our TMO establishment would include deployment of our SEM-focused Transformation Hub (T-HUB). The TMO uses the cloud-based T-HUB to help our clients maximize the value of their transformations through quick start automation, repeatable leading practice, AI reporting and accelerators known as Power Packs. The T-HUB is part of a robust suite of global proprietary, pre-configured, scalable transformation solutions and accelerators that combine or stand alone to integrate and enhance our client’s experience with EY professionals, processes, and the benefits of cloud-based technology (from our alliance with Microsoft) to help our clients achieve repeatable transformation excellence and value realization.

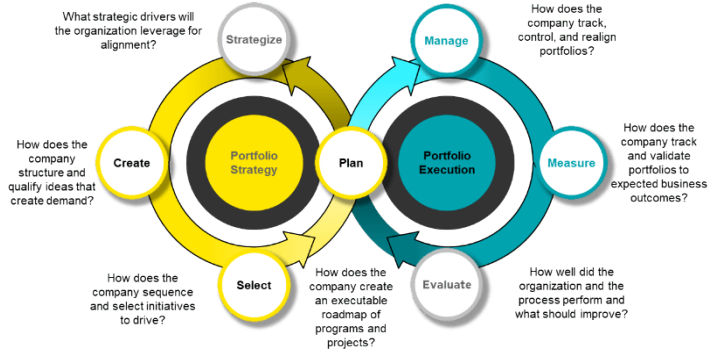
Project Portfolio Management

EY’s leading project portfolio management (PPM) solution approach enables greater enterprise control and value delivery by standardizing the end-to-end delivery of portfolio strategy through portfolio execution. Executive decision makers benefit from the linkage of strategy to initiative selection and objectives while project team members are encouraged to execute work in standard ways using systems of record. Figure 1 below shows the end-to-end lifecycle as initiatives are identified, sequenced and executed in a way that supports vision and strategy and enhance competitive advantage.

Organizations typically launch the PPM lifecycle by dissecting their strategy into business drivers (Strategize). A standardized portfolio of initiatives is created (Create) and the drivers are used to quantify each initiative’s

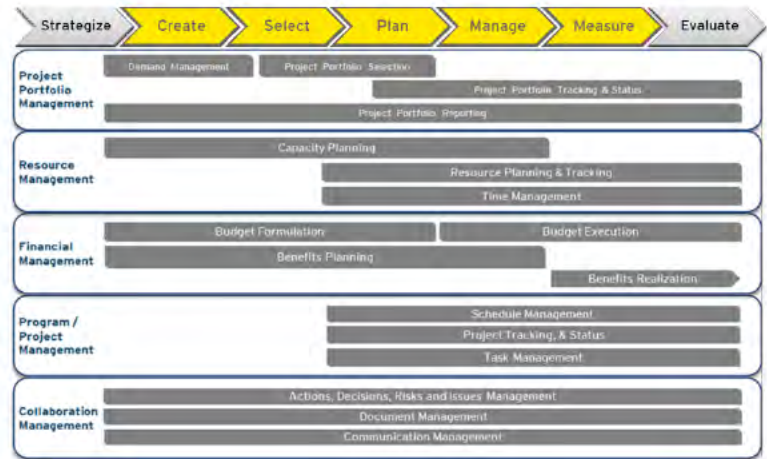
contribution to overall strategy before the portfolio is prioritized and selected based on optimal value subject to budget and resource constraints (Select). Portfolio Execution can then begin as initiatives are planned (Planned) and managed (Managed) using leading project and program management practices such as schedule, resource, cost, benefits and risk management. Benefits realization is achieved through continuous monitoring of initiative goals and objectives (Measure) while the portfolio is

periodically evaluated and re-prioritized based on initiative over and under-performance (Evaluate).



PPM Disciplines and Capabilities

The execution of the PPM lifecycle requires organizations to develop certain business capabilities which are applicable during various phases of the lifecycle. These capabilities fall into five main disciplines that are show in Figure 2 to the right. EY leverages the concept of Roadmaps to help organizations plan the development of initial operating capabilities and then later to mature capabilities to support desired business outcomes. Not all capabilities need be developed simultaneously or at the same level of maturity to achieve near-term benefits from PPM.

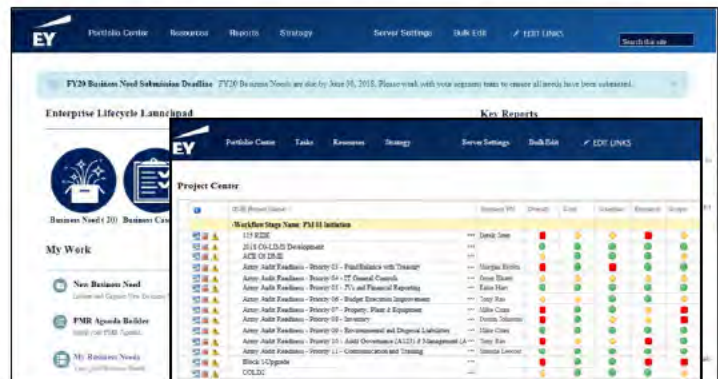


Capability Solution Layers

EY considers five capability layers when designing PPM solutions – Governance, Behavior, Process, Data and Technology – Each layer must be addressed in order to plan, design, implement and maintain a comprehensive PPM solution. Governance drives the business rules, Process the steps, Behavior the people and change, and Data the control of information. Technology can be a critical enabler of PPM solutions, but cannot deliver PPM capabilities on its own without the other four layers. The graphic on the left further describes how each layer contributes to the overall solution.

Commercial-off-the-Shelf (COTS) solutions are available to accelerate PPM solution adoption and have been designed, developed, delivered and maintained for numerous organizations across commercial industries, as well as Federal, State and Local government. The figure on the right

displays one common COTS PPM Solution based on Microsoft Project Server, owned by most 0365 organizations. Platforms for Technology solutions include Planview, Clarizen and Project Online.

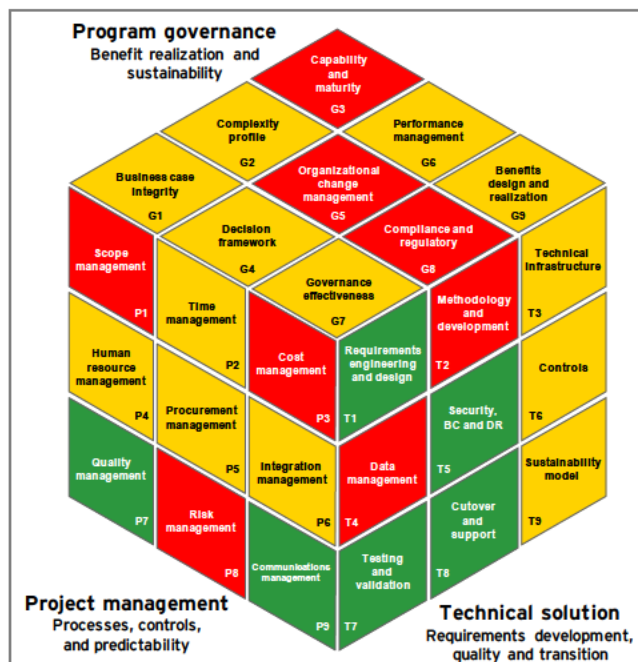


COTS PPM Solutions

Independent Verification and Validation (IV&V)

At the core of EY's IV&V methodology is a multidimensional evaluation of the risk interdependencies between program governance, project management and technical solution factors, as illustrated in the IV&V framework diagram to the right. The diagram is comprised of three dimensions (program governance, project management and technical solution), and each dimension is divided into nine facets. Each facet focuses on a specific area of its associated dimension and includes the following:

- ▶ General description and associated risks
- ▶ Expectations for level of incorporation of the facet into the program based on the inherent program complexity
- ▶ Maturity descriptions comprised of five levels of maturity (initial, repeatable, defined, managed and optimized)
- ▶ Any applicable industry leading practices and standards
- ▶ Standard documentation typically associated with the defined expectations for the facet
- ▶ Interview topics to be discussed during interviews with key program stakeholders



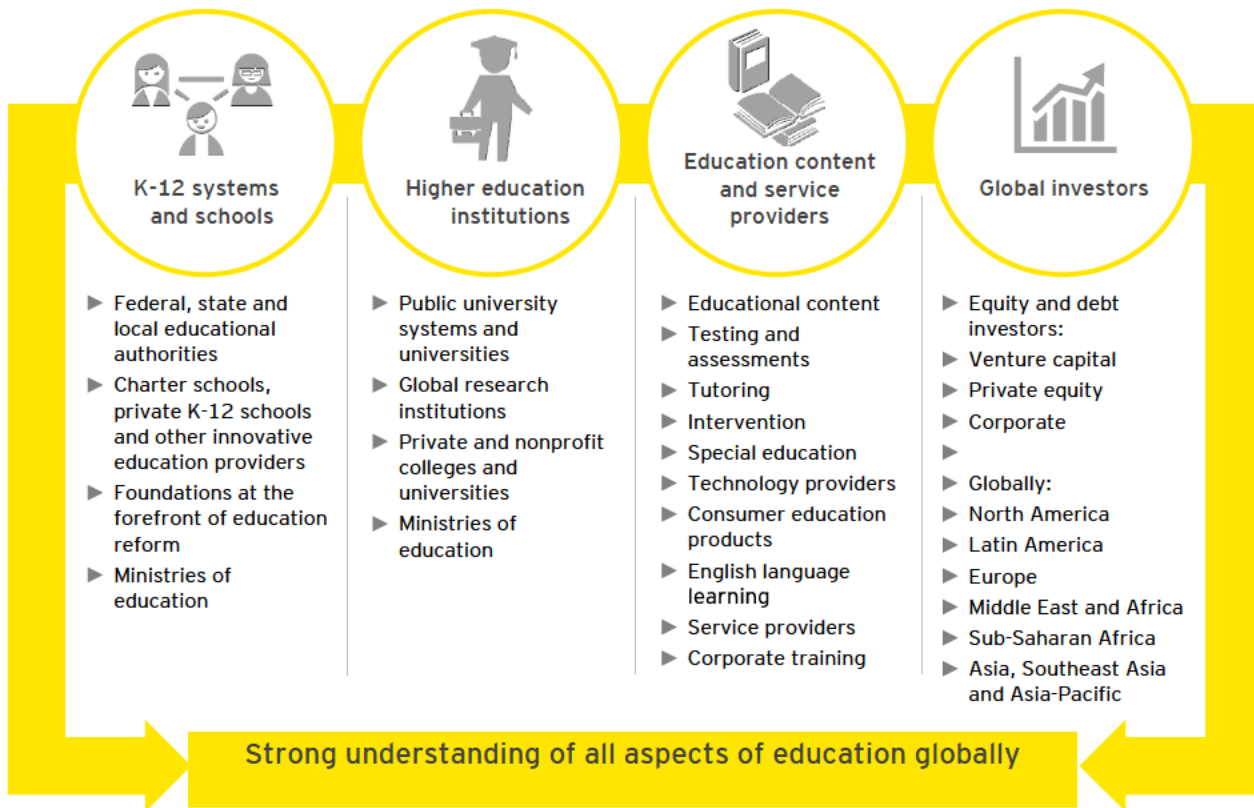
8. Business Advisory & Support

EY Parthenon

Education is vital for the future, yet complex in the present. However, the objective remains constant: achieving better student outcomes. EY-Parthenon professionals, in combination with the broader EY organization, have served as advisors to the education sector across the globe for more than 20 years. By working across the public and private sector, EY-Parthenon teams are well positioned to observe both the supply and demand sides of education, and to monitor the industry trends as they play out on a local and global level. They offer clients a suite of capabilities, from strategy through implementation support, across several subsectors, including K-12 systems and schools, higher education and workforce development, governments and foundations, education service providers and education transactions.

Established in 1991, EY-Parthenon is our dedicated education advisory team that has counseled executive-level business and education leaders in the US and across the world for many years. In 2001, EY-Parthenon was the first of major strategy consulting firms to launch a dedicated Education practice. In 2014, Parthenon was acquired by EY and became EY-Parthenon. Having a dedicated Education practice allows us to recruit, develop and retain a strong bench of talent, all committed to true collaboration and working side by side with our education clients. We bring a disciplined and customized approach to our work in education strategy, reform and implementation. Our teams are staffed – from the most junior analyst through to the project leaders – out of a pool of candidates with experience working on the country's most important education reform issues. We invest time and money to ensure that we can bring the right people to the table for every education engagement. Our clients in the education sector consistently remark that they appreciate that with EY-Parthenon they get the "A" team, whose talent and prior knowledge ensures they can add value from the start.

Our EY-Parthenon clients span:



EY Infrastructure Advisors

EY provides support to public and private-sector clients who are developing, own, operate or are acquiring infrastructure. We are focused on strategically positioning clients and communities for success in securing infrastructure funding and then ensuring that these funds are invested wisely, accountably and innovatively. Whether an infrastructure owner is delivering new capital assets or modernizing existing ones, undertaking operations for the first time or seeking to restructure current services and administration, EY offers actionable strategies, commercial insight and full implementation support. We provide rigorous analytical and economic insight to clients who must allocate capital and align resources around both short- and long-term goals. We support clients in improving financial and organizational performance, accountability and sustainability, automating and improving processes, empowering their workforces as well as maintaining controls, compliance and reporting. Our experience spans infrastructure types, including transportation, power/renewables generation, grid, data, resiliency and other essential services. EY delivers a unified suite of capabilities, seamlessly coordinated by dedicated Infrastructure Advisory professionals with direct experience in the finance, funding, procurement, delivery and operations of major projects. For government infrastructure owners, this includes integrating best practices from the private sector with a strong understanding of the unique requirements, values and objectives of the public sector.

We help:

- ▶ Clients Invest wisely in new infrastructure to address new and changing needs, unlock mobility, enable growth, improve sustainability and achieve a higher quality of life for communities
 - ▶ Rebuild, modernize or reimagine existing infrastructure
 - ▶ Bring innovation, foresight and sound economic stewardship to their major projects, programs and investments
 - ▶ Identify, attract, manage and deploy the funding and financing required to invest in infrastructure

- ▶ Drive competition, negotiate and partner effectively with the private sector and among governments
- ▶ Increase the effectiveness, transparency and accountability of their own organizations

Financial Accounting Advisory Services

Our Financial Accounting Advisory Services (FAAS) practice supports our clients in determining, monitoring and disclosing financial and nonfinancial insights to their stakeholders. Our multidisciplinary teams work with clients on projects such as managing accounting and reporting challenges, transaction accounting, corporate governance, corporate treasury services and remediation.

Climate Change and Sustainability Services (CCaSS) is a specialized competency within our FAAS sub-service line. Our team helps clients identify, measure, report and audit how social, ethical and environmental opportunities and risks could impact business performance and address their stakeholder reporting requirements.

Economic Stability SaT restructuring

This EY team helps drive fiscal stability to reimagine State & Local Government.

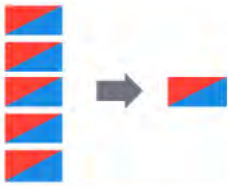
Congress has already agreed to provide \$2 trillion to help states, cities, and counties battle unemployment and the direct public health costs of COVID-19. Yet, over the next two years, state and municipal budgets may be burdened with as much as \$1 trillion in revenue shortfalls.

The depth of this impact calls for government leaders to take bold action informed by data and analysis to tackle new fiscal realities, reimagine government operations, and execute to meet the emergent needs of their constituents.

EY helps clients managing through the current crisis and execute towards a better future



Key tools to facilitate change



Integration Playbook

Leverages EY's decades of experience leading integrations, to quickly operationalize project with:

- ▶ Key enablers including operating models, public and private sector benchmarks, and leading practice processes
- ▶ Frameworks for project governance, reporting, and communication

Capital Edge

Drives better decisions and constructs a more focused journey to Day One Readiness by:

- ▶ Providing real-time data and analytics on integration costs
- ▶ Managing integration progress with dynamic workplans and status reports
- ▶ Simplifying reporting by producing executive-level and functional-level insights

Org and Talent Hub

Designs current and future state organization chart models, enabling informed decision making by:

- ▶ Developing org design options and resulting personnel flow
- ▶ Visualizing impact of org designs on reporting relationships and projected costs
- ▶ Comparing each model with leading practice benchmarks
- ▶ Analyzes overall change to organization with functional impact

9. Business Process Reengineering

Our proposed BPR approach focuses on two areas: 1) integration of the agencies and 2) process reengineering. Our approach is curated for each project, is empowered with our leading practice integration capabilities, and is aligned with the following guiding principles:

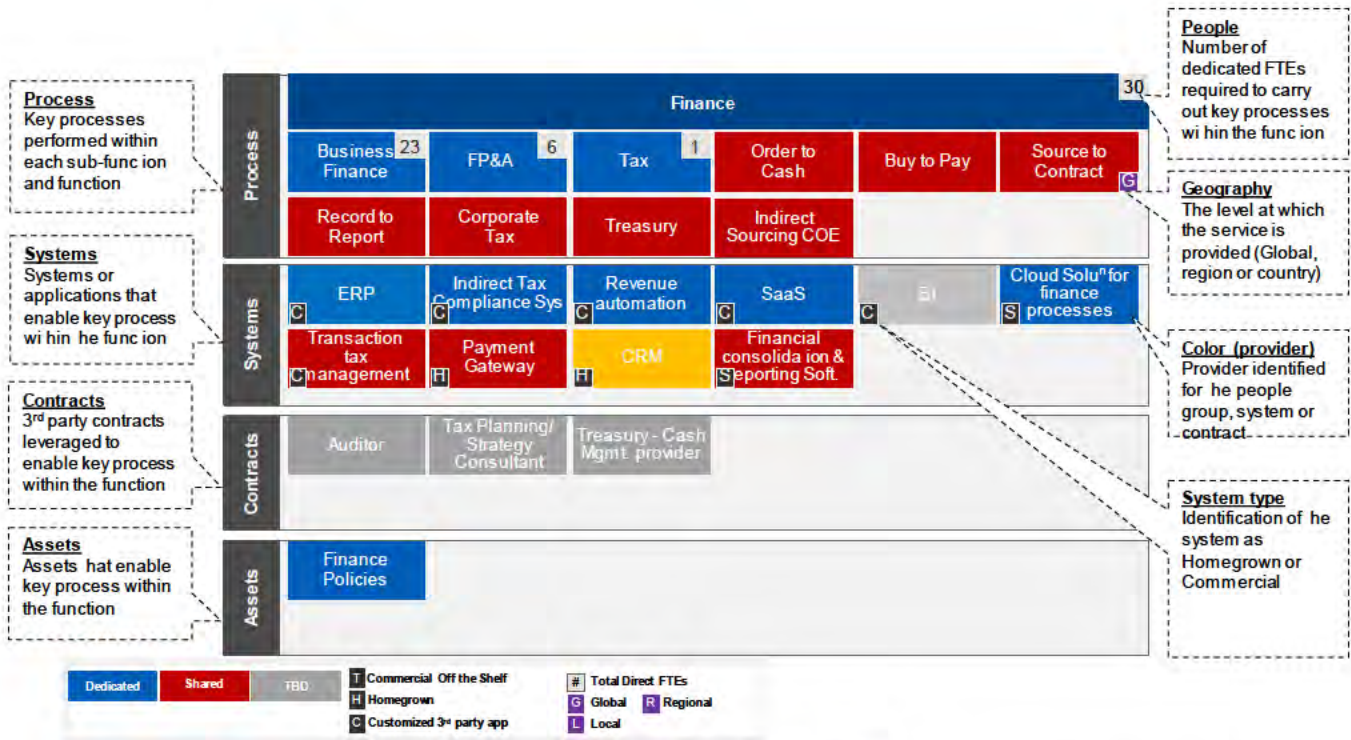
- ▶ Standardize and Simplify
- ▶ Focus on Efficiencies
- ▶ Leverage Enterprise Architecture Management (EAM) Framework
- ▶ Quality Client Service
- ▶ Identify Automation Opportunities
- ▶ Focus on Change Management

BPR methodology

Our approach to BPR is based on our industry leading integration capabilities. The approach strikes a balance that harmonizes the considerations of strategy, vision, people/ culture, transformation and third parties to the activities and identified deliverables.

