

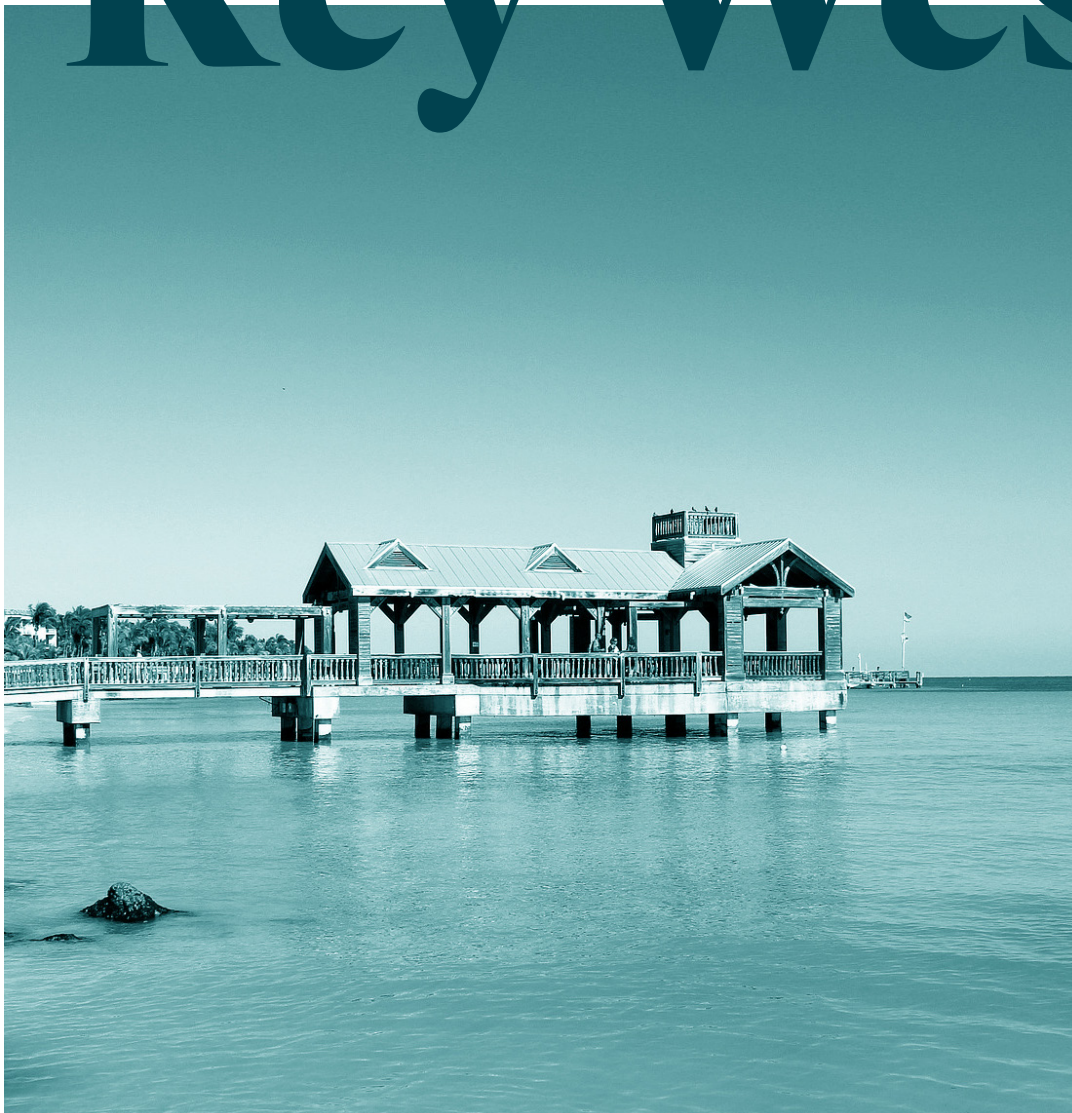


A PART OF  
**RAFTELIS**

## Strategic Planning Services

RFP #005-20 / APRIL 29, 2020 / COPY

# City of Key West





## **Raftelis is registered with the U.S. Securities and Exchange Commission (SEC) and the Municipal Securities Rulemaking Board (MSRB) as a Municipal Advisor.**

Registration as a Municipal Advisor is a requirement under the Dodd-Frank Wall Street Reform and Consumer Protection Act. All firms that provide financial forecasts that include assumptions about the size, timing, and terms for possible future debt issues, as well as debt issuance support services for specific proposed bond issues, including bond feasibility studies and coverage forecasts, must be registered with the SEC and MSRB to legally provide financial opinions and advice. Raftelis' registration as a Municipal Advisor means our clients can be confident that Raftelis is fully qualified and capable of providing financial advice related to all aspects of utility financial planning in compliance with the applicable regulations of the SEC and the MSRB.