Our approach to BPR is driven by EY's Integration Operating Model framework.

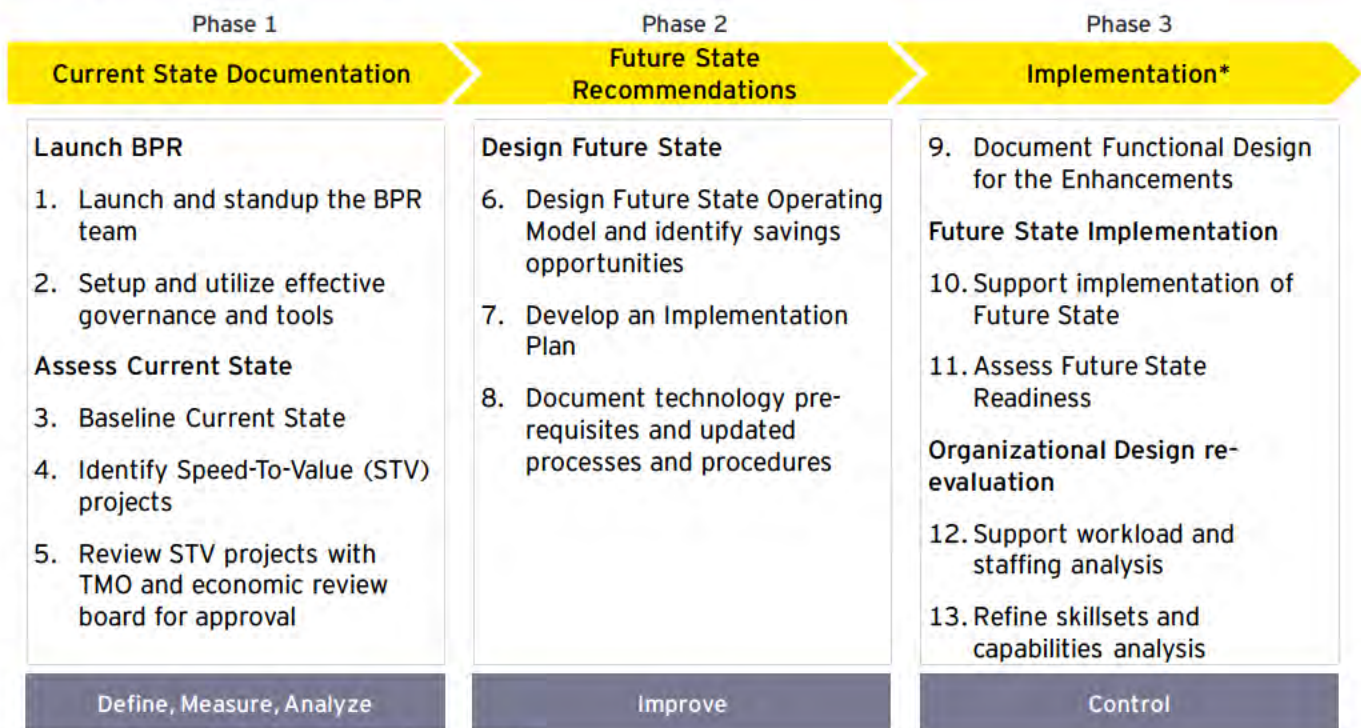
- ▶ Operating Models are dynamic and cohesive conceptual representations that dictate how an organization is (or can be) structured.
- ▶ Operating Models provide a snapshot of key organizational capabilities (that are enabled by people, process, systems, contracts and assets) and how the capabilities are (or can be) organized to achieve strategic objectives with a focus on identifying pain points, gaps, and redundancies.
- ▶ The Operating Model will be developed by each of the seven in-scope functions (finance, procurement, HR, etc.)
- ▶ The Operating Model work will include an assessment of current IT systems specifically for processes that support multiple agencies and are needed for standardization.



Tile Representation of the Operating Model

The methodology is supported by several EY proprietary tools and templates. These include CapitalEdge, Power BI, Organization Talent Hub (OTH) that supports organization design and re-evaluation, Wavespace that enables collaboration, and Intelligent Automation capabilities.

The approach consists of three phases:



* Functional designs for enhancements and improvement

Approach for Holistic BPR

Phase 1 - Current State Documentation

During the Current State Documentation Phase, EY will deploy a team of integrated professionals who have deep functional knowledge in business processes, IT systems, operating model design, regulatory compliance,

lean six-sigma and change management for identified functions. The team will review the end-to-end processes, interview relevant process owners, analyze data (historic and current), and assess applicable systems and applications. This team will work with the operating agencies and HQ to document applicable processes and technology in a format that is compatible with the existing Enterprise Asset Management (EAM) toolkit and Business Capabilities Model (BCM).

Phase 2 - Future State Recommendations

During the Future State Recommendations Phase, EY will use the Operating Model Framework to align current processes with leading practices to recommend an effective future state operating model for each identified function and business area.

Our Operating model design team will work collaboratively with the established leadership work groups, project steering committees, and functional BPR teams already on the ground to conduct the Operating Model workshops. The workshops will collaboratively identify essential components of the process, non-value-add activities, process inter-dependencies, key systems and applications, key controls and regulatory requirements. Through the workshop, EY will guide and lead the design of future state operating model.

EY also brings Intelligent Automation capabilities that can serve a pivotal role in the future state design of business functions. EY is a recognized leader in automation services and has substantial experience advising global organizations, both public and commercial, on the strategic deployment of automation to drive enterprise-scale transformation.

Phase 3 - Implementation

During the Implementation Phase, EY will help rollout the Future State for each re-engineered function, along with necessary performance indicators, speed to value plans, system upgrades, updates, and implementations. This includes the support of organization design reevaluation. Outputs will be “packaged” to include pros and cons, savings and investments, all against documented organizational criteria and priorities, to support committee reviews and approvals. This additional task will support priority approvals providing organizations with the ability to quickly enact and implement selected changes as completed based on clear and determined priorities.

10. Consultation Services

Our Consulting services help organizations realize their social, economic and cultural value by helping them improve performance, manage their risk appetite and harness their people agenda.

Some of our consulting differentiators are outlined below, including:

- ▶ **Purpose Built** - Our competitive advantage lies in the approach we've taken to build and scale our consulting capabilities. We have listened carefully to our clients and have observed trends in the market that direct us toward areas of increased and sustained demand across consulting, including underserved capability areas. Through focused talent acquisition, organizational acquisition, organic talent development and a targeted alliance strategy, we have built a consulting capability that is custom tailored to meet the most pressing demands of our clients.
- ▶ **Consulting Breadth** - Ability to provide full-service consulting capabilities from strategy, to implementation support, to managed services as well as compliance related services.
- ▶ **Team** – We realize to attract and keep talent, we need to empower our people to build their careers through diverse and flexible learning opportunities and purpose-driven experiences. Each year, we invest \$500 million in more than 14 million hours of training for our people. EY Badges is another learning program that recognizes the need to upskill and motivate all our people to work with a global and digital mindset. EY professionals and staff can earn credentials in vital areas such as Blockchain, design thinking and artificial intelligence, to name a few.

- ▶ **Innovation** – Our innovation capabilities are being recognized for our focusing end-to-end from ideation to scale. EY has been recognized by Forrester Research as a leader in innovation consulting services in The Forrester Wave™: Innovation Consulting Services Providers, Q4 2018.

11. Customized Training Services

EY’s approach to learning allows us to focus on building training solutions for our clients that considers the “human experience” for all employees. This approach results in higher employee satisfaction with the training delivered, greater adoption of new tools and skills after training is complete and, in turn, a much better return on investment in staff development. EY approaches training engagements with the following key tenets in mind for our clients:

- ▶ **Listening and Engagement:** We engage sponsors, project team members and other key stakeholders early and often to gain perspectives on “what will successful training look like” - as well as to build support and enthusiasm for the training to be delivered.
- ▶ **Delivery and Interaction:** It is important to build training content with the end-user experience in mind (“how do I feel about what I am learning?”; “how will my work change?”; “what do I need to do differently?”) while maintaining flexibility to accommodate changes in approach or direction that may require amendments to training content before it is delivered.
- ▶ **Content Retention:** A relentless focus on managing, updating, incorporating and retaining the right knowledge, skills and procedures is needed to build training that enables employees to succeed in their work after training is delivered - while still being flexible to incorporate new knowledge where necessary (e.g., if training requires updates or remediation to confirm all participants are confident in their new skills).

EY’s training strategy, design and delivery lifecycle, which we have successfully deployed across a wide variety of client projects, comprises five phases:

- ▶ **Analyze** - Completing a comprehensive training needs analysis to confirm we are building the most appropriate content at the right time for the right audiences
- ▶ **Design** - Planning for deployment of materials focused on helping employees develop skills that enable them to meet and exceed both personal and organizational expectations
- ▶ **Develop** - Preparing “train-the-trainer” materials and creating learning content that incorporates all adult learning styles to improve adoption success
- ▶ **Implement** – Deploying industry leading, innovative tools (e.g., Agile demos, gamification and YouTube channels) to deliver content in newer, digitally-enabled formats – with leaderboards to track training completion
- ▶ **Evaluate** - Capturing feedback via surveys and online audience forums to enable continuous improvement of content and delivery as the agency continues its transformation journey

EY’s innovative digital training capabilities include:

Micro Learning or Agile Demos – delivered to users in small, specific bursts with tools such as SnagIt Videos

Community Forums – organic, self-powered communities where users can answer questions and help solve problems, leveraging tools such as Bonfyre, which can be accessed on smartphones, tablets and PCs

Gamification – a powerful tool to build and deliver successful, high-impact trainings and assess results that focuses on interactivity and active learning (e.g., word puzzles, quizzes or other creative formats)

Quick Digital Guides – additional tools for

The most effective learning programs are those that consider the end-to-end stakeholder experience, as shown below.

Description	Build the right training for the right audiences at the right time	Create comprehensive training programs	Leverage industry leading tools to enhance variety for your audiences	Confirm that training will be aligned to learning objectives and expected outcomes	Collaborate on updates to training materials and delivery approaches based on feedback
	Analyze	Design	Develop	Implement	Evaluate
Process	Identify training needs	Develop training curriculum	Develop training content	Deliver training	Evaluate and support
Key activities & trainee engagement	<ul style="list-style-type: none"> Develop end user training strategy which outlines the approach to develop, deliver and evaluate training Assess training needs by stakeholders Identify approach to training environment and data requirements 	<ul style="list-style-type: none"> Define training content that demonstrates a holistic view of the learning objective Design training in the context of the organization's current business environment, including example "scenarios" which are relevant to employees Develop end user training plan and curriculum 	<ul style="list-style-type: none"> Develop end user training course objectives and outlines, end-user training schedule, and training materials Develop training content (including participant guides, job aids/quick reference material, e-Learning/web based learning, Agile demos and gamification) 	<ul style="list-style-type: none"> Testing of training materials Run test /pilot training Rework and finalize training material Identify and train instructors (if applicable) Finalize and prepare detailed logistics Deploy and deliver training to end users 	<ul style="list-style-type: none"> Develop and conduct training feedback survey Evaluate training effectiveness attained via feedback Update training materials based on evaluation feedback
	Output	<ul style="list-style-type: none"> Training strategy High level training needs analysis 	<ul style="list-style-type: none"> Detailed training needs analysis Training curriculum Training plan 	<ul style="list-style-type: none"> Course outlines Training material Instructor guides 	<ul style="list-style-type: none"> Delivery of training (instructor-led / "train-the-trainer", self-paced, on the job coaching and knowledge transfer sessions)

12. Software and IT Asset Management (SAM & ITAM)

EY professionals provide a variety of SAM & ITAM services using a wide range of experience, proprietary tools/frameworks and a highly trained, global team

Trained team

- ▶ Trained team of 200+ professionals
- ▶ Licensing professionals across major software vendors with in-depth understanding of vendor's audit methodology
- ▶ Well-versed with changing licensing terms and conditions

Industry experience

- ▶ Broad understanding of industries beyond DIP due to servicing different industry verticals like health care, IT/ITES, media, FMCG, insurance, banking, aerospace, etc.

ITAM experience

- ▶ Strong history of helping clients improve capabilities across the ITAM life cycle, executing more than 300 projects
- ▶ Global experience in designing and building ITAM capabilities across internal audit, advisory and managed services
- ▶ More than 5,000 SAM reviews conducted

Strategic partnerships

- ▶ Recognized by Gartner as Global SAM Managed Service provider
- ▶ Gold alliance partner with ServiceNow
- ▶ Platinum alliance partner with SAP
- ▶ Global Microsoft Alliance partner

Next-gen toolkit

- ▶ Experience working with ITAM tools – Flexera, ServiceNow, and others
- ▶ Sustained investment in EY Atom, a proprietary automated EY SAM tool solution

Global presence

- ▶ Globally coordinated teams for better reach and faster response
- ▶ Onshore and offshore delivery centers to align with your standards

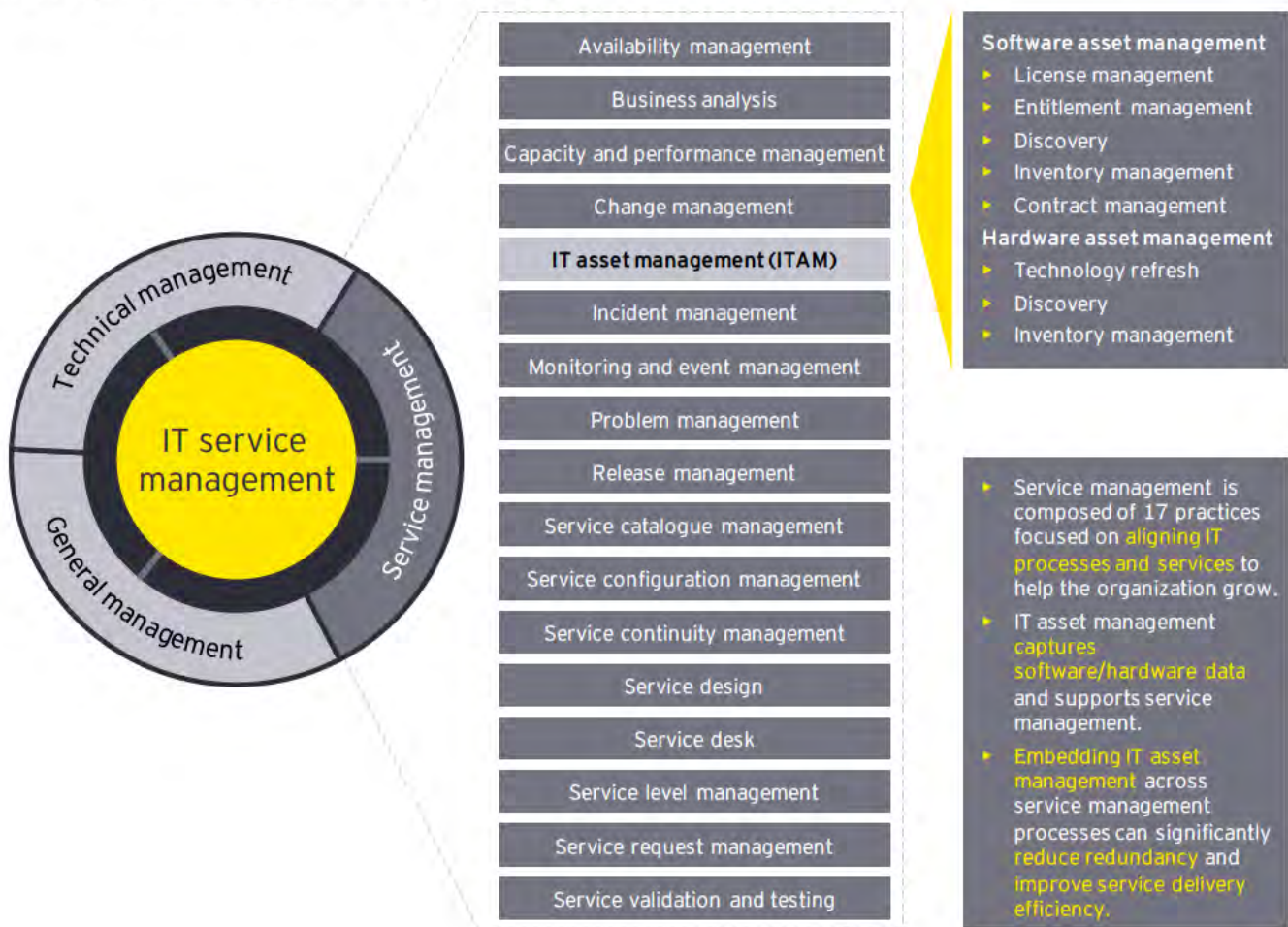
An effective IT asset management program is critical to managing and mitigating risks that arise due to the increasing complexity of asset environments within organizations. Despite increases in cloud and SaaS alternatives impacting traditional software IT Asset portfolio, software and hardware assets still represent a large portion of a typical public sector organization’s overall IT spend - as much as 43 percent of the average IT spend is related to IT assets.