April 29, 2020

Ms. Patti McLauchlin  
Assistant City Manager  
City of Key West  
1300 White Street  
Key West, FL 33040



**Subject: Proposal for Strategic Planning Services (RFP #005-20)**

Dear Ms. McLauchlin:

Raftelis is pleased to submit this proposal to provide the City of Key West (City) with strategic planning services. Our focus has always been to help local government and utility clients solve their financial, organizational, and technology challenges. We are dedicated to providing management consulting services, including strategic planning, to local governments. We appreciate the opportunity to submit our proposal, which has been developed to provide the City with concise yet thorough information that introduces our approach to strategic planning.

Raftelis was established in 1993 to provide financial and management consulting services of the highest quality to the public sector. The Raftelis brand continues to strengthen as in 2020, we acquired The Novak Consulting Group (TNCG), deepening the management consulting expertise specific to local governments. Our mission is to strengthen organizations for those they serve and those who work in them. Our team is dedicated to providing management consulting services to local governments across the country. We provide our clients with the best thinking and execution in organizational design, development, and improvement.

We believe our firm offers the City some distinct advantages:

- **A workable and insightful approach:** Our team's approach specifically addresses the City's needs and will help develop a best practice-level strategic planning process and resultant plan. Our proven methods of engagement and facilitation lead to a sustainable plan that will provide the City with a vision, mission, and measurable goals and objectives. In this current COVID-19 environment, prioritization and strategic planning are even more critical as the financial impacts of the pandemic remain unknown.
- **Use of unique and innovative tools and techniques:** We are passionate about strategic planning, which drives us to use innovation and creativity throughout the project from engagement to the preparation of the final plan. We encourage future-focused discussions and action-oriented approaches to building the City's plan. Our deliverables are useful and engaging, and unique and creative graphics are used to keep documents concise with a focus on internal and external communication. We also understand that "engagement" may need to be redefined to protect public health. Since March, our team has been actively engaging in strategic planning processes with communities across the country using a variety of virtual tools and processes to ensure robust participation, even when face-to-face conversations may be impossible.
- **Personal service from senior-level consultants:** You appreciate it when deadlines are met, phone calls are returned, and your challenges are given in-depth, out-of-the-box thinking. While some firms may assign your business to junior-level staff, we offer exceptional service from senior-level consultants.

We have had significant success working with community members, elected officials, department leadership teams, and staff to identify priorities for an organization or a community and achieve consensus. We are confident our approach will provide the City with the direction it seeks for the future of the Key West community at this critical time.

We are proud of the resources that we can offer and welcome the opportunity to assist the City in this engagement. Please do not hesitate to contact me by phone at 513.221.0500 or by email at [jnovak@raftelis.com](mailto:jnovak@raftelis.com) if you have any questions.

Very truly yours,

**Julia Novak**  
*Executive Vice President*

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# Executive Summary

Through various engagements completed over the past 10 years, Raftelis/TNCG has developed a strong working relationship with City of Key West staff, including the City's Director of Finance, Director of Port Operations, and Director of Public Utilities. In addition to providing financial analyses and advice to the City, Raftelis/TNCG has presented information and recommendations to the City Commission annually as part of the City's budget hearing process. Example consulting support and projects that have been completed for the City include the following:

- **Various Rate and Fee Studies:** Completed rate and fee studies for the City on an annual basis, involving sewer, stormwater, and solid waste utilities owned and operated by the City
- **Seaport and Marina Financial Services:** Developed a financial plan and model for the City's Marina and Cruise Port operations and helped City staff update this model on an annual basis for planning purposes
- **Indirect Cost Study and Cost Allocation Plan:** Prepared an indirect cost study and cost allocation plan for the City's General Fund to identify and allocate the cost of providing services internally, quantifying and capturing the cost of services provided by the City's General Fund to the enterprise funds and internal services funds, and to ensure that each department and fund has its true cost identified
- **PILOT and Franchise Fees:** Assisted the City in developing a methodology and approach for the General Fund to justifiably

establish charge backs to the enterprise funds for payment-in-lieu-of taxes, franchise fees, and right-of-way fees