With a lack of transparency and accountability into existing assets, enterprises become vulnerable as they open themselves to security attacks and data breaches

This is further complicated due to the convergence of IT and operational technology (OT) assets. About 25 percent of asset-centric enterprises will adopt IT security in the deployment of OT assets by 2021.

While the focus of most organizations is on managing risk and compliance related to assets, implementing the appropriate strategies and protocols can yield significant savings especially in times of adverse market conditions that mandate operational savings.

IT asset management programs can significantly improve the service delivery maturity of an IT service management organization



13. Software Portfolio Management

Organizations across the world are being disrupted at an increasing rate and are faced with a series of challenges to which they must respond.

Economic uncertainty		
Adapt and resiliently tackle ambiguity and unpredictability due to the high velocity of social, environmental and geopolitical risks (COVID-19, 2020 immigration law impacts, etc.)		
Ability to transform IT	Customer demands	Risk and cybersecurity
Grow the confidence in IT's ability to deliver value within time and cost constraints	Accelerate adoption of new channels and ways of working in the transition to a new generation of engaged customers	Place emphasis on risk mitigation strategies in a landscape of increased threat awareness
Technology debt	New skills required	New revenue streams
Develop and implement strategy to catch up to historic underinvestment that created "cliff edge" for services	Harness the power of a digital-ready workforce with a new set of competencies	Create new services by leveraging the new disciplines from IT created to meet higher customer engagement

These challenges generate opportunities for IT to take on a broader role to not only support the business but become a partner in managing and harnessing disruption.

Innovation at scale

- ▶ Products and trusted data: shift from "projects" to "products" to deliver value to the business and the market faster. Build trusted data and intelligence capabilities to make better decisions faster.
- ▶ Enterprise platforms: leverage the right platforms and enterprise solutions that can increase agility and flexibility to respond to changing business demands and explosive growth.

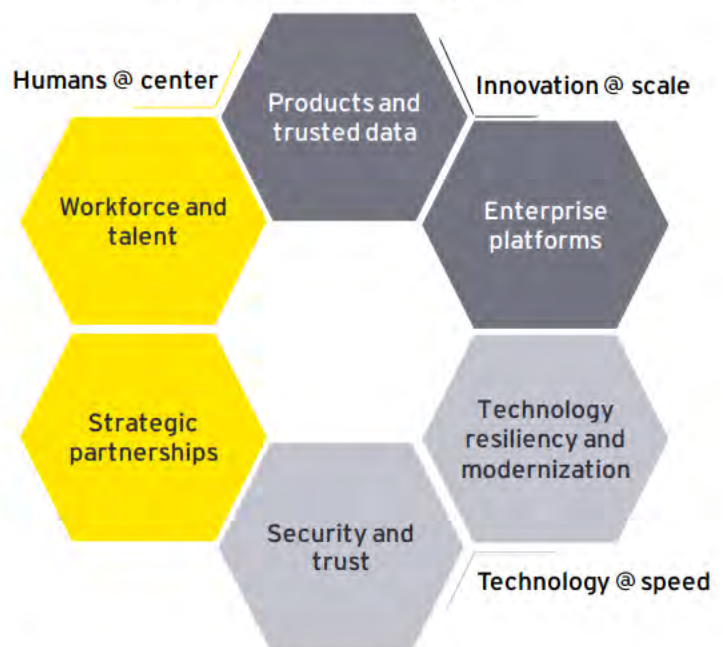
Technology at speed

- ▶ Technology resiliency and modernization: simplify the technology portfolio and support model to drive operational efficiency and allow faster delivery.
- ▶ Security and trust: expand and transform while protecting the business and building trust, increasing resiliency and mitigating risk to the organization.

Humans at center

- ▶ Evolving workforce: identify and build the kinds of roles and skills needed to succeed in the future. Find the best way to source talent (internal vs. external).
- ▶ Strategic partnerships: activate partners with the right cultural fit, size, scale and speed to enable our strategy and delivery model.

How IT can successfully partner to drive the digital agenda



Increase efficiency of technology resources

Why

Challenges and implications for the organization

- ▶ As organizations grow, evolve and merge, the benefits from the long tail of transformation are often not picked, although ripe for realization
- ▶ Optimization of IT resources and processes is not embedded in everyday operational objectives, often leading to a lack of consolidation, standardization, automation and elimination across the technology stack
- ▶ Shadow or legacy IT tools and processes hinder efficiency and growth

What

Benefits of a technology revamp

- ▶ Improve strategic fit of application landscape
- ▶ Reduce redundancies and associated costs by consolidating and rationalizing applications and/or infrastructure
- ▶ Improve utilization of resources
- ▶ Reduce support and maintenance costs
- ▶ Increase reliability of systems
- ▶ Increase ability to manage and respond to risks and issues

How

Helping you on the journey to success

Identify business needs and requirements

Facilitate cross-functional collaboration

Identify quick wins, keep a view on the long terms and establish a culture of optimization with an ROI focus


Manage portfolio investments by looking at risks, impact and velocity

Leverage vendor negotiations to drive business value

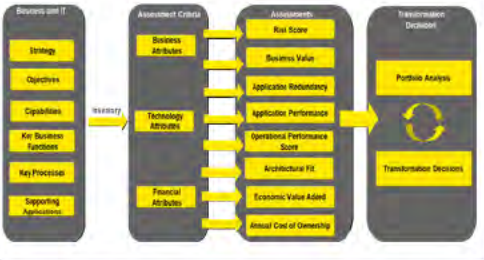
Develop enterprise approach and process for repeatable, automated and monitored rationalization

Key frameworks and enablers


EY application rationalization framework



EY portfolio assessment approach



App/business taxonomy - heat map



Why

Challenges and implications for the organization

- ▶ With a lack of transparency and accountability into existing assets, organizations become vulnerable as they open themselves to security attacks and data breaches
- ▶ Lack of standardized reporting, governance mechanism and oversight controls impede ability to optimize cost and maintain compliance
- ▶ Minimal use of new technology (e.g., automated asset management), unintegrated toolsets and inadequate asset inventory management further hinder ITAM efficiency

What

Benefits of a technology revamp

- ▶ Allow for development of new technology-based operating models designed to get the most value out of a business asset
- ▶ Improve management of cybersecurity vulnerabilities
- ▶ Improve organization's future financial planning activities
- ▶ Improve asset tracking through comprehensive standardized processes
- ▶ Increase productivity and financial mitigation efforts

How

Helping you on the journey to success

Establish protocols to right-size entitlements and support and drive efficient utilization of assets

Proactively track likelihood of audits and assess current compliance risks posed by top-tier vendors

Ensure IT asset information remains updated by capturing deployments and entitlements to develop a baseline of asset inventory

Ensure cloud assets are accounted for in ITAM program

Tailor the ITAM operating model to account for your organization's unique environment, processes and culture

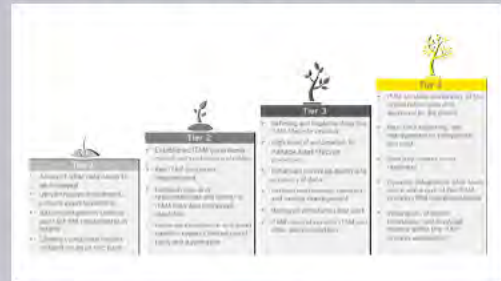
Invest in ITAM and asset discovery toolkits

Key frameworks and enablers

ITAM operating model



ITAM maturity assessment



Cost optimization framework



14. Tax Consulting and Compliance

Digital Tax Administration Government Services (DTAGS) is a national practice specializing in modernizing the digital tax operating model for tax and revenue authorities. We serve public sector clients by providing technology, implementation and support services to optimize tax authority operations, enhance the overall taxpayer experience and manage through crisis (i.e. COVID-19).

DTAGS Service Offerings:

Process and technology assessments	Technology and tax systems implementations	Tax modernization program risk support	Digital/real time tax reporting including e-invoicing	Monitoring and benchmarking of digital reporting requirements
Analyze processes and identify opportunities for operational and technology improvements for tax and Unemployment Insurance (UI) systems	Provide implementation and PMO support for tax and UI systems and technology solutions, including Intelligent Document Processing (IDP), Virtual Assistants (VA), COTS systems, data analytics, etc.	Provide program risk assurance services for tax and UI System Implementation programs	Support tax and revenue authorities in the design and implementation of real time sales tax remittance and e-invoicing solutions	Monitor digital reporting updates and provide benchmarking of digital reporting requirements for both commercial and GPS client use
How we serve public sector clients				

Quantitative Economics and Statistics (QUEST)

Governments rely on information and analysis to help them understand and effect tax and regulatory policies, evaluate current laws and potential legislative changes, analyze tax credits, deductions and other tax related incentives, and analyze industry and market trends. Insightful and actionable quantitative economic and statistical data analysis can help an organization chart its future.

QUEST provides quantitative and economic analysis services to private and public-sector clients from around the world. QUEST's interdisciplinary team consists of more than 30 economists, statisticians and business analysts – some with senior-level government experience and more than 70% of whom have a PhD or MS in economics, statistics or survey research. QUEST has been helping public sector clients for nearly two decades with a broad range of projects that apply economics and statistics to real world issues.

Indirect Tax

Indirect taxes, which are also referred to as state and local taxes, affect companies' supply chains, financial systems and provide for a community's economic base. EY's network of dedicated indirect tax professionals combines technical knowledge with industry understanding and access to technologically advanced tools and methodologies to help public sector entities understand the myriad of business and tax implications their policies create. We identify risk areas and sustainable planning opportunities for indirect taxes throughout the tax life cycle, helping our clients meet compliance obligations and business goals around the world. We can provide clients with effective processes to help improve day-to-day reporting, reduce attribution errors and costs, and make certain indirect taxes are handled correctly in transactions. Our globally integrated teams give the needed perspective and support to help clients manage indirect taxes effectively.

Economic Development Advisory Services

Our team includes professionals with significant experience in economic development, incentives and location investment, data analytics, government and public sector advisory, and tax policy. Through our years of experience, we understand that cities and economic development organizations need to act quickly to analyze the impacts and develop data-driven approaches that provide businesses with direct support and greater certainty in the coming weeks and months. We leverage our holistic approach to economic development to help communities analyze the economic impacts, develop comprehensive strategies to mitigate the impact and stabilize the local economy, identify and obtain funding, and implement strategies. Additionally, we assist our clients with long-term strategic planning and execution so that they are well prepared to recover and grow their economy in a more resilient manner in the months and years to come.

15. Financial Statement Audits

Our GPS practice has experience that is directly relevant to perform meaningful financial statement audits and audits of segments of financial statements. Our team members also have demonstrated experience and knowledge in critical areas, including:

- ▶ **Government Auditing Standards** - Almost every audit of state and local governments and special authorities, whether of the entire financial statements or segments of financial statements, must be in accordance with GAS, which requires an audit of the entities' financial statements or segment of the financial statements, a review of compliance with laws and regulations and consideration of the internal control over financial reporting. The professionalism, knowledge and skills necessary to efficiently and effectively perform these audits are the same as those needed to meet your audit requirements.
- ▶ **Internal controls** - All of these audits must include consideration of internal control. Professional judgment and public sector-specific audit experience are needed to determine whether the planned controls are working as intended. More importantly, experience is needed to assess whether the planned controls are adequate for your activities and protect your assets. Equally important, the review of internal controls is a vital initial step in defining the current state and determining the future state of your business process improvement opportunities.
- ▶ **Financial systems** - Most of our public sector clients utilize financial systems. Accordingly, we have significant experience auditing in a computerized environment. We also have provided a significant amount of consulting services to public sector clients in assisting them select, install and implement new accounting systems. Often systems are well-planned and efficient at installation but need changes as organizations evolve or people rotate, so "patchwork" fixes become common. The result – client staff are often working much harder than necessary and often without the opportunity to review their efforts in an attempt to work smarter. EY can help facilitate a process to selectively review accounting and financial systems to identify improvement opportunities.

16. Internal Controls Review

EY has significant breadth and depth of experience providing internal audit services to both federal and commercial clients. Over the past five years, EY has completed more than 50 OMB A-123, ERM and internal control projects across more than 20 federal agencies and components, including the Department of Homeland Security (DHS), DOJ, Department of Defense (DOD), General Services Administration (GSA), and Department of Commerce. These projects have also included multiple audit readiness and audit remediation projects to support the development and implementation of CAPs to improve the quality of our clients' financial reporting controls and processes in order to prepare them for being audit ready or obtaining and maintaining a clean audit opinion.

Our ability to conduct an integrated internal control assessment centers on our understanding of the risks and objectives associated with the government and public sector clients with whom we work closely. EY's approach to providing internal controls assessment services focuses on mitigating risks, optimizing internal controls to reduce costs, and transforming risks into opportunities to create improvements through improved processes and operations. Our approach is supported by the significant investment EY makes globally to perform research and develop leading practices across all industries and sectors in order to offer diverse knowledge and skillsets - EY has the global presence and size to make significant investments in capturing lessons learned from our experience and improving methodologies, technologies and tools used. Our extensive experience with control environments at both large federal and commercial clients positions EY to effectively and efficiently identify, assess and mitigate external and/or internal risks that may hinder the achievement of statewide objectives. Our internal controls assessment services comprise both Internal Audit (IA) Transformation and IA Controls services.

EY's **IA Transformation services** help clients understand the operating effectiveness and the organizational risk profile of their IA function, define the future state, and help the IA function progress by developing a strategic roadmap to prioritize key objectives and transform IA processes. EY helps clients transform and modernize public sector organizations - from strategy through execution. EY assists with risk management, risk and controls, and GRC technology enablement.

- ▶ EY is working with the DOT FAA to design and implement their GRC solution, RSA Archer. EY is assisting the FAA to streamline business processes around data call management and NIST A&A, and then enable those processes via configuration of the automated workflows within Archer. Resulting benefits include reduced cycle times in the execution of organizational risk and compliance activities as well as standardization of these activities across the enterprise.

EY's **IA Controls services** help clients develop a risk-focused internal control program that will help improve process and control efficiency. Our services include the evaluation and testing of entity level controls, transactional level controls, and IT general controls. We apply a top-down, risk-based approach to determine the scope of the internal control testing work and the testing strategy in order to focus our efforts on areas of higher risk to reporting.

- ▶ EY supports DOJ in strengthening its internal control environment by assisting in the development and implementation of the Department-wide A-123 and ERM program to annually assess risks and internal controls. EY has focused on improving the efficiency, effectiveness and accuracy of financial operations through the identification and monitoring of risks, documentation and analysis of systems and processes, and supporting the remediation of identified deficiencies through the development and assessment of CAPs.

EY's **IA Outsourcing and Co-sourcing services** help clients deliver on their IA plan, assist with compliance requirements, and handle any other management requests. IA outsourcing/co-sourcing can be performed for certain target areas in an IA function (e.g., specific audits) or for the function as a whole. Our outsourcing model includes coordination and management of the IA function, removing much of the burden that would

otherwise be placed upon management. EY's outsourcing model integrates experienced IA staff and subject matter resources within entity management to plan and execute effective and insightful internal audits. We improve quality and value by aligning our diverse knowledge, skillsets and competencies across the team.

- ▶ EY provides GRC configuration services to the DOT FAA through our onshore Service Delivery Center, which provides access to our global portfolio of knowledge, capabilities, and innovative solutions for streamlining and improving business processes, managing risk, and achieving cost savings. Resulting benefits include reduced cycle times in the execution of organizational risk and compliance activities as well as standardization of these activities across the enterprise.

EY's **Audit Remediation services** help clients mitigate or eliminate audit findings, improve reporting cycle time, improve reporting reliability and quality, and free up resources for more forward-looking activities. Our approach includes assisting with designing and executing corrective actions, determining the root cause of deficiencies, tracking deficiencies and CAP milestones, and outlining internal control improvement strategies.

- ▶ EY's work with the Army General Fund is a strong example of how EY combines our financial statement audit knowledge with our OMB A-123 skillsets to support our clients in responding to audit requests, as well as understanding risks and controls and support the remediation of control deficiencies. EY's risk and control knowledge and financial statement audit experience are "put to the test" as we continue to support the Army on its journey to improve their financial reporting processes. In support of this project, EY has worked with the Army to establish a remediation process to prepare for and support key assessment milestones, including the full financial statement audit; co-develop a process to address Notices of Findings and Recommendations (NFRs) received from the financial statement auditor; and implement correct action plans to remediate the issues identified in the NFRs. Additionally, EY has leveraged our financial statement audit resources to support the Army in achieving a 95 percent pass rate for existence and completeness of Operating, Materials and Supplies (OM&S), which supported the Army in correcting process deficiencies in reporting.

EY's **Audit Readiness services** help clients assess the quality of the reporting process, prioritize and streamline closing activities, and prepare for the audit process by identifying leading practices for developing and maintaining compliant and auditable financial information; devising new or revised accounting policies and procedures and recommend implementation strategies to address impediments to a successful audit; developing detailed audit readiness methodologies, policies and guidance; and providing program management support to manage the engagement.

- ▶ In addition to the aforementioned audit remediation work, our audit readiness work in support of the Army General Fund is another example of EY's diverse knowledge and skillsets with integrating our financial statement audit and OMB A-123 experience. The Army environment is complex, both organizationally and regarding financial accounting systems. The volume of control assessment work for the prior fiscal year included more than 8,500 samples, 200 CAPs, and a universe of transactions that consists of approximately 23 billion records with data feeds coming from 26 systems.

EY's **Compliance Review services** assist clients with the implementation of and compliance with provisions of laws, regulations, policy, contracts and/or grant agreements by performing risk assessments, testing the design and operating effectiveness of compliance controls, performing transaction-level testing to determine whether activities comply with requirements, and summarizing and reporting results.

- ▶ EY supports the United States Marshals Service (USMS) with leading finance and procurement sub-process testing for the USMS' compliance reviews to determine whether the 94 District field offices comply with agency policies and procedures. Through the compliance reviews, EY has helped the agency determine whether internal controls are properly designed, implemented and operating effectively, which allows the USMS to proactively prepare for any external audits or reviews and serves as the basis for their annual statement of assurance.

EY's **Process Improvement services** help clients identify and streamline their core end-to-end processes at the Enterprise-, Functional- and/or Process-level by envisioning the transformation of a major end-to-end (E2E) business process, designing the future state process, and developing a roadmap and supporting business case to implement the future state process.

- ▶ EY performed an organizational assessment for the US Coast Guard Finance Center (FINCEN) as preparation for implementing a new financial system. EY documented over 1,300 business processes, and provided workforce strategy, performance culture and human capital analysis services to the FINCEN to support the design and implementation of a new operating model for shared services. This technical advice resulted in recommendations to re-organize the organizational structure into six core lines of business, prioritized areas for process improvement and automation, and identified gaps and opportunities to help align employees to organizational needs to strengthen and build the foundation for the control environment of the future.

EY's **Risk Management services** assist clients with the assessment, design and implementation of risk management programs to better identify, manage and respond to risks across the organization. This includes designing and implementing risk strategies, organizations/functions, processes and technologies covering areas such as enterprise risk management, program risk management, IT risk management and third-party risk management.

- ▶ EY has supported the DOJ in developing a multi-year, phased approach to implementing ERM requirements. Additionally, EY has supported the integration and alignment of ERM to the DOJ's strategic planning activities including the Strategic Objective Review (SOR) process, per the guidance in GPRAMA and OMB Circular A-11 and across all four phases of ERM.

EY's **System and Organization Controls (SOC) Reporting services** help service organizations build trust and confidence in their delivery processes and controls with external stakeholders. EY assists organizations by providing the following attestation and advisory SOC services:

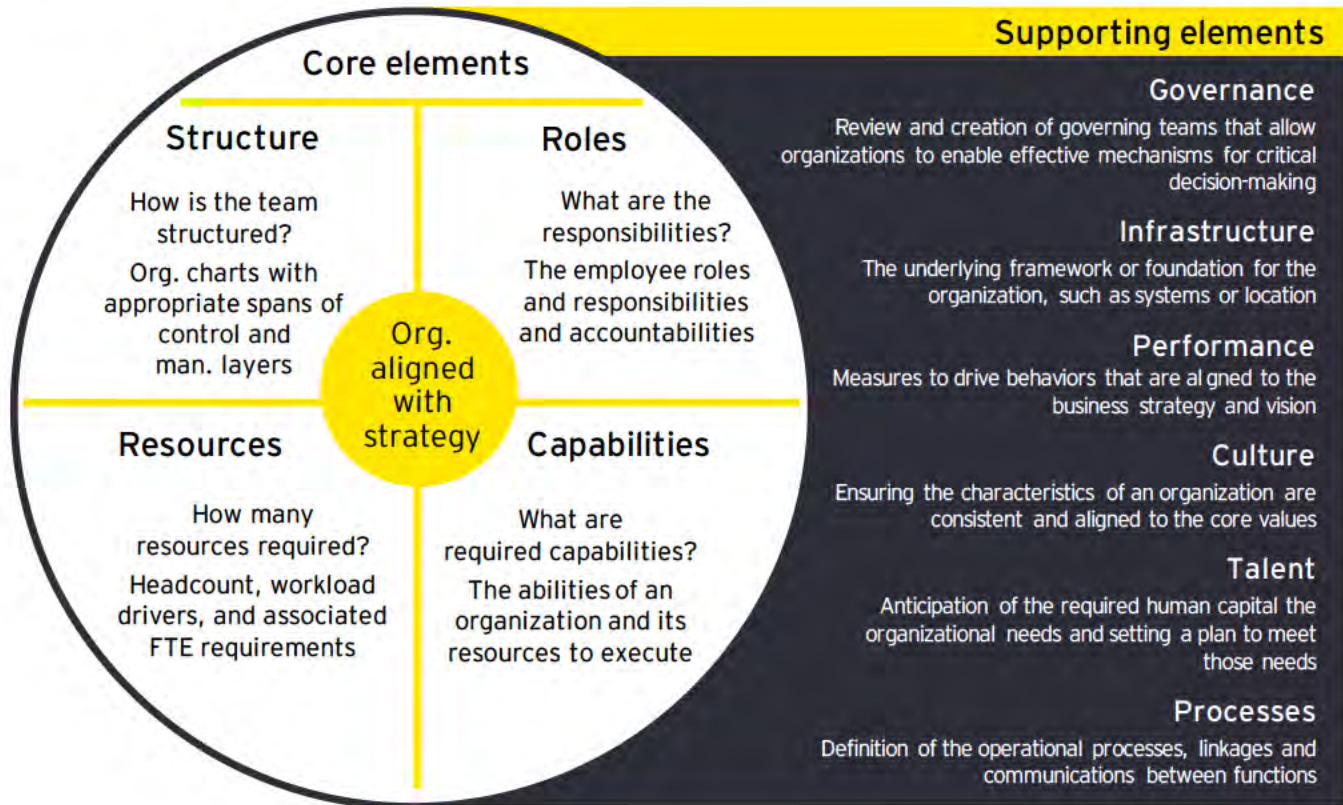
- ▶ **Attestation Services** - As an independent auditor, EY can evaluate the management of the service organization's description of their system of internal control for fair presentation, including completeness and accuracy. Additionally, we test the design and operating effectiveness of management's controls that are likely to be relevant to the user entities' financial statements, to include entity level controls, transaction processing controls, and Information Technology General Controls.
- ▶ EY provides Type 2 Service Auditor's Examination (SOC2) attestation services to the State of Georgia's Georgia Technology Authority (GTA) based on description criteria and applicable trust services criteria. EY examined the suitability of the design of controls and operating effectiveness of controls to assist management in providing reasonable assurance that the service commitments and system requirements would be achieved based on the Applicable Trust Services Criteria.
 - ▶ **Advisory Services** - EY supports the pre-issuance phase by performing assessments of the service provider's control environment and system descriptions, and providing recommendations prior to the independent auditor's evaluation. EY also assists user entities to implement a comprehensive control environment by determining the sufficiency of the service provider's activities and controls to support the implementation and assessment of the Complementary User Entity Controls (CUECs) identified in the SOC reports.
 - ▶ EY provides SOC advisory services to the Army in their efforts to achieve auditability of the four General Fund financial statements. EY assists with maintaining the Army's service provider relationships by assisting the General Fund Enterprise Business System (GFEBS) project management office with preparation for and participation in quarterly DOD Service Organization Working Group meetings. Further, EY developed an Army entity-level Service Organization Control report review process to validate corrective actions related to CUEC weaknesses.

Our general approach to provide internal controls audit services consists of the following phases:

- ▶ **Planning** - EY will conduct project planning with an emphasis on efficiently and effectively addressing key areas of priority for clients. EY's methodology for conducting internal controls audits consists of a top-down, risk-based planning approach.
- ▶ **Materiality and risk assessments** - EY will identify significant accounts or line items from a client's prior year financial statements within the Comprehensive Annual Financial Report (CAFR), then crosswalk significant accounts to process cycles to identify which processes require testing. Following the materiality assessment, a risk assessment is performed that will incorporate tailored risk factors.
- ▶ **Evaluation of controls at the process level** - In evaluating internal controls, EY will assess the effectiveness of the design and implementation of controls to determine whether controls will reduce the risks of noncompliance and inaccurate financial reporting.
- ▶ **Documentation of key business processes and controls** - EY will perform an assessment of existing process documentation within each grants management and financial reporting process to confirm completeness and accuracy. Further, EY will conduct end-to-end interviews with process owners, to trace transactions through the grants management and financial reporting life cycles.
- ▶ **Identify and assess key control design and implementation** - After business processes have been reviewed for process gaps, EY will assist the State in identifying key controls for each business process under review. Based on the identification of key controls, EY will assist in performing walk-throughs and confirm key controls were designed and implemented as identified during the end-to-end interview process.
- ▶ **Evaluation of controls at the transaction level** - Our extensive experience conducting transaction-level testing for both grants management and financial reporting positions EY to efficiently and effectively assess the operating effectiveness of controls and provide ongoing recommendations throughout the entire audit lifecycle. EY's approach to transaction-level testing will be integrated with the evaluation of controls at the process level.
- ▶ **CAP monitoring** - After testing is complete, EY will assist in the documentation and compilation of identified control exceptions. Additionally, EY will assist component management in developing and monitoring CAPs for deficiencies, as requested.
- ▶ **Reporting** - EY will compile and analyze testing results to identify and categorize internal control deficiencies. EY will maintain open communication, which allows us to share testing results in real-time as potential issues arise. After testing is complete, we will provide a written summary of our results and hold meetings to discuss any systemic deficiencies, findings and recommendations.

17. Organizational Design

Organizational Design is an opportunity to brainstorm better ways of working (what can be done differently) to support your strategy and save costs and to implement a streamlined structure that will both support the strategy and optimize the competencies needed to support the flow of work. EY applies our Organizational Design Framework to map existing organizational structures to identify structures that promote and detract from organizational objectives. This framework includes four core and six supporting elements which must be addressed to optimize the design of an organization to support workflow. From a myriad of projects across State governments, K-12 institutions, higher education institution, nonprofit organizations, and commercial organizations - this model has been informed and customized based on EY extensive experience in organizational design.



Our organizational design framework is designed to help organizations understand the interlinked dynamics such as the relationship between the organizational design, structure, roles, resources, capabilities, culture, talent, processes and more. The overwhelming focus is on defining processes, understanding policies and structures, and providing insight on your workforce's abilities will position organizations to understand the current state and a clear path to improvement. This approach is also paired with our leading organizational assessment and design tools, such as EY's Organizational Capability Excellence (OCX) tool that enables deep understanding of competencies and sub-competencies by specific job function to not only define the current process, but also to define your workforce's ability to effectively meet and deliver on tasks.



Aim	Define the strategic drivers, scope and reasons for organizational design	Understand the current organization structure and operating environment	Create the high-level design for the future organization	Create the detailed design for the future organization	Implement the new organization and continually assess performance
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Identify reason and strategy for org. design	Assess current state	Design high-level future state	Design detailed future state design	Implement, monitor and sustain
<ul style="list-style-type: none"> ▶ Define organizational problem statement, business strategy, scope, and objectives ▶ Define organizational design principles and validate with leadership ▶ Establish organizational project team 	<ul style="list-style-type: none"> ▶ Assess current state organizational baseline assumptions <ul style="list-style-type: none"> ▶ Analyze organization headcount and framework ▶ Analyze spans and layers ▶ Analyze location profile ▶ Analyze cost baseline ▶ Analyze employee lifecycle processes ▶ Collect market insights (market trends, metrics, and benchmarks) ▶ Conduct gap analysis 	<ul style="list-style-type: none"> ▶ Define Organizational Design selection criteria ▶ Develop High Level Organization Structure Options 	<ul style="list-style-type: none"> ▶ Complete detailed design and agree on transition timelines ▶ Define business readiness and adoption plan ▶ Develop organizational transition plan for talent management 	<ul style="list-style-type: none"> ▶ Deploy new organization and transition plan ▶ Track business adoption and implementation ▶ Post implementation metrics / KPIs
<ul style="list-style-type: none"> ▶ Outputs ▶ OD Strategy ▶ OD Design principles ▶ Project team and charter 	<ul style="list-style-type: none"> ▶ Outputs ▶ CS organizational baseline ▶ Gap analysis 	<ul style="list-style-type: none"> ▶ Outputs ▶ High level organizational structure 	<ul style="list-style-type: none"> ▶ Outputs ▶ Detailed OD design ▶ OD Transition plan 	<ul style="list-style-type: none"> ▶ Outputs ▶ New Organizational Design ▶ Post implementation measurement
Change management				
<ul style="list-style-type: none"> ▶ Vision and case for change; ▶ Leadership alignment; ▶ Change strategy and plan; ▶ Stakeholder analysis; ▶ Communications plan; ▶ Organizational Impact Assessment; ▶ Training, strategy, and plan 				

18. Leadership development & coaching services

EY delivers coaching programs to the leaders we serve. The programs we create incorporate a broad set of principles for performance expectations tailored for the specific needs of government managers and executives. Based on our proprietary Transformative Leadership Framework, we implement a highly personalized curriculum to provide customized coaching experiences for leaders, regardless of their experiences to date or their level within the organizations they serve.

Key steps in executing our Transformative Leadership Framework are:

- ▶ Leadership assessments to develop individual profiles and understand the leadership style and methods of each executive or manager
- ▶ Delivering a customized coaching curriculum for each participant's management aptitudes and level of leadership as demonstrated to date
- ▶ Facilitation of regular meetings with trained executive coaches
- ▶ Periodic evaluations to capture the participants' progress over the course of the program

Our Framework balances a focus on people leadership (e.g., empathy required to truly understand the perspective of others) with a focus on leading in complex, challenging transformative conditions that many government leaders are facing (e.g., embracing Disruption, Digital Fluency, Leading with Purpose, and Inspiration). This Framework has been instrumental in helping transform good leaders into great leaders within their respective organizations.

Through a series of interviews and interactive workshops leveraging digital collaboration tools, we work with our government clients to understand their unique cultural environment, tailor a customized program, and provide each leader with 360-degree feedback to help prioritize where to focus next on their personal development journey. We work closely with our clients to confirm that their coaching programs are agile and responsive, should their needs change as the organization moves forward.

19. Succession and transition planning

EY bases its succession and Transition-In Plan and Transition-Out Plan on foundational components, developed over thousands of transitions, proven to deliver a seamless transition.

- ▶ **Commitment of dedicated resources to guide transition:** For large transitions, EY's established a Transition Program Management Office (PMO) to Transition PMO Lite (for smaller scale transitions) to provide a single Point of Contact (POC) from both the side of the organization and EY side. This close partnership with Team EY and the establishment of a practiced transition governance framework positions teams for effective transition and succession.
- ▶ **Collaboration early:** EY works with organizational stakeholders on the first day to tailor our approach to the match organizational imperative and valued stakeholder priorities. Our comprehensive approach identifies stakeholders' needs and expectations to provide a plan to deliver roles, responsibilities and prioritized activities to accelerate the transition. This approach is interwoven with our Change Experience Approach to bring stakeholder into the fold early and often to prepare them for long-lasting adoption for changes related to the transition.
- ▶ **Comprehensive communication:** Communication throughout the transition is vital to success. We use predictable and ongoing status reporting and meetings to drive transparency throughout the transition, identify improvement areas earlier, and use escalation protocols to communicate and address challenges rapidly. This includes building customized communication journeys for different stakeholder groups at various stages of the transition. This equips stakeholder with the right knowledge at the right time to be comfortable with changes related to transition.

Use a centralized Knowledge Management Hub to support the continuous storage of documents, lessons learned and other relevant content in the event of the need for a Transition-Out plan in the future. Prior to commencing work, the selected leader of the Transition PMO provides a detailed Transition-In plan to the other members of the transition leadership team, who will review the plan and offer modifications, as appropriate. Once the transition plan is finalized, we present the plan to the key organizational leaders for review and official signoff.

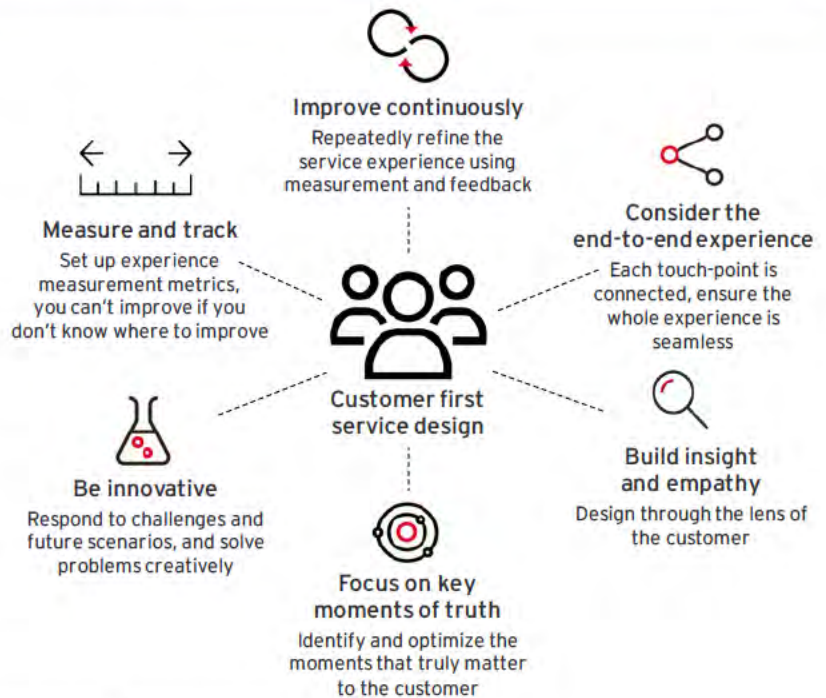
There are many ways to conduct transition. These include side-by-side, on-the-job training, classroom training, online training, step-by-step checklists, "shadowing" (following key personnel in execution of their job), as well as meetings. Each method is effective for different types of transition. We will use the appropriate method to match identified needs. The transition plan will outline in detail what transition method will be used for the transition items identified above. As we have used on other successful large scale transitions across the public sector, we will track progress against our execution plan and provide transparency through a hosted SharePoint site or the Knowledge Management Hub so that we achieve a successful transition that is measured by the EY's robust quality assurance standards outlined through feedback and consultation with organizational stakeholders.