- **Impact Fee Study:** Completed an impact fee study to assist the City to equitably recover the cost of growth from new development
- **Intermunicipal Agreement Support:** Assisted the City in developing pricing provisions for an intermunicipal agreement with Monroe County for sharing stormwater pump station capacity

The City is now interested in developing a comprehensive strategic plan that is comprised of a vision that reflects the desired outcomes of the Key West community. We have had significant success working with community members, elected officials, department leadership teams, and staff to identify priorities for a community and achieve consensus. We are also skilled in developing effective implementation models that ensure the goals developed for the strategic plan are linked to the ongoing work of the organization and incorporated into the City's annual budget process.

We are confident our approach will provide the City with the direction it seeks for the future of the Key West community. We look forward to furthering our role as trusted advisors to the City of Key West.

# Who We Are

**RAFTELIS/THE NOVAK  
CONSULTING GROUP IS  
THE TRUSTED ADVISOR TO  
PUBLIC-SECTOR CLIENTS.**

+ VISIT [RAFTELIS.COM](https://raftelis.com) OR [THENOVAKCONSULTINGGROUP.COM](https://thenovakconsultinggroup.com) TO LEARN MORE



Raftelis/TNCG provides public-sector organizations with insights and expertise to help them operate as high-performing, sustainable entities providing essential services to their citizens. We help our clients solve their financial, organizational, technology, and communication challenges, achieve their objectives, and, ultimately, make their communities better places to live, work, and play.

## **TNCG is Now Part of Raftelis**

Raftelis and TNCG have always shared a focus on delivering lasting solutions for public-sector agencies. In January 2020, TNCG joined Raftelis. Today, we provide our clients with wide-ranging capabilities and resources in financial, management, technology, and communications consulting for all areas of government agencies. Our clients now have the expertise of 120 of the country's leading public-sector consultants. We know that our combined capabilities and resources will provide added value to our clients, and we're looking forward to what we can accomplish together.

THE CITY & RAFTELIS/TNCG

# The Right Fit



## RESOURCES & EXPERTISE

**This project will require the resources necessary to effectively staff the project and the skillsets to complete all of the required components.**

With 120 consultants, Raftelis/TNCG has one of the largest local government management and financial consulting practices in the nation. Our depth of resources will allow us to provide the City with the technical expertise necessary to meet your objectives. In addition to having many of the industry’s leading management and financial consultants, we also have experts in key related areas, like stakeholder engagement and data analytics, to provide additional insights as needed.



## STAKEHOLDER ENGAGEMENT & SUPPORT

**Proactive stakeholder engagement and communication results in an informed, supportive workforce and community.**

You need the buy-in of customers, employees, and other stakeholders as you adopt new approaches and begin new initiatives. They want to know what’s in it for them. How you collaborate and communicate with them is critical. Raftelis/TNCG can bring an array of effective approaches to engage these groups. We can help build communication pathways and form new relationships that will improve your organization. Also, our deliverables don’t just sit on shelves—they’re living, working documents that effectively help you communicate your message to stakeholders.



## HISTORY OF SIMILAR SUCCESSES

**An extensive track record of past similar work will help to avoid potential pitfalls and provide the know-how to bring it across the finish line.**

Our extensive experience will allow us to provide innovative and insightful recommendations to the City.



## NICHE EXPERTISE

**Our expertise lies in strengthening public-sector organizations.**

We’re consulting specialists rather than generalists, focusing our strengths to do a highly effective job for a specific group of clients.



## RECOMMENDATIONS THAT ARE ADOPTED

**Our actionable recommendations are developed based on priority, cost benefit, and ease of implementation.**

Methods for implementation are suggested, with consideration for change management practices and operating environment limitations (e.g., unions, budgets, service levels, etc.). We then work with clients to manage the implementation of these recommendations and to track progress towards making them a reality.