The selected Transition Director of the Transition PMO would pair directly with an EY counterpart to assume comprehensive responsibility for the end-to-end transition process across all functions and locations and will be accountable for delivering an effective and efficient Transition-In and Out Plans that will include a consistent approach, clear and effective communication and dissemination of best practices across all individuals, locations, and elements of the organization.

20. Customer/Citizen experience design

Service design is a collection of methodologies and practices that aim to help businesses create a great service. The focus is primarily on the customer experience across the various moments, interactions and touchpoints that make up the service. An understanding of the customer's perspective is gained through primary research activities such as interviews and shadowing. Learnings captured from various sources are then refined into key insights to drive the design of the service.

Service design aims to make end-to-end customer experience seamless and enjoyable, valuable to the customer and viable for the business.



A successful Experience Transformation program will have these key success factors:



Be data-driven - Informing the future design and on how to measure the success of experimentation needed to create unique solutions



Be iterative, be agile - Focus on the persona groups and experiences that drive the business and value



Design for cross-channel engagement - Customer support is not a linear engagement process

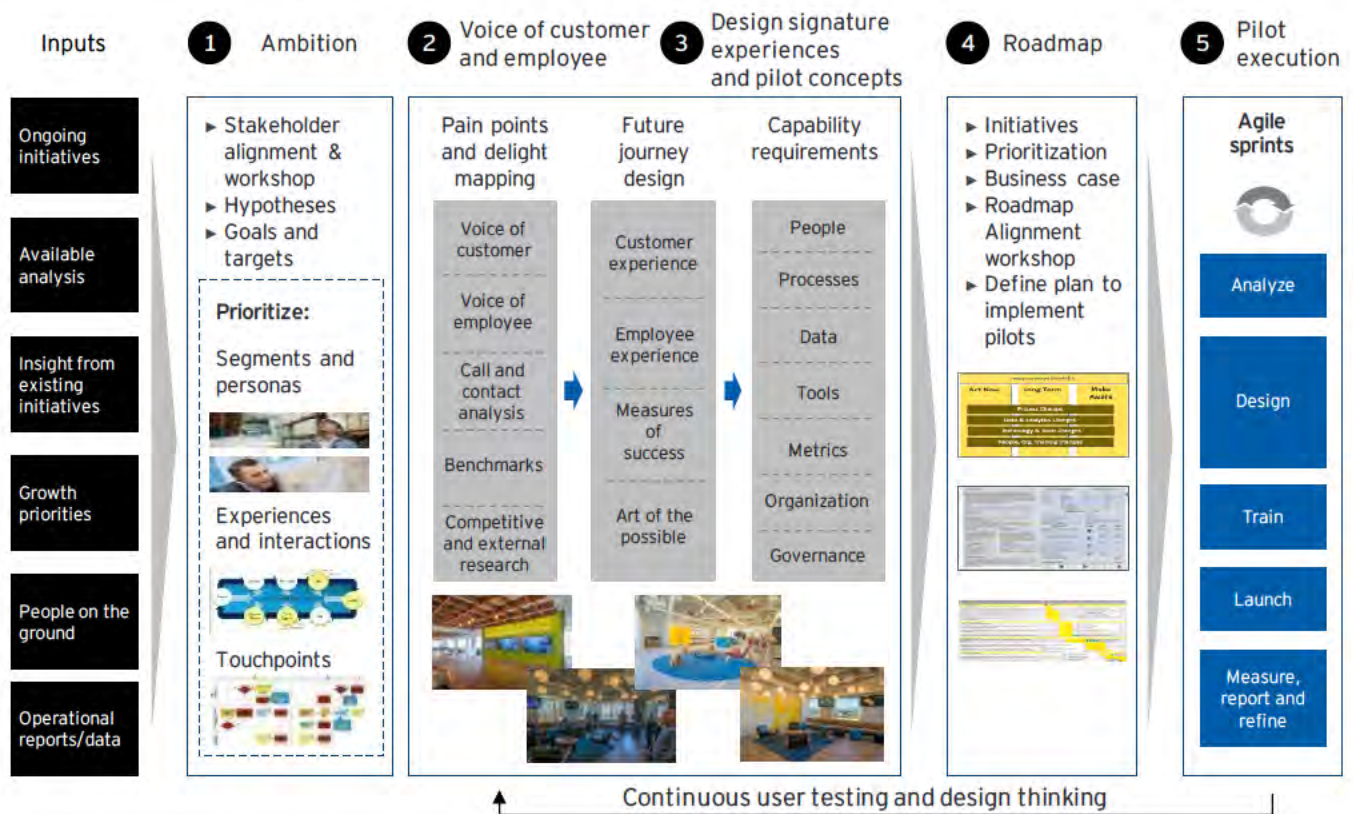


Clear experience manager responsibilities - CXO team is integrated throughout the delivery

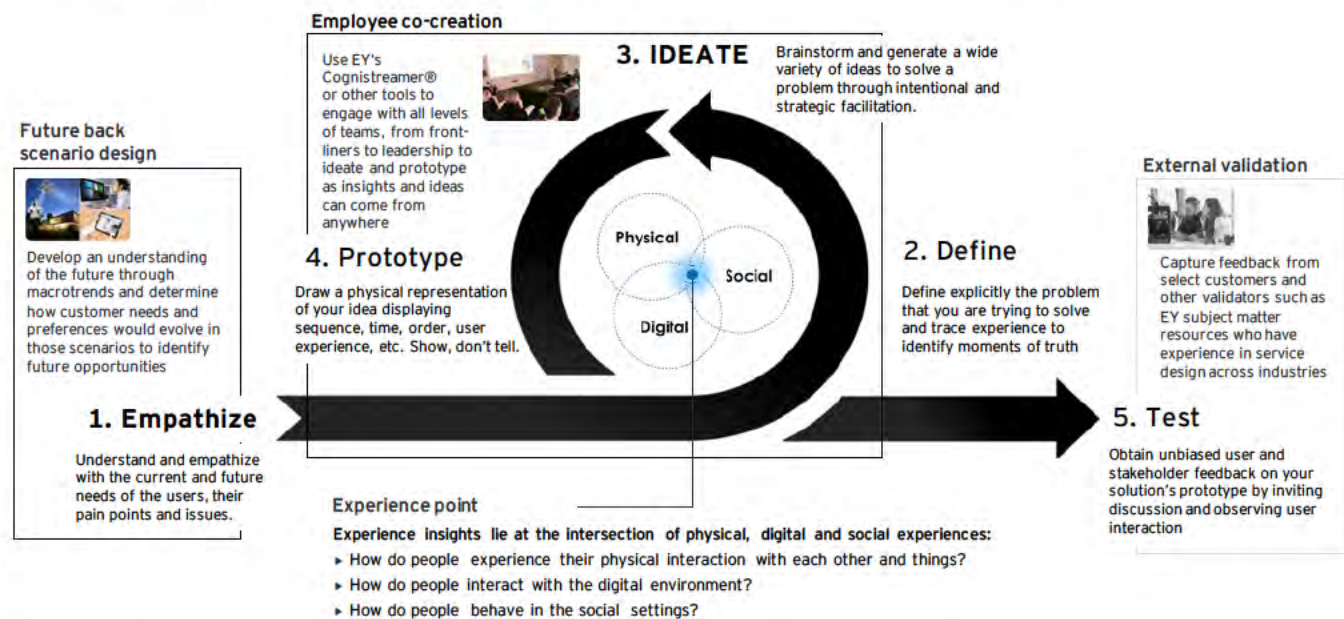


Right size the improvement - Through experimentation, data insights and sound decision-making principles will balance the needs for change with the program vision and objectives

EY's Experience Led Transformation Framework provides insights into customer behavior and needs, employees, innovation and leading practices driving marketplace differentiations. See below for the progression through the process.



We have a set of proprietary tools and methodologies to bring design thinking to life for co-creation of future customer experience journeys. EY will activate our design thinking methodology through interactive and collaborative 'Wavespace' sessions which facilitate creative collaboration and guide future customer experience development informed by external insights.



Service design

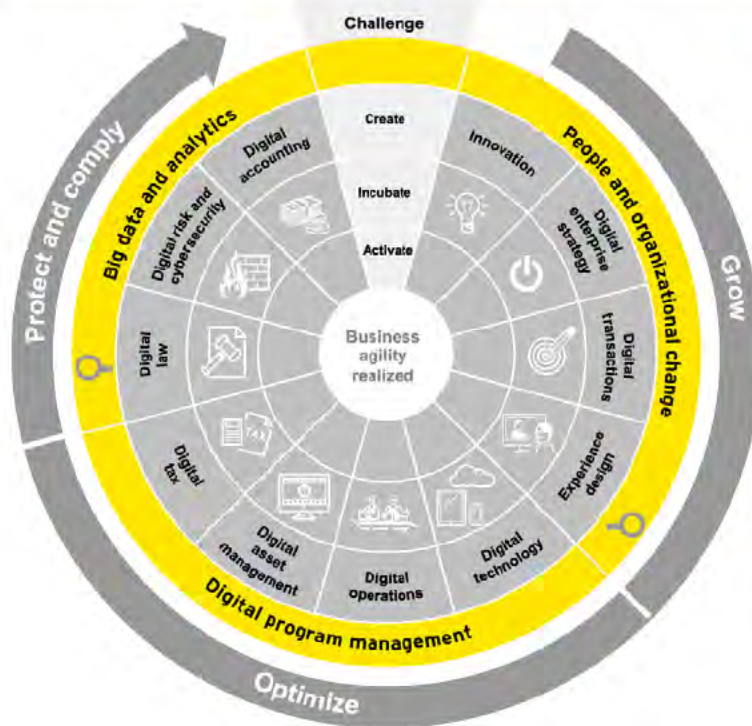
Service design is about designing the experience and setting up a scalable approach to omni-channel service design. Below is the process and deliverable approach to this design.

Processes	Deliverables
<ul style="list-style-type: none"> ▶ Conduct hypothesis-driven qualitative and quantitative research to identify pain points ▶ Leverage data and analytics to derive insights ▶ Identify personalization opportunities and data and analytics requirements ▶ Conduct blueprinting workshops to visualize how services are enabled and delivered to customers. ▶ Envision the future experience through immersive service prototyping 	<ul style="list-style-type: none"> ▶ Hypothesis and research summary ▶ Current state metrics & KPIs and future state data requirements recommendations ▶ Current and future state blueprint ▶ Reusable service design playbook ▶ Vision document illustrating key benefits and value of recommended service enhancements

21. Service digitization assessment and consulting services

EY has developed a holistic approach to provide end-to-end services for digitizing government.

EY's suite of services



People and organizational change

We help redesign the organization (structure, roles, skills, culture, ways of working, etc.) to make it fit for the digital age.

Digital program management

We assist in identifying the technology candidates for digital transformation and managing development environments.

Big data and analytics

We use big data and analytics to uncover client needs and manage risks within the organization.

EY helps manage digital innovations and develop digital road maps as shown.

	Focus area	Client challenges	Our service offerings
<p>1</p> <p>Innovation</p>	<ul style="list-style-type: none"> ▶ Moving beyond “pilots” and effectively scaling up newer ideas ▶ Sustaining reforms in a more systematic, responsive and agile way ▶ Engaging with stakeholders to fuel innovation ▶ Transforming information and communications technology (ICT) into an innovation supporter 	<ul style="list-style-type: none"> ▶ Establish an innovation portfolio across different horizons ▶ Activate and manage innovations ▶ Gain agility in innovation processes ▶ Help build business model, product or service, organization and user experience innovation 	
<p>2</p> <p>Digital enterprise strategy</p>	<ul style="list-style-type: none"> ▶ Bringing services and experiences into the digital age ▶ Identifying the opportunities and threats of digitalization for government ▶ Engaging the entire government ecosystem in creating its organizational values ▶ Becoming more agile, resilient and innovative 	<ul style="list-style-type: none"> ▶ Develop a digital vision and road map to achieve objectives ▶ Build a digital ecosystem ▶ Identify and capitalize on digital opportunities and mitigate threats ▶ Build consensus among key stakeholders on digital vision ▶ Design a road map for purpose in a digital world 	

EY also helps support clients in digital transactions as shown below.

	Focus area	Client challenges	Our service offerings
<p>3</p> <p>Digital transactions – M&A</p>	<ul style="list-style-type: none"> ▶ Pursuing a growth agenda by investing in digital assets and infrastructure ▶ Redefining governance mechanisms using digital technology ▶ Having the right mix of digital assets ▶ Collaborating through innovative partnerships 	<ul style="list-style-type: none"> ▶ Advise on where and how to invest capital and improve returns ▶ Advise on acquiring or divesting digital assets ▶ Provide support throughout the transaction life cycle ▶ Advise on different transaction structures, such as acquisition, partnership and licensing 	
<p>3</p> <p>Digital transactions – due diligence</p>	<ul style="list-style-type: none"> ▶ Persuading national leaders to establish a digital agenda for the country ▶ Designing a centralized digital integration and transformation strategy ▶ Achieving a robust valuation of digital assets and measuring the performance of digital 	<ul style="list-style-type: none"> ▶ Support analysis of digital assets and provide post-deal integration advice ▶ Assist with valuation support ▶ Analyze key digital topics within the government and public sector, including social, mobile, web and cloud environments ▶ Understand the issues affecting subsectors and associated departments through big data and analytics 	

We help improve experience and deploy digital technologies:

	Focus area	Client challenges	Our service offerings
<p>4</p> <p>Experience design</p>		<ul style="list-style-type: none"> Improving citizen engagement and building better relationships Supporting a tailored, personalized and impactful experience for each user Designing a user experience that helps build trust and transparency 	<ul style="list-style-type: none"> Design and deliver integrated and citizen-centric experiences that span both physical and digital worlds Map experience on the basis of the voice of the citizens and deliver evolved road maps Build the capability to offer a tailored and personalized experience and capture citizen feedback to drive future interactions
<p>5</p> <p>Digital technology</p>		<ul style="list-style-type: none"> Simplifying and streamlining the digital ecosystem Enhancing current IT services and infrastructure into a fully digital system Finding the right balance between digital innovation and traditional IT maintenance Integrating front-office applications with back-end processes 	<ul style="list-style-type: none"> Build a digital technology strategy, architecture and road map for covering application strategy, commercial and IT procurement strategy, and data and architecture Run large digital technology development programs with multiple agencies

Below is how EY helps manage digital assets and operations.

	Focus area	Client challenges	Our service offerings
<p>6</p> <p>Digital operations</p>		<ul style="list-style-type: none"> Exploiting the use of digital technologies in service delivery Adapting policies to be effective in the digital world and support a "citizen-driven" approach Responding more quickly to growing expectations and real-world performance data 	<ul style="list-style-type: none"> Improve the efficiency, flexibility and differentiation of services envisaged Understand the impacts of disruptors Define strategies and develop programs that take advantage of new technologies and devices
<p>7</p> <p>Digital asset management</p>		<ul style="list-style-type: none"> Managing digital assets across multiple digital offerings Distinguishing digital service from more traditional service 	<ul style="list-style-type: none"> Manage and improve the life cycle of digital assets for effective engagement Monitor and track the digital footprint so that it is cost-effective, delivers a richer experience and fully complies with governments' privacy norms

We also help the client addressing regulatory concerns in tax and law.

	Focus area	Client challenges	Our service offerings
8 Digital tax		<ul style="list-style-type: none"> ▶ Complying with tax obligations when working with large volumes of data ▶ Finding new ways to collaborate with third parties around digital offerings, making certain that tax is appropriately priced and that tax risk is managed ▶ Using tax incentives to maximize returns from digital initiatives 	<ul style="list-style-type: none"> ▶ Assess tax implications of new digital models ▶ Improve transfer pricing and tax compliance for digital IP sharing ▶ Manage risk of VAT exposure ▶ Navigate tax issues arising from transactions with third parties ▶ Unlock tax incentives available across the globe
9 Digital law		<ul style="list-style-type: none"> ▶ Addressing regulatory and litigation concerns relating to data privacy ▶ Complying with multiple legal requirements around data protection across jurisdictions ▶ Protecting confidentiality and intellectual property (IP), particularly in emerging markets ▶ Assessing legal issues created by new digital technologies, such as wearables and cloud computing 	<ul style="list-style-type: none"> ▶ Navigate data privacy, IP laws and e-commerce trading laws ▶ Assess legal risk and implications when pursuing new digital initiatives and innovation ▶ Access a strong network of professionals with broad legal experience in interdisciplinary projects

Finally, we work with clients on tackling cyber threats and transforming accounting procedures.

	Focus area	Client challenges	Our service offerings
10 Digital risk and cybersecurity		<ul style="list-style-type: none"> ▶ Managing risk of non-compliance and loss of reputation ▶ Fully exploiting new data sources and using them in a safe, secure and compliant way ▶ Protecting against the increasing threat of cyber attacks ▶ Identifying and managing risk while adjusting to the digital age 	<ul style="list-style-type: none"> ▶ Create a privacy and security road map to reduce future risk ▶ Streamline the approval process ▶ Assess digital initiatives to identify and manage enterprise-wide risks ▶ Protect against a wide range of cyber risks, threats and vulnerabilities caused by the actions of careless or unaware users, criminal syndicates or lone-wolf attackers
11 Digital accounting		<ul style="list-style-type: none"> ▶ Digitizing and automating processes ▶ Digitizing the "paper trail" for accounting-related audit trail requirements ▶ Creating a centralized and streamlined shared service environment 	<ul style="list-style-type: none"> ▶ Identify, design and develop processes and systems across the accounting life cycle that support the digitization of the accounting function, including: <ul style="list-style-type: none"> ▶ Identifying digitization opportunities ▶ Supporting vendor selection ▶ Creating a digitization plan ▶ Operationalizing processes and control frameworks

22. Data analytics consulting services

Modeling and Analytics

EY's Decision, Modeling & Economics (DME) and Data & Analytics (DnA) practices apply modeling and analytics to drive actionable insights and decision-making related to strategic, financial and operational matters. We employ industry-leading as well as multiple proprietary tools and algorithms such as machine learning and AI to deliver the whole suite of descriptive, predictive and prescriptive analytics for our clients, including the use of financial modeling solutions to help clients understand the costs, benefits, uncertainties and risks of potential options and actions, and to enable more confident, strategic decisions and judgements around transformation, investments and capital allocation.

Rapid analysis of big databases can be key to the timely completion of important projects. Our professionals have extensive experience helping organizations analyze large amounts of data (in the order of terabytes). When required, we employ interdisciplinary teams of data scientists, statisticians and economists who have academic as well as practical knowledge of economic modeling and data analytics techniques. We use a wide range of statistical techniques and tools (such as Azure, Spark, R, Python, SQL/NoSQL databases, Power BI, etc.) that can be housed on-prem, in the cloud or on EY servers to convert large data into meaningful insights for our clients. Some of the key statistical approaches that we routinely use are classification and regression, clustering algorithms for segmentation and churn, ensemble methods like Random Forests and Gradient Boosted Trees, time-series, multivariate factor analyses, ANOVA tests, Bayesian models, econometric analyses, networks and graph modeling, neural networks as well as other forecasting techniques. We are equally adept at building reports from a data warehouse as we are with working with near-real-time-streaming data and performing data mining and analyses "on-the-fly".

Our quantitative services include:





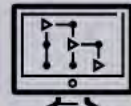

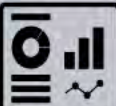
- ▶ Economic and fiscal impact analyses
- ▶ Tax policy development and analyses
- ▶ Revenue and expenditure projections and analyses
- ▶ Customer segmentation
- ▶ Third-party vendor risk assessments
- ▶ Financial (three-statement) modeling
- ▶ Network optimization
- ▶ Capital allocation
- ▶ Program evaluations
- ▶ Cost-benefit analyses
- ▶ Economic and market forecasts
- ▶ Predictive analytics
- ▶ Econometric analyses
- ▶ Location cost analyses
- ▶ Revenue estimates of tax proposals
- ▶ Public finance management
- ▶ Economic and revenue impacts of special or targeted tax provisions
- ▶ Macroeconomic modeling and impact analyses

23. Data strategy and transformation

Most businesses today aspire to be data-driven, yet data quality and consistent master data is still a challenge. The benefits of a consistent data strategy include:

- ▶ Improved operations performance
- ▶ Reduced operations costs and improved customer service
- ▶ End-to-end financial visibility
- ▶ Data-driven insights from analytics on large quantities of data
- ▶ Provides a business case for 'quick wins', maximum ROI and road map for SC Reinvention and Transformation

An overview of what EY offers our clients in data strategy and transformation services is illustrated below.

						
Enterprise Data & Analytics Strategy	AI/ML & Other Emerging Tech	Data Fabric/ IoT	Advanced Analytics	Data Governance & MDM	Enterprise Performance Management	BI & Domain Analytics
Enterprise Data & Analytics Strategy:	AI/ML and Other Emerging Tech:	Data Fabric / Modern Data Platforms:	Advanced analytics:	Data Governance & MDM:	Enterprise Performance Management:	Business intelligence and Domain Analytics:
Enable organizations to strategically manage their data, achieve return on investment in data and related technologies, providing roadmaps/blueprints for the other areas noted here.	Empower businesses to harness the power of AI and other Emerging Technologies to drive enhanced customer intimacy and competitive differentiation.	Enables the business to drive value through the unification and exploitation of its vast on prem, cloud, third party and IoT data sources.	Enables the optimization of every aspect of the customer's digital & omni-channel experience to drive end-to-end measurement & analysis to drive decision-making.	Provides the orchestration for organization's resources, methods, and technology to transform data into an enterprise information asset that yields business value for the organization.	Empower businesses to deliver data-driven analyses & insights in the area of financial planning. Integrated data models, dashboards, and platforms to enable accurate, timely and actionable decisions.	Empower businesses to deliver data-driven analyses & insights. Integrated dashboards to enable accurate, timely and actionable decisions.

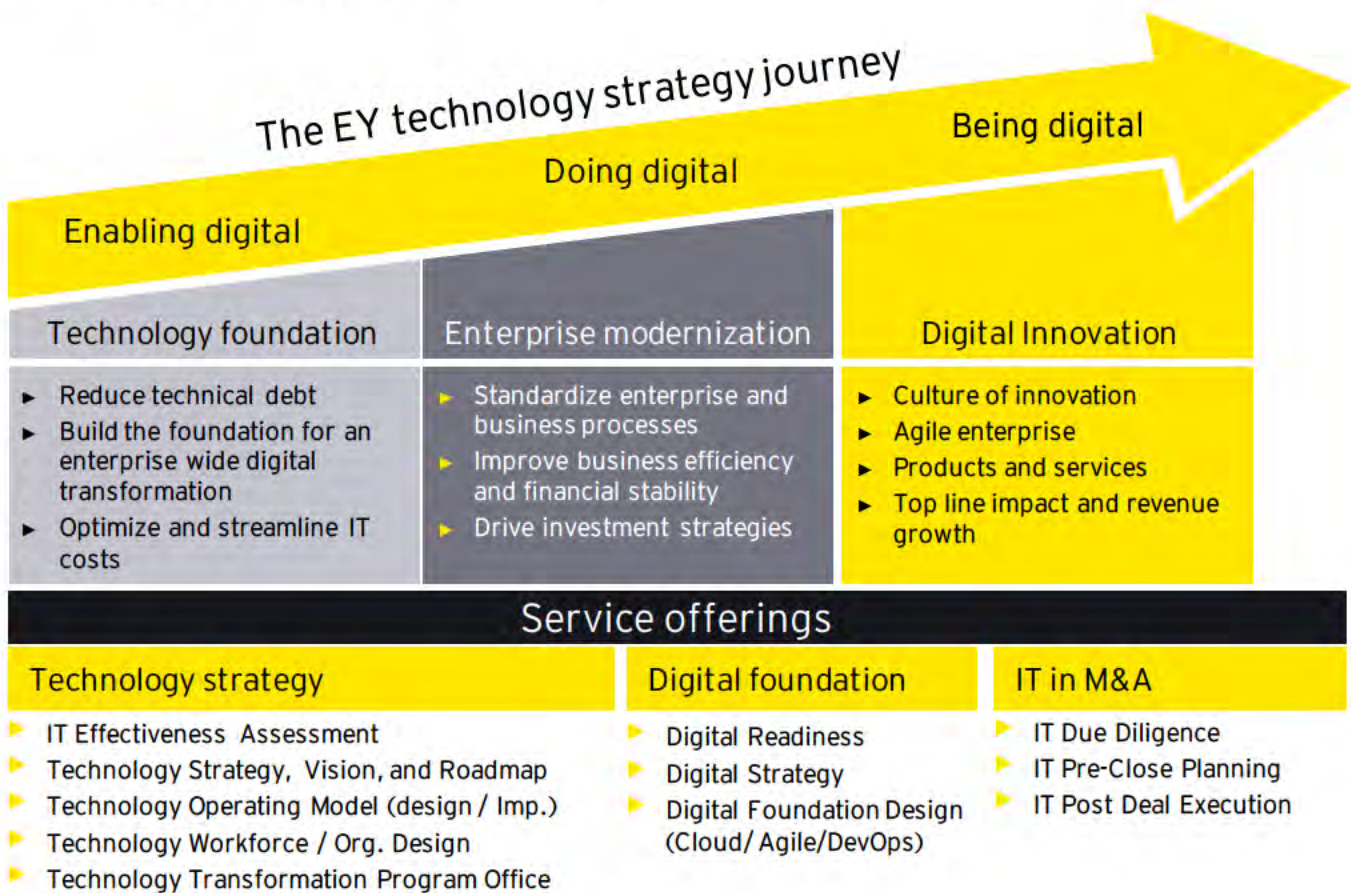
24. Technology strategy and consulting (to include cloud strategy, IT organization / operating model)

Customers' expectations for access to technology products and services are rapidly increasing and user-centric, mobile, agile and data-driven capabilities are table stakes for every organization. Companies must consider foundational technology transformation to adapt and compete.

Experience has shown us that a successful technology transformation rests upon four key elements. These elements are at the core of our technology transformation sub-competencies represented in our capability portfolio. These sub-competencies are outlined below.

Technology strategy: Technology strategy encompasses a full set of advisory capabilities to help our clients think through the strategic issues and fully align technology to the overall purpose and business objectives.

Technology Strategy Capability Overview






Architecture: Architecture addresses the broad IT architecture needs from business and enterprise architecture planning through detailed implementation of technical architecture components including the associated software development life cycle (SDLC).

Architecture Capability Overview

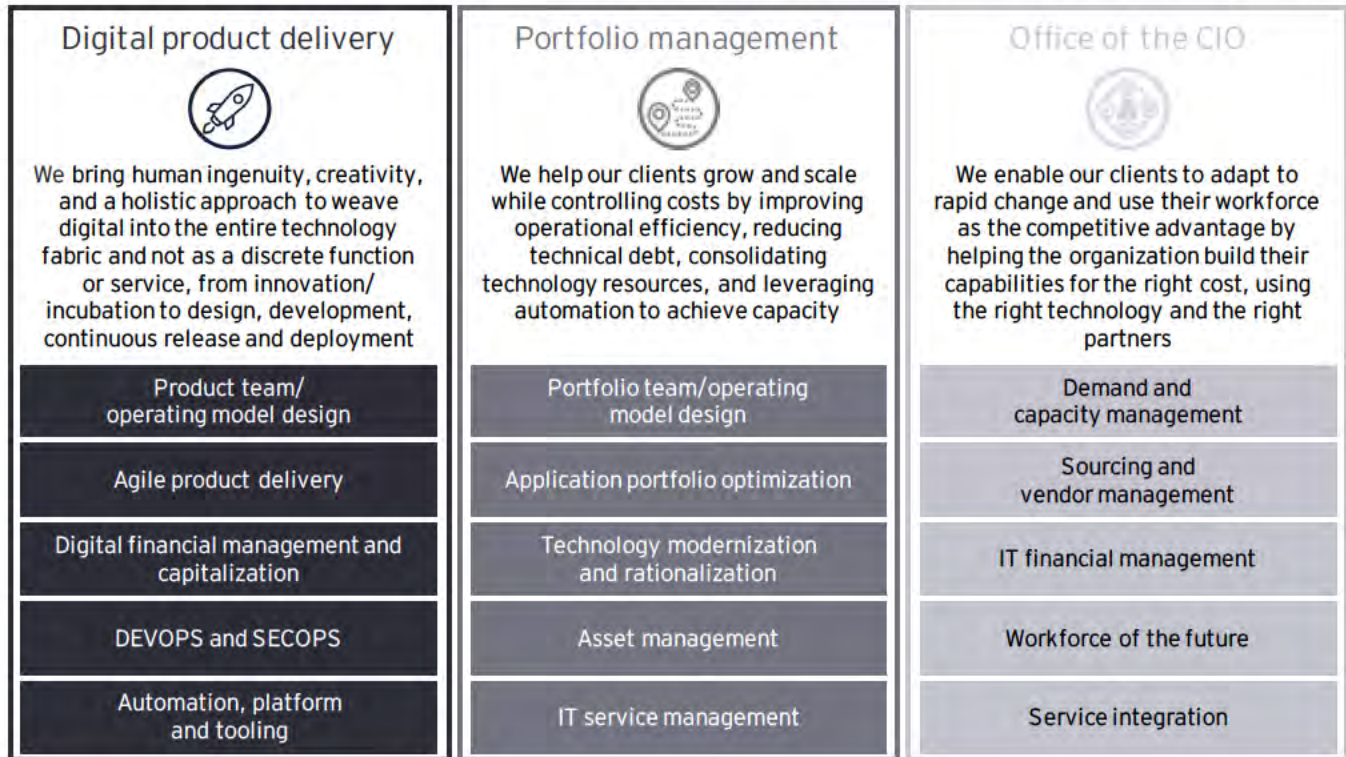
Enterprise Architecture Our EA services help clients organize, plan and execute the change in business and technology capabilities required to realize customer focused business strategies, including building an effective EA capability.	Solution Architecture Our Solution Architecture services help clients evaluate and design solutions that empower strategic business products and services leveraging modern design patterns such as microservices, cloud, data streaming, etc.	Digital Architecture Our Digital Foundation Architecture services help clients evaluate, experiment and adopt innovative business ideas through leading-edge technology capabilities such as AI, machine learning or blockchain to power their digital transformation.	Agile Enterprise Our Agile Enterprise services help clients evaluate and transform to a modern technology delivery organization that is essential to bring 'architecture to life' using a blend of product, agile work model and Dev(Sec)Ops capabilities.
EA definition and Transformation roadmap	Architecture assessment	Art of the possible workshops	Modern delivery assessment
Business architecture driven transformation	Solution architecture blueprint and implementation	Digital impact & Readiness assessment	Modern delivery transformation
Enterprise architecture jumpstart	Technology integration	Technology market scan	Modern delivery automation
Architecture-as-a-service	Technology/vendor package selection	Digital ref architecture & Blueprinting kit	
Merger & acquisition – architecture support	Legacy renewal/modernization	Execution governance	
Application portfolio rationalization/strategy			

Infrastructure and service resiliency: This drives renewed focus and clarity with our identity in the age of technology led transformation.

ISR Capability Overview

ISR Capability Catalog		
ISR provides capabilities to: <ul style="list-style-type: none"> Determine business criticality and improve operational continuity and technology resilience; Optimize and modernize infrastructure technologies; Embrace multi-cloud and hybrid hosting infrastructure strategy and operations; and Build secure and intelligent network platforms for borderless services and applications access. 		
 Improve resilience	 Embrace the multi-cloud	 Reinvent the network
Business Continuity Management and Service Resiliency	Infrastructure Modernization and Cloud Infrastructure	Intent-Based Networking
Business continuity program governance and framework	Technology infrastructure strategy	Network transport and foundational services
Business impact analysis and recovery prioritization	Technical solutions and edge architecture	Cloud and Internet resilient gateways
Business continuity and disaster recovery plan and testing	Cloud workload and infrastructure optimization	Zero trust architecture (Micro-segmentation)
Integrated incident response plan and testing	Technical discovery and interdependencies mapping	Software-defined networking
Program maturity and sustainability	Hybrid-Infrastructure operation and orchestration	Network operation and orchestration

Next Generation Technology Operations: NextGen Tech Ops (NGTO) helps clients manage and improve the efficiency and effectiveness of your organization’s IT operations. The capability overview is illustrated below.



25. Program and system assessments

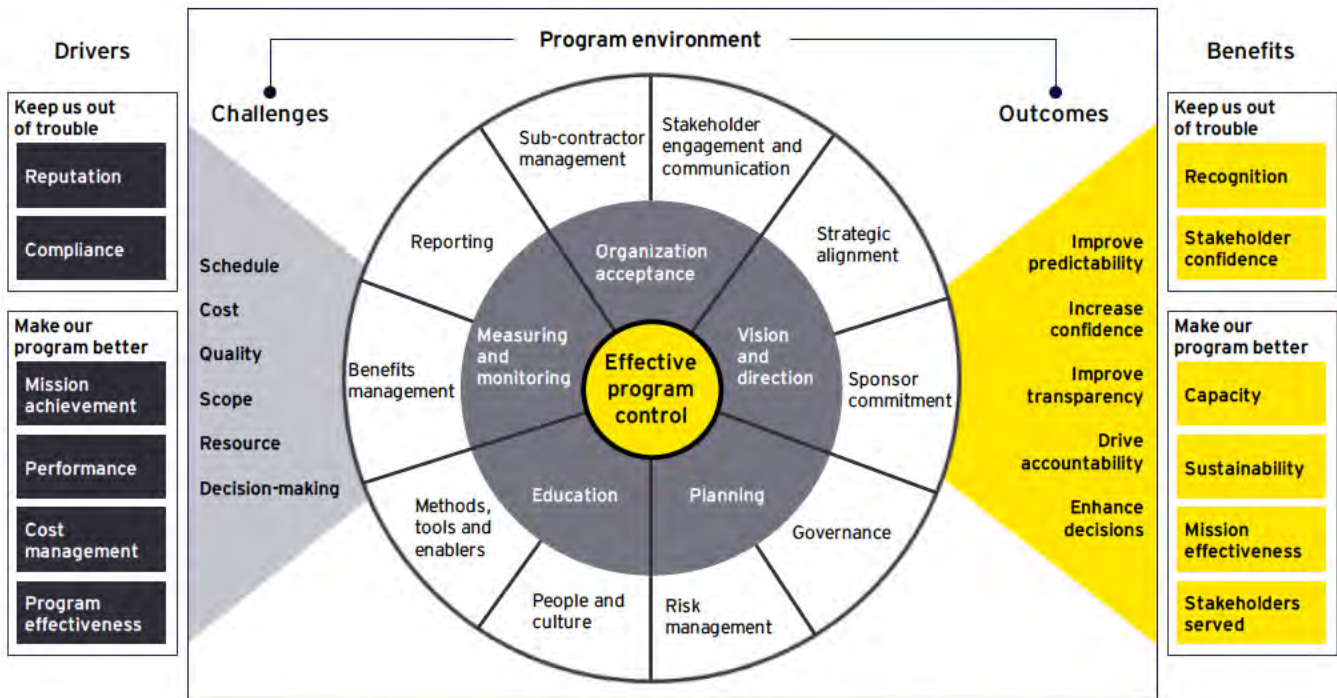
The program and system assessments are part of the competencies described in the overview above for Technology Strategy and Consulting.

26. Program management services

EY’s Project Management (PM) approach centers on effective execution and risk management, with disciplined protocols for stakeholder communication, status updates, scope maintenance, escalation management, and knowledge sharing - all while maintaining an iterative and highly efficient approach to service delivery.

Our PM processes are used to initiate, plan, execute, monitor and control the execution of our services and close the project upon completion. Our toolkit leverages the Project Management Institute (PMI) Project Management Body of Knowledge (PMBOK) global standards.

For virtually every major initiative at the state level, multiple projects are created from an overarching program. The figure below summarizes EY’s proven approach to keeping these types of complex initiatives on track. Based on our experience with large-scale transformation initiatives - including complex IT implementations and strategic change programs - we use this framework to provide a holistic view of project and program drivers, challenges, outcomes and benefits.