# Experience

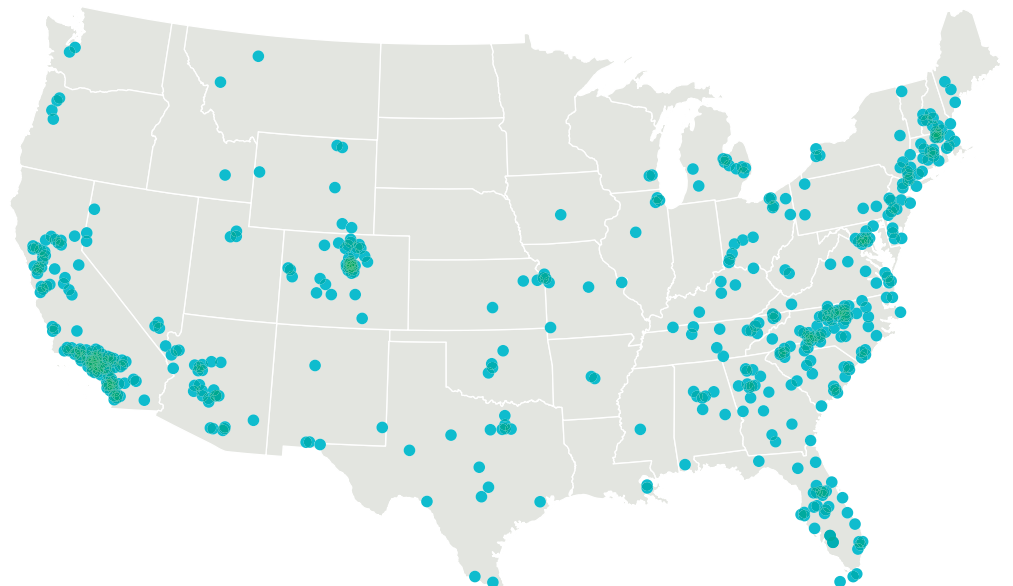
**RAFTELIS/TNCG HAS ONE OF THE MOST EXPERIENCED FINANCIAL AND MANAGEMENT CONSULTING PRACTICES IN THE NATION.**

Our staff has assisted more than 1,000 public-sector entities across the U.S., including some of the largest organizations in the nation. In the past year alone, Raftelis/TNCG worked on more than 600 financial/organizational/technology consulting projects for over 400 water, wastewater, and/or stormwater utilities in 40 states, the District of Columbia, and Canada.

THIS MAP AND THE MATRIX ON THE FOLLOWING PAGES SHOW SOME OF THE UTILITY CLIENTS THAT WE HAVE ASSISTED.

**Raftelis/TNCG has provided financial/organizational/technology assistance to more than**

**25% of the U.S. population**





## National Experience

This matrix shows some of the communities throughout the U.S. that Raftelis/TNCG staff has assisted and the services performed for these clients.

Client	Organizational Assessment	Executive Search	Strategic Plan Facilitation
AZ Alliance for Innovation			●
AZ Central Arizona Project			●
AZ Clarkdale		●	
AZ Cottonwood		●	
AZ Goodyear			●
AZ Oro Valley		●	
AZ Peoria		●	
AZ Scottsdale		●	
AZ Sierra Vista			●
AZ Yuma		●	●
CA Fullerton	●		
CA Gilroy	●		
CA Hanford			●
CA Hayward			●
CA Hollister	●		
CA Huntington Beach	●		
CA Long Beach Transit Authority	●		
CA Manhattan Beach			●
CA Palo Alto			●
CA Placer County			●
CA San Luis Obispo			●
CA San Marino			●
CA Santa Barbara	●		●
CA Seaside			●
CA Yountville			●
CO Adams County			●
CO Aspen	●	●	●
CO Aurora	●		●
CO Boulder	●	●	●
CO Boulder County	●		
CO Brighton			●
CO Centennial	●		●
CO Erie			●
CO Evans			●
CO Fort Collins	●		●
CO Golden			●
CO Greeley	●		
CO La Plata County	●		
CO Lafayette		●	●
CO Louisville	●	●	●
CO Loveland		●	
CO Routt County			●
CO Thornton			●
CO Westminster			●
CO Windsor	●		●
CT Connecticut Town & City Management Association	●		
CT Enfield	●		
CT Greenwich		●	
CT Groton	●		
CT Manchester	●		●