EY uses the term “accelerators” to represent formally structured, reusable EY processes and assets for service delivery. Essentially, EY accelerators serve as a blueprint for our teams: they detail effective and common approaches for addressing business issues based on our cumulative project delivery experience. They also include leading practices for the management of those services, including project, change and requirements management. Accelerators are the foundation to exceptional client service; the disciplined use of high-quality accelerators and reusable assets enables us to spend minimal time on project start-up activities and focus more of our effort on addressing key client issues. Our EY PM method and accelerators are web-accessible to all our client service personnel. The graphic below is a sample work breakdown structure for “Initiate the Project” and other key project management domains.

Beyond the core disciplines of project and program management, we frequently work with clients to drive overall project portfolio management (PPM) - that is, oversight of multiple projects that impact one another from a budgetary, resource, dependency or other perspective. Our PPM governance life cycle delivers a holistic, capability-based solution that drives value realization. The graphic below shows how this vision of an end-to-end capability-based solution delivers benefits from the top of an organization with leaders who want portfolio visibility and linkage to strategy and objectives, all the way to the project team members who are encouraged to execute work in standard ways using defined systems of record.

Sample PM work breakdown structure

EY has a dedicated team of PPM professionals who leverage industry-leading tools such as Microsoft PPM, which is built on the Microsoft

SharePoint/Project Server foundation and provides exceptional capabilities across project data capture, project traceability and accountability, collaboration, reporting, and leadership decision-making based upon

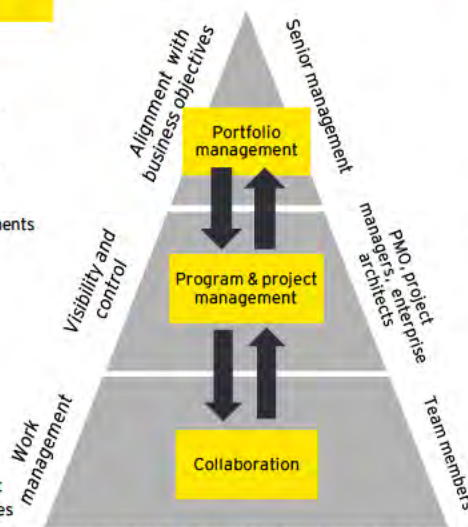
portfolio optimization techniques. Building on our standards, proven methods, our EY PPM consultants have worked across a wide range of government and commercial organizations where our approach was tailored to the specific needs of the client, including alignment to Department-specific Capital Planning and Investment Control (CPIC) approaches and project management methodologies such as the Lifecycle Management Methodology (LMM).

Capabilities

- ▶ Budget Formulation
- ▶ Budget Execution
- ▶ Annual Planning
- ▶ Portfolio Prioritization
- ▶ Capacity Planning
- ▶ Portfolio Reporting
- ▶ Performance Tracking

- ▶ Project Health Assessments
- ▶ Financial Management
- ▶ Project Reporting
- ▶ Project Scheduling
- ▶ Risk Management
- ▶ Issue Management

- ▶ Task Management
- ▶ Action Item Tracking
- ▶ Decision Logs
- ▶ Document Management
- ▶ Standard WBS Templates



EY's end-to-end capability-based PPM solution

Benefits

- ▶ Clear strategic alignment to project portfolio
- ▶ Maximize benefit from limited budget resources
- ▶ Faster response to data calls

- ▶ Predictable execution
- ▶ Build sustaining program and project management methods
- ▶ Better quality through common approach and tools
- ▶ Improved data quality and decision governance
- ▶ Clarity on project status

- ▶ Standard, easy-to-use templates
- ▶ Increased collaboration and sharing of key data within and across projects

27. Resource capacity modeling and planning

EY has supported a variety of different resource planning initiatives, both strategic and technology based, across a variety of resources including workforce, goods procurement and allocation, and supply chain management. We strive to combine leading practices in the type of resource capacity modeling needed and integrate them with next-gen technical solutions to create a dynamic technology to support the decisioning or scenario planning needed. EY will bring subject matter resources across a wide variety of our businesses to support the resource capacity modeling effort at hand and draw on our experience with current toolsets to help offer a solution.

28. Risk analysis and management

EY applies its extensive Federal and commercial experience to help establish, support, and operate an ERM program that aligns to leading practices. EY uses a proven approach that has been successfully deployed for other clients to enable their ERM programs, tailored as needed by client.

As shown in the graphic, EY's ERM Operating Model depicts our practical, three-step approach to ERM:

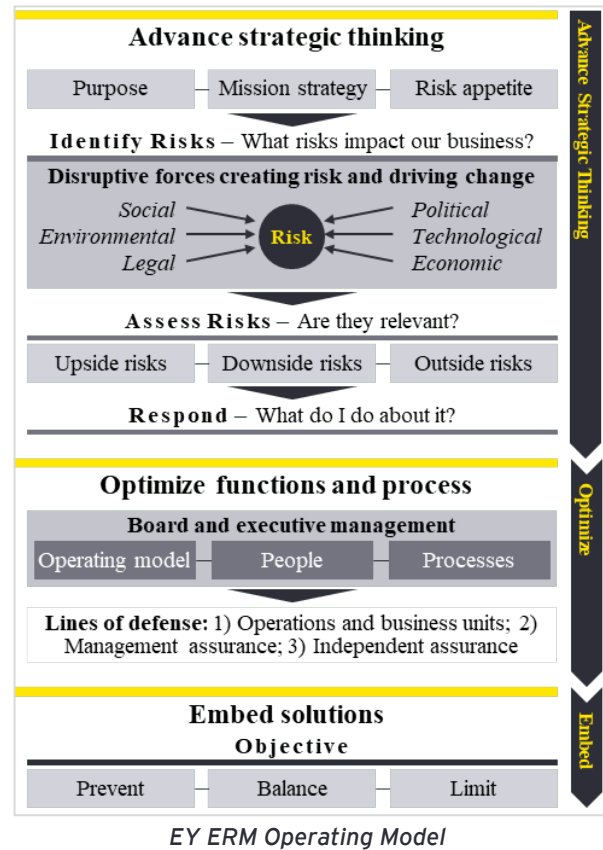
1. **Advance Strategic Thinking:** This step develops the way organizations categorize, manage and respond to risk; thinking about risk in the context of the mission and designing risk response plans to appropriately identify and manage the risks that matter. *Example: EY will work with stakeholders to understand each of its Mission Essential Functions and focus on the identifying the risks that impact each.*
2. **Optimize functions and processes:** This step focuses on what organizations are doing to optimally align functions by allocating talent and designing risk management processes to efficiently and effectively

execute risk response plans across the organization. *Example: Perform an analysis of current risk activities and determine how to best align to people and process to mission objectives.*

3. **Embed solutions:** This step identifies sustainable technology solutions needed throughout the organization to prevent, balance or limit risk. *Example: Assist in the evaluation and requirements for technology enablement of defined target state ERM processes.*

This approach provides a proven model to:

- ▶ Identify, assess and focus on the risks that impact its mission (e.g., mission essential functions)
- ▶ Design response plans
- ▶ Establish a well-defined and coordinated operating model
- ▶ Design risk management policies and processes tied to the mission; and aligned to the right talent
- ▶ Embed solutions to enable automation of processes, reduce redundancy and provide real-time insights into risks impacting the mission



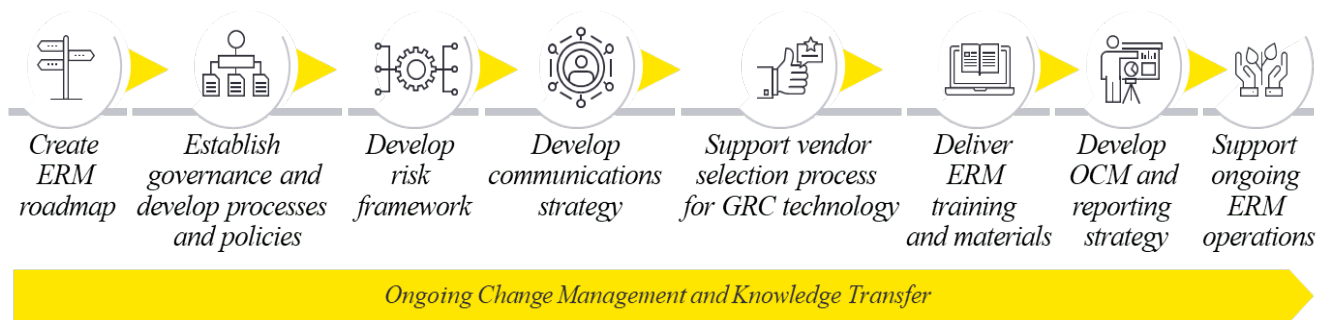
Experience has shown that the traditional risk management approaches of risk avoidance, transference, and mitigation alone do not provide enough input to drive informed strategic decision making. Risk should not be an afterthought; it should be at the forefront of a client’s thinking on its mission, goals, and objectives. Traditionally, organizations have primarily focused on risks that can be managed through the implementation of controls but offer little to no upside or benefit. However, with increasing stakeholder demands and an ever-evolving landscape, leading organizations are now focusing more of their time and efforts on managing the risks that impact value creation.

To achieve this, EY assists in categorizing risks according to mission impact versus management level assertions tied to day-to-day operational activities. This allows the client to better align on how it identifies and responds to risks within the context of its mission and strategic objectives.

EY works with clients to categorize risk in the following three categories:

- ▶ **Upside risks** - Risks that yield potential benefits and are significant to the client’s ability to execute its regulatory mission and achieve its performance objectives
- ▶ **Outside risks** - Operating environment risks that are beyond the client’s scope of control
- ▶ **Downside risks** - Risks that yield no potential benefit that the client should focus on eliminating, avoiding, mitigating, or transferring in a cost-effective manner

EY's ERM Integrated ERM Approach in Action:



29. Research and analysis

We believe that EY stands out from other providers of economic impact studies in several key aspects, which provide direct value to the analysis process:

- ▶ **Deep experience building and using economic models.** EY has conducted economic impact studies globally, across a wide range of industries over the past decade. This experience provides us with the knowledge and experience to quickly identify the important issues that should be considered in a study while avoiding the pitfalls that other consultants may encounter.
- ▶ **Global reputation.** EY has a strong global reputation for conducting objective economic impact assessments relating to ports, freight, transport systems and infrastructure. Readers will recognize the strength and objectivity of our analysis.
- ▶ **Full suite of services.** We can provide services that extend beyond the analysis of your current economic contributions to include broader economic effects to port users and area residents, analysis of trade flows, and estimation of the optimal allocation of available land.
- ▶ **Access to specialists.** The breadth of EY's organization means that you will have access to professionals focused on economic impact analysis and infrastructure development. To the extent the project requires drawing on this broad set of project team members, they will be available. This includes global expertise specifically in ports sector.

Quantitative Economics and Statistics (QUEST) team

EY's QUEST team focuses on:

- ▶ Economic and fiscal modeling
- ▶ Survey deployment and analysis
- ▶ Statistical sampling
- ▶ International trade economics
- ▶ Federal, state and local tax policy analysis
- ▶ Public Finance Management (PFM) improvement

QUEST's interdisciplinary team consists of 30 economists, statisticians and business analysts, 70 percent of whom have a PhD or Master's degree in economics, statistics, public policy, or a related field. QUEST publishes regular thought leadership pieces including weekly Trade Policy Briefs, monthly economic updates, and annual US Investment Monitor reports.

Collectively, the team members have experience performing economic impact analysis of complex national and multinational companies and provide analysis of tax policy issues.

Tab 7 - Pricing



Please submit standard pricing electronically (pricing can be submitted as Discount off MSRP, cost plus, hourly rate, weekly bundles, etc.). As these services are specialized, feel free to offer innovative and creative pricing arrangements for consideration. Products, services, warranties, etc. should be included in price list. Prices submitted will be used to establish the extent of a respondent's services (Tab 5) that are available.

Price lists must contain the following:

- ← Product name and part number (include both manufacturer part number and respondent part number if different from manufacturers).
 - ← Description
 - ← Vendor's List Price
 - ← Percent Discount to NCPA participating entities
-

Submit price list electronically on CD, DVD, or Flash Drive. Include respondents name, name of solicitation, and date on media of choice.

Not to Exceed Pricing

- ← NCPA requests pricing be submitted as "not to exceed pricing" for any participating entity.
 - ← The awarded vendor can adjust submitted pricing lower but cannot exceed original pricing submitted for solicitation.
 - ← NCPA requests that vendor honor lower pricing for similar size and scope purchases to other members.
-

Please note that pricing is being submitted as a separate document per the RFP instructions.

Tab 8 - Value Added Products and Services

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

EY wavespace™

EY wavespace teams bring the right people together and give them the tools and mindset to think differently, deconstruct challenges and develop solutions - faster.

The challenges we face today are unprecedented. Organizations must think differently and more creatively about how to prioritize and tackle challenges. EY wavespace has always focused on bringing people together, and giving them the mindset and tools to find new solutions at speed.

In this environment we have seen how relevant our experience of running interactive virtual wavespace sessions is. We have used this experience to create an entirely virtual wavespace Experience, so that we can continue to support clients to navigate unsettling times, respond to volatility and build enterprise resilience.

For a public sector entity using wavespace, our clients can convene the right people from across their organization and EY. Using the wavespace proven approach, methods, and technology collaboration tools, we help stakeholders to deconstruct challenges with a single-minded focus on reaching meaningful outcomes in a shorter time frame.

Wavespace is about people and business outcomes. Human-centered design and collaboration are at the heart of EY's methodologies because we believe that people support what they help create. We work with agility and beyond borders. And we think, design and build with creativity and speed.

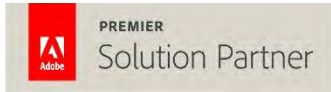
EY Alliance and Ecosystem Relationships

Our clients' agendas, like ours, are impacted by industry and digital disruption. By capitalizing on key relationships through alliances, we are committed to helping clients achieve operational and organizational goals to innovate better, contribute more and retain top talent. Our alliances include global strategic technology relationships, as well as collaboration with organizations that specialize in a specific competency, industry or geography. Our alliances help us respond to your most complex business challenges by:

- ▶ Co-innovating and co-developing services that can offer substantive value and differentiation
- ▶ Gaining early and preferential access to product releases and specialized skills to help clients quickly innovate and resolve challenging issues
- ▶ Extending our reach and scale to offer comprehensive and innovative solutions around emerging trends and markets
- ▶ Influencing product direction to create opportunities to improve business outcomes in the future

We have entered into numerous alliances over the last few years to establish a well-conceived program that balances our independence requirements, our business strategy and growth objectives. Our alliances span technology leaders and companies providing bespoke solutions to client needs all over the world.

One or more member firms of Ernst & Young Global Limited participate in alliances with the following companies:



The EY and Adobe alliance combines strategy, design, infrastructure and insight to help clients create personalized and differentiated digital experiences to transform their organizations.



EY US and Anaplan help organizations deploy a powerful business planning approach, powered by Anaplan's cloud-based platform for connected planning.



EY and BlackLine, a leading provider of enterprise-class financial automation software solutions, help companies govern and automate their finance, risk and tax processes.



Building on more than five years of teaming, EY and Blue Prism help enterprises unlock enterprise digital transformation through RPA and intelligent automation.



EY and Blue Yonder help clients transform their supply chain and improve operations performance.



EY and Cisco help clients increase operational efficiency, collaboration and asset productivity to fast-track their digital transformation.



The EY-CrowdStrike Alliance combines CrowdStrike's leading-class cybersecurity technologies with leading transformational consulting capabilities and cyber services provided by EY teams.



The EY and Dell Technologies alliance combines business strategy, industry knowledge and Dell's leading technology portfolio to help clients transform IT and build the digital enterprise of the future.



EY and Enablon help organizations manage environmental health, safety and sustainability performance and reduce operational risks.



EY and FIS collaborate to help our clients achieve transformational change in retail and institutional banking, payments, assets and wealth management, and risk and compliance.



EY and Guidewire help clients achieve operational excellence through the transformation of their core property and casualty insurance operations.



EY and IBM® drive advances in areas including security, analytics and AI to help clients navigate the digital future, today.



EY's collaborative relationship with the Johns Hopkins Armstrong Institute for Patient Safety and Quality transforms health care delivery with solutions that help improve patient care and operational efficiencies for hospitals and other health care facilities worldwide.



EY and Kinaxis help clients modernize their end-to-end supply chain capabilities and achieve supply chain excellence with capabilities including augmented intelligence and machine learning.



The EY and LeaseAccelerator alliance provides a transformational lease accounting and contract management service offering that combines EY's experience and global footprint with LeaseAccelerator's industry-leading lease lifecycle automation software platform.



EY and MetLife Insurance Co. deliver leading-edge financial wellness services.



The EY and Microsoft alliance combines EY's deep insights and experience in disruptive industry trends, new business models and evolving processes with Microsoft's scalable, enterprise cloud platform and digital technologies.



EY and Mott MacDonald works across all phases of the infrastructure asset life cycle, integrating business and engineering disciplines on capital projects.



EY and leading business transformation specialist Oliver Wight EAME (Europe, Africa and Middle East) help organizations address their business planning challenges.



EY and Pegasystems help organizations deliver exceptional customer experiences through intelligent automation.



EY and P&G help organizations attain higher levels of manufacturing performance.



EY and PROS help clients transform and optimize their lead-to-cash journey using artificial intelligence (AI)-powered pricing and quote automation technologies.



EY US and SailPoint help organizations transform how they manage the growing number of digital identities in the workplace.



EY and SAP help power the intelligent enterprise to innovate and transform. EY and SAP create and deliver intelligence-based solutions to help organizations become more agile, more resilient, overcome challenges and achieve better, faster results within the digital economy. That's Intelligence. Realized.



Recognized for Excellence in Innovation, EY and SAS help clients transform their organization with advanced analytics and automation capabilities.



EY and ServiceNow help clients accelerate their digital agendas by making their business processes faster, more productive and scalable.



EY US and Splunk Inc., provider of the Data-to-Everything™ Platform, formed an alliance to support enterprises in leveraging data throughout their organizations to transform their cybersecurity capabilities.



EY US and StratioBD help businesses of all sizes transform into technology organizations powered by data and artificial intelligence.



EY and Thomson Reuters provide clients with bespoke, integrated and agile technology and services for tax, accounting and legal departments.



EY and UiPath Enterprise RPA Platform offerings encompass intelligent automation (IA) strategy, automation operating model development, opportunity discovery, IA technology design and development, and postproduction IA managed services.

Tab 9 - Required Documents



Clean Air and Water Act / Debarment Notice

Clean Air and Water Act & Debarment Notice

I, the Vendor, am in compliance with all applicable standards, orders or regulations issued pursuant to the Clean Air Act of 1970, as Amended (42 U.S. C. 1857 (h)), Section 508 of the Clean Water Act, as amended (33 U.S.C. 1368), Executive Order 117389 and Environmental Protection Agency Regulation, 40 CFR Part 15 as required under OMB Circular A-102, Attachment O, Paragraph 14 (1) regarding reporting violations to the grantor agency and to the United States Environment Protection Agency Assistant Administrator for the Enforcement.

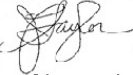
I hereby further certify that my company has not been debarred, suspended or otherwise ineligible for participation in Federal Assistance programs under Executive Order 12549, "Debarment and Suspension", as described in the Federal Register and Rules and Regulations

Ernst & Young LLP (EY US)

Jackie Taylor

99 S. Wood Avenue

Iselin, NJ 08830



November 19, 2020

Contractors Requirements

Contractor Requirements

Contractor Certification Contractor's Employment Eligibility

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

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

Should the Participating Entities suspect or find that the Contractor or any of its subcontractors are not in compliance, they may pursue any and all remedies allowed by law, including, but not limited to: suspension of work, termination of the Contract for default, and suspension and/or debarment of the Contractor. All costs necessary to verify compliance are the responsibility of the Contractor.

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

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

Fingerprint & Background Checks

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

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

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

Business Operations in Sudan, Iran

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

Authorized signature



Date


November 19, 2020

Antitrust Certification Statements

Antitrust Certification Statements (Tex. Government Code § 2155.005)

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

- (1) I am duly authorized to execute this contract on my own behalf or on behalf of the company, corporation, firm, partnership or individual (Company) listed below;
- (2) In connection with this bid, neither I nor any representative of the Company has violated any provision of the Texas Free Enterprise and Antitrust Act, Tex. Bus. & Comm. Code Chapter 15;
- (3) In connection with this bid, neither I nor any representative of the Company has violated any federal antitrust law; and
- (4) Neither I nor any representative of the Company has directly or indirectly communicated any of the contents of this bid to a competitor of the Company or any other company, corporation, firm, partnership or individual engaged in the same line of business as the Company.

Company name	Ernst & Young LLP (EY US)
Address	99 S. Wood Avnue
City/State/Zip	Iselin, NJ 08830
Telephone No.	+1 212 773 7336
Fax No.	
Email address	jackie.taylor@ey.com
Printed name	Jackie Taylor
Position with company	Principal
Authorized signature	

Required Clauses for Federal Funds Certifications

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

APPENDIX II TO 2 CFR PART 200

(A) Contracts for more than the simplified acquisition threshold currently set at \$150,000, which is the inflation adjusted amount determined by the Civilian Agency Acquisition Council and the Defense Acquisition Regulations Council (Councils) as authorized by 41 U.S.C. 1908, must address administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms, and provide for such sanctions and penalties as appropriate.

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

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

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

(D) Davis-Bacon Act, as amended (40 U.S.C. 3141-3148). When required by Federal program legislation, all prime construction contracts in excess of \$2,000 awarded by non-Federal entities must include a provision for compliance with the Davis-Bacon Act (40 U.S.C. 3141-3144, and 3146-3148) as supplemented by Department of Labor regulations (29 CFR Part 5, "Labor Standards Provisions Applicable to Contracts Covering Federally Financed and Assisted Construction"). In accordance with the statute, contractors must be required to pay wages to laborers and mechanics at a rate not less than the prevailing wages specified in a wage determination made by the Secretary of Labor. In addition, contractors must be required to pay wages not less than once a week. The non-Federal entity must place a copy of the current prevailing wage determination issued by the Department of Labor in each solicitation. The decision to award a contract or subcontract must be conditioned upon the acceptance of the wage determination. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency. The contracts must also include a provision

for compliance with the Copeland “Anti-Kickback” Act (40 U.S.C. 3145), as supplemented by Department of Labor regulations (29 CFR Part 3, “Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States”). The Act provides that each contractor or subrecipient must be prohibited from inducing, by any means, any person employed in the construction, completion, or repair of public work, to give up any part of the compensation to which he or she is otherwise entitled. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency.

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

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

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

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

(I) Byrd Anti-Lobbying Amendment (31 U.S.C. 1352)—Contractors that apply or bid for an award exceeding \$100,000 must file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee

of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. 1352. Each tier must also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the non-Federal award.

RECORD RETENTION REQUIREMENTS FOR CONTRACTS INVOLVING FEDERAL FUNDS

When federal funds are expended by Participating Agency for any contract resulting from this procurement process, offeror certifies that it will comply with the record retention requirements detailed in 2 CFR § 200.333. The offeror further certifies that offeror will retain all records as required by 2 CFR § 200.333 for a period of three years after grantees or subgrantees submit final expenditure reports or quarterly or annual financial reports, as applicable, and all other pending matters are closed.

CERTIFICATION OF COMPLIANCE WITH THE ENERGY POLICY AND CONSERVATION ACT

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

CERTIFICATION OF COMPLIANCE WITH BUY AMERICA PROVISIONS

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

Required Clauses for Federal Assistance provided by FTA

ACCESS TO RECORDS AND REPORTS

Contractor agrees to:

- a) Maintain all books, records, accounts and reports required under this Contract for a period of not less than three (3) years after the date of termination or expiration of this Contract or any extensions thereof except in the event of litigation or settlement of claims arising from the performance of this Contract, in which case Contractor agrees to maintain same until Public Agency, the FTA Administrator, the Comptroller General, or any of their duly authorized representatives, have disposed of all such litigation, appeals, claims or exceptions related thereto.
- b) Permit any of the foregoing parties to inspect all work, materials, payrolls, and other data and records with regard to the Project, and to audit the books, records, and accounts with regard to the Project and to reproduce by any means whatsoever or to copy excerpts and transcriptions as reasonably needed for the purpose of audit and examination.

FTA does not require the inclusion of these requirements of Article 1.01 in subcontracts. Reference 49 CFR 18.39 (i)(11).

CIVIL RIGHTS / TITLE VI REQUIREMENTS

- 1) Non-discrimination. In accordance with Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. § 2000d, Section 303 of the Age Discrimination Act of 1975, as amended, 42 U.S.C. § 6102, Section 202 of the Americans with Disabilities Act of 1990, as amended, 42 U.S.C. § 12132, and Federal Transit Law at 49 U.S.C. § 5332, Contractor or subcontractor agrees that it will not discriminate against any employee or applicant for employment because of race, color, creed, national origin, sex, marital status age, or disability. In addition, Contractor agrees to comply with applicable Federal implementing regulations and other implementing requirements FTA may issue.
- 2) Equal Employment Opportunity. The following Equal Employment Opportunity requirements apply to this Contract:
 - a. Race, Color, Creed, National Origin, Sex. In accordance with Title VII of the Civil Rights Act, as amended, 42 U.S.C. § 2000e, and Federal Transit Law at 49 U.S.C. § 5332, the Contractor agrees to comply with all applicable Equal Employment Opportunity requirements of U.S. Dept. of Labor regulations, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor, 41 CFR, Parts 60 et seq., and with any applicable Federal statutes, executive orders, regulations, and Federal policies that may in the future affect construction activities undertaken in the course of this Project. Contractor agrees to take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, creed, national origin, sex, marital status, or age. Such action shall include, but not be limited to, the following: employment, upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other forms of compensation; and selection for training, including apprenticeship. In addition, Contractor agrees to comply with any implementing requirements FTA may issue.
 - b. Age. In accordance with the Age Discrimination in Employment Act (ADEA) of 1967, as amended, 29 U.S.C. Sections 621 through 634, and Equal Employment Opportunity Commission (EEOC) implementing regulations, "Age Discrimination in Employment Act", 29 CFR Part 1625, prohibit employment discrimination by Contractor against individuals on the basis of age, including present and prospective

employees. In addition, Contractor agrees to comply with any implementing requirements FTA may issue.

- c. Disabilities. In accordance with Section 102 of the Americans with Disabilities Act of 1990, as amended (ADA), 42 U.S.C. Sections 12101 *et seq.*, prohibits discrimination against qualified individuals with disabilities in programs, activities, and services, and imposes specific requirements on public and private entities. Contractor agrees that it will comply with the requirements of the Equal Employment Opportunity Commission (EEOC), "Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act," 29 CFR, Part 1630, pertaining to employment of persons with disabilities and with their responsibilities under Titles I through V of the ADA in employment, public services, public accommodations, telecommunications, and other provisions.
 - d. Segregated Facilities. Contractor certifies that their company does not and will not maintain or provide for their employees any segregated facilities at any of their establishments, and that they do not and will not permit their employees to perform their services at any location under the Contractor's control where segregated facilities are maintained. As used in this certification the term "segregated facilities" means any waiting rooms, work areas, restrooms and washrooms, restaurants and other eating areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees which are segregated by explicit directive or are in fact segregated on the basis of race, color, religion or national origin because of habit, local custom, or otherwise. Contractor agrees that a breach of this certification will be a violation of this Civil Rights clause.
- 3) Solicitations for Subcontracts, Including Procurements of Materials and Equipment. In all solicitations, either by competitive bidding or negotiation, made by Contractor for work to be performed under a subcontract, including procurements of materials or leases of equipment, each potential subcontractor or supplier shall be notified by Contractor of Contractor's obligations under this Contract and the regulations relative to non-discrimination on the grounds of race, color, creed, sex, disability, age or national origin.
 - 4) Sanctions of Non-Compliance. In the event of Contractor's non-compliance with the non-discrimination provisions of this Contract, Public Agency shall impose such Contract sanctions as it or the FTA may determine to be appropriate, including, but not limited to: 1) Withholding of payments to Contractor under the Contract until Contractor complies, and/or; 2) Cancellation, termination or suspension of the Contract, in whole or in part.

Contractor agrees to include the requirements of this clause in each subcontract financed in whole or in part with Federal assistance provided by FTA, modified only if necessary to identify the affected parties.

DISADVANTAGED BUSINESS PARTICIPATION

This Contract is subject to the requirements of Title 49, Code of Federal Regulations, Part 26, "*Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs*", therefore, it is the policy of the Department of Transportation (DOT) to ensure that Disadvantaged Business Enterprises (DBEs), as defined in 49 CFR Part 26, have an equal opportunity to receive and participate in the performance of DOT-assisted contracts.

- 1) Non-Discrimination Assurances. Contractor or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this Contract. Contractor shall carry out all applicable requirements of 49 CFR Part 26 in the award and administration of DOT-assisted contracts. Failure by Contractor to carry out these requirements is a material breach of this Contract, which may result in the termination of this Contract or other such remedy as public agency deems appropriate. Each subcontract Contractor signs with a subcontractor must include the assurance in this paragraph. (See 49 CFR 26.13(b)).

- 2) Prompt Payment. Contractor is required to pay each subcontractor performing Work under this prime Contract for satisfactory performance of that work no later than thirty (30) days after Contractor's receipt of payment for that Work from public agency. In addition, Contractor is required to return any retainage payments to those subcontractors within thirty (30) days after the subcontractor's work related to this Contract is satisfactorily completed and any liens have been secured. Any delay or postponement of payment from the above time frames may occur only for good cause following written approval of public agency. This clause applies to both DBE and non-DBE subcontractors. Contractor must promptly notify public agency whenever a DBE subcontractor performing Work related to this Contract is terminated or fails to complete its Work, and must make good faith efforts to engage another DBE subcontractor to perform at least the same amount of work. Contractor may not terminate any DBE subcontractor and perform that Work through its own forces, or those of an affiliate, without prior written consent of public agency.
- 3) DBE Program. In connection with the performance of this Contract, Contractor will cooperate with public agency in meeting its commitments and goals to ensure that DBEs shall have the maximum practicable opportunity to compete for subcontract work, regardless of whether a contract goal is set for this Contract. Contractor agrees to use good faith efforts to carry out a policy in the award of its subcontracts, agent agreements, and procurement contracts which will, to the fullest extent, utilize DBEs consistent with the efficient performance of the Contract.

ENERGY CONSERVATION REQUIREMENTS

Contractor agrees to comply with mandatory standards and policies relating to energy efficiency which are contained in the State energy conservation plans issued under the Energy Policy and Conservation Act, as amended, 42 U.S.C. Sections 6321 *et seq.* and 41 CFR Part 301-10.

FEDERAL CHANGES

Contractor shall at all times comply with all applicable FTA regulations, policies, procedures and directives, including without limitation those listed directly or by reference in the Contract between public agency and the FTA, as they may be amended or promulgated from time to time during the term of this contract. Contractor's failure to so comply shall constitute a material breach of this Contract.

INCORPORATION OF FEDERAL TRANSIT ADMINISTRATION (FTA) TERMS

The provisions include, in part, certain Standard Terms and Conditions required by the U.S. Department of Transportation (DOT), whether or not expressly set forth in the preceding Contract provisions. All contractual provisions required by the DOT, as set forth in the most current FTA Circular 4220.1F, dated November 1, 2008, are hereby incorporated by reference. Anything to the contrary herein notwithstanding, all FTA mandated terms shall be deemed to control in the event of a conflict with other provisions contained in this Contract. Contractor agrees not to perform any act, fail to perform any act, or refuse to comply with any public agency requests that would cause public agency to be in violation of the FTA terms and conditions.

NO FEDERAL GOVERNMENT OBLIGATIONS TO THIRD PARTIES

Agency and Contractor acknowledge and agree that, absent the Federal Government's express written consent and notwithstanding any concurrence by the Federal Government in or approval of the solicitation or award of the underlying Contract, the Federal Government is not a party to this Contract and shall not be subject to any obligations or liabilities to agency, Contractor, or any other party (whether or not a party to that contract) pertaining to any matter resulting from the underlying Contract.

Contractor agrees to include the above clause in each subcontract financed in whole or in part with federal assistance provided by the FTA. It is further agreed that the clause shall not be modified, except to identify the subcontractor who will be subject to its provisions.

PROGRAM FRAUD AND FALSE OR FRAUDULENT STATEMENTS

Contractor acknowledges that the provisions of the Program Fraud Civil Remedies Act of 1986, as amended, 31 U.S.C. §§ 3801 et seq. and U.S. DOT regulations, "Program Fraud Civil Remedies," 49 CFR Part 31, apply to its actions pertaining to this Contract. Upon execution of the underlying Contract, Contractor certifies or affirms the truthfulness and accuracy of any statement it has made, it makes, it may make, or causes to be made, pertaining to the underlying Contract or the FTA assisted project for which this Contract Work is being performed.

In addition to other penalties that may be applicable, Contractor further acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification, the Federal Government reserves the right to impose the penalties of the Program Fraud Civil Remedies Act of 1986 on Contractor to the extent the Federal Government deems appropriate.

Contractor also acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification to the Federal Government under a contract connected with a project that is financed in whole or in part with Federal assistance originally awarded by FTA under the authority of 49 U.S.C. § 5307, the Government reserves the right to impose the penalties of 18 U.S.C. § 1001 and 49 U.S.C. § 5307 (n)(1) on the Contractor, to the extent the Federal Government deems appropriate.

Contractor agrees to include the above clauses in each subcontract financed in whole or in part with Federal assistance provided by FTA. It is further agreed that the clauses shall not be modified, except to identify the subcontractor who will be subject to the provisions.

State Notice Addendum

The National Cooperative Purchasing Alliance (NCPA), on behalf of NCPA and its current and potential participants to include all county, city, special district, local government, school district, private K-12 school, higher education institution, state, tribal government, other government agency, healthcare organization, nonprofit organization and all other Public Agencies located nationally in all fifty states, issues this Request for Proposal (RFP) to result in a national contract.

For your reference, the links below include some, but not all, of the entities included in this proposal:

http://www.usa.gov/Agencies/State_and_Territories.shtml

<https://www.usa.gov/local-governments>

Appendix A: Exceptions to Terms and Conditions



NCPA Exceptions

As part of our response to the RFP, we have reviewed the terms and conditions set forth therein. While we are willing to enter into an engagement agreement based upon the proposed terms, we do have comments about certain of those terms. We have set out those comments below. While we have tried to be thorough, we cannot guarantee we have identified all issues that may arise during the process of finalizing the engagement agreement. Our proposal to provide services is contingent on the execution of a mutually satisfactory engagement agreement between us and we expect to resolve any open items related to engagement terms to our mutual satisfaction.

Indemnity - We generally neither request nor provide indemnities. We do on occasion agree to mutual indemnities with our clients for bodily injury or damage to tangible property to the extent directly caused by our negligence or misconduct, and for intellectual property infringement caused by our deliverables, subject to customary commercial exceptions.

General Provisions - We generally limit our total aggregate liability under an Agreement to the fees paid to EY for the services under which any liability is principally alleged to arise. We generally provide that EY will not in any case be liable for consequential, incidental, indirect, punitive or special damages, or attorney's fees.

Other matters for inclusion in final contract:

Disputes/Arbitration/Mediation - In the event a client views our services as having been rendered otherwise than in compliance with the agreement our approach is to enter into good faith discussions with the client to arrive at a mutually acceptable resolution of the matter. Our firm policy favors the speedy and amicable resolution of disputes through mediation and arbitration conducted in accordance with the Rules for Non-Administered Arbitration of the CPR International Institute for Conflict Prevention and Resolution.

Intellectual Property or Ownership - Our clients generally own our reports and other deliverables provided to them, subject to restrictions on their distribution to third parties and our retention of ownership of certain data, modules, leading practices, and specifications developed or used by EY or its licensors, or to which EY otherwise has rights, including enhancements and improvements developed in the course of performing the services.

Termination - Our agreements generally provide that we may terminate immediately if we reasonably determine that we can no longer provide the Services in accordance with applicable law or professional obligations.