Client	Organizational Assessment	Executive Search	Strategic Plan Facilitation
CT Mansfield	●	●	
CT Meriden		●	
CT Windsor		●	
DE Kent County		●	
DE Lewes		●	
DE Milford		●	
DE Milton		●	
DE Rehoboth Beach		●	
FL Deerfield Beach			●
FL Palmetto Bay			●
GA Decatur			●
GA Roswell			●
IL Carbondale	●		
IL DuPage County	●		
IL Evanston	●		
IL Geneva			●
IL Gurnee			●
IL Lisle			●
IL Peoria County		●	
IL Schaumburg	●		
IL Warrenville	●		
IL Woodridge			●
IN Bloomington	●	●	
IN Indianapolis	●		
IN Monroe County	●		
IN Munster	●		●
IA Cedar Rapids	●		
KS Baldwin City		●	●
KS Bonner Springs	●		
KS Edgerton		●	
KS Edwardsville			●
KS Eudora			●
KS Garden City	●		
KS Gardner			●
KS Johnson County		●	●
KS Lawrence			●
KS Merriam		●	
KS Olathe			●
KS Roeland Park			●
KS Shawnee	●		●
KS Tonganoxie		●	●
KS United Government of Wyandotte County & Kansas City			●
KY Lexington-Fayette Urban County Government	●		
KY Paducah			●
LA New Orleans	●		
LA Orleans Parish School Board		●	
MD Aberdeen	●	●	●
MD Berwyn Heights		●	
MD Cambridge		●	
MD Charles County		●	

Client		Organizational Assessment	Executive Search	Strategic Plan Facilitation
MD	College Park	●		●
MD	Gaithersburg		●	
MD	Garrett Park		●	
MD	Greenbelt			●
MD	La Plata		●	●
MD	Maryland Municipal League	●		
MD	Maryland State Judiciary			●
MD	Mount Rainier	●	●	
MD	New Carrollton		●	
MD	Ocean City			●
MD	Ocean Pines Association		●	
MD	Riverdale Park		●	
MD	Rockville	●	●	●
MD	Sykesville		●	
MD	University Park			●
MD	Westminster			●
MD	Worcester County			●
MA	Franklin County	●		
MA	Lexington			●
MA	Nantucket	●		●
MA	Pioneer Valley Planning Commission	●		
MA	Sherborn	●		
MA	Westborough	●		●
MI	Ada			●
MI	Ann Arbor			●
MI	Ann Arbor Transportation Authority			●
MI	Ferndale			●
MI	Holland	●		
MI	Jackson County			●
MI	Midland			●
MI	Midland Community Foundation			●
MI	Novi		●	
MI	Rochester Hills	●	●	
MI	Saline	●		
MI	Three Rivers	●		
MN	Cloquet	●		
MN	Edina	●		
MN	Minnesota Municipal League	●		
MN	Northfield	●		
MO	Chesterfield		●	
MO	Clayton		●	●
MO	Lee's Summit	●	●	●
MO	Maryville			●
MO	Missouri Municipal League			●
MO	North Kansas City			●
MO	Parkville			●
MO	Platte City	●		
MO	Sikeston			●
MO	St. Joseph			●
MO	St. Louis County			●
MO	University City			●

Client		Organizational Assessment	Executive Search	Strategic Plan Facilitation
MT	Helena		●	
NE	Hastings	●		
NE	La Vista	●		
NE	Reno	●		
NH	Keene		●	
NY	Batavia		●	
NY	Edgemont	●		
NY	Ithaca	●		
NY	Oneonta		●	
NY	Rochester	●		
NY	Wainscott	●		
NJ	New Jersey Health Initiative	●		
NC	Albemarle			●
NC	Asheville	●		
NC	Brevard			●
NC	Cary			●
NC	GoTriangle Transit	●		●
NC	Greensboro	●		
NC	Orange County	●		
NC	Raleigh	●		●
NC	Swansboro			●
NC	Wake County	●		
NC	Wilmington	●		
OH	Beavercreek Township	●		
OH	Blendon Township			●
OH	Blue Ash	●		●
OH	Centerville		●	
OH	Cincinnati	●		●
OH	Clearcreek Township	●		●
OH	Cleveland Heights	●	●	●
OH	Delaware	●		
OH	Delaware County			●
OH	Delaware County EMS			●
OH	Dublin	●	●	●
OH	Gahanna	●		●
OH	Georgetown			●
OH	Granville		●	
OH	Hilliard		●	●
OH	Hudson		●	
OH	Jackson Township		●	
OH	Miami Township		●	
OH	Miami University	●		
OH	Miami Valley Risk Management Authority			●
OH	Moraine		●	
OH	National Association of State & Local Equity Funds			●
OH	Oberlin	●	●	●
OH	Ohio City/County Management Association	●		●
OH	Owens-Corning			●
OH	Piqua			●
OH	Portsmouth		●	

Client	Organizational Assessment	Executive Search	Strategic Plan Facilitation
OH Powell			●
OH Prairie Township		●	
OH Preservation Parks of Delaware County			●
OH Sandusky		●	
OH Sharonville			●
OH Solid Waste Authority of Central Ohio (SWACO)	●	●	
OH Solon	●		
OH The Port, an Ohio Port Authority	●		
OH Toledo			●
OH Troy	●		
OH Union County		●	
OH Upper Arlington		●	●
OH Washington Township	●	●	●
OH West Chester Township		●	
OH Westerville		●	
OH Worthington	●	●	●
OK Lawton	●		
OK Norman	●		
OR Bend			●
OR Gresham			●
OR Hillsboro			●
OR Lane County		●	
OR Salem	●		●
OR Washington County		●	
OR Wilsonville	●		●
PA Allentown	●		
PA Association for Pennsylvania Municipal Management (APMM)			●
PA Bethel Park	●		
PA Carlisle Borough		●	
PA Duquesne	●		
PA East Buffalo	●		
PA East Whiteland Township	●		
PA Exeter Township	●		
PA Farrell	●	●	
PA Ford City Borough	●		
PA Harrisburg	●		
PA Hazleton	●		
PA Lancaster County	●		
PA Lewisburg	●		
PA Nanticoke	●		
PA Reading	●		
PA St. Marys	●		
PA State College			●
RI Westerly	●		
SC Charleston	●		
SC Hilton Head			●
TN Farragut			●
TX Allen			●
TX Austin	●		
TX Cedar Hill			●

Client	Organizational Assessment	Executive Search	Strategic Plan Facilitation
TX Dallas			●
TX Lancaster		●	●
TX League City			●
TX Pearland	●		
TX Plano			●
TX Prosper			●
TX Temple			●
TX The Woodlands	●		●
TX University Park		●	●
UT Murray			●
UT South Jordan			●
VT Montpelier			●
VA Albemarle County			●
VA Alexandria		●	
VA Arlington County		●	
VA Ashland		●	
VA Bedford County		●	
VA Charlottesville	●		
VA Fairfax		●	
VA Fairfax County		●	
VA Fredericksburg	●		
VA Hampton			●
VA Harrisonburg		●	
VA Loudoun County	●	●	
VA Purcellville	●		
VA Vienna			●
VA Virginia Retirement System		●	
VA Warrenton	●	●	
WA Bellevue	●		●
WA Mercer Island			●
WA Sequim	●		●
WA Shoreline	●	●	
DC International City/County Management Association	●		●
DC National League of Cities	●		
DC USAID - Moldova	●		
WV Monongalia County			●
WV Morgantown			●
WI Eau Claire			●
WI Central Brown County Water Authority		●	
WI Mequon		●	
WI Oak Creek			●
WI Shorewood	●		
WI Washington County			●

# Our team has extensive experience with strategic planning throughout the country.

Our clients tell us we are more than just consultants—we are trusted advisors. We point to a 39% repeat customer base as part of the evidence as well as the many clients who have hired us numerous times to do vital work for their organizations. Other clients have told us that our contacts are “enthusiastic” when providing a reference to potential clients, and they point to actionable and practical solutions.

## Town of Hilton Head Island

**SOUTH CAROLINA**

**Reference:** Steve Riley, Town Manager  
**P:** 843.341.4701 / **E:** stever@hiltonheadislandsc.org

The Town of Hilton Head Island (Town) engaged Raftelis/TNCG to facilitate the development of its strategic plan. Hilton Head is a low-country resort community located on a barrier island off the coast of South Carolina. The Town had a practice of strategic planning but was interested in a fresh approach to articulating what must go well in the future and engaging both the Town Council and staff in a process to align priorities and expectations. The refresh of the Town’s strategic plan established a clear path with six strategic outcomes for the future of the Island.



## Town of Nantucket

**MASSACHUSETTS**

**Reference:** Libby Gibson, Town Manager  
**P:** 508.228.7200 ext 7305 / **E:** lgibson@nantucket-ma.gov

The Town of Nantucket (Town) contracted with Raftelis/TNCG in 2018 for three separate projects. The first was a Town-wide staffing study; the second was a structural review of the Town’s planning and land use services function; the third was the development of a strategic plan. For this engagement, we worked in collaboration with staff and the Select Board to prepare the Town’s first strategic plan. This included input from the organization as well as assistance with the implementation of the Town’s key focus areas. We are currently working with the Town on further implementation assistance.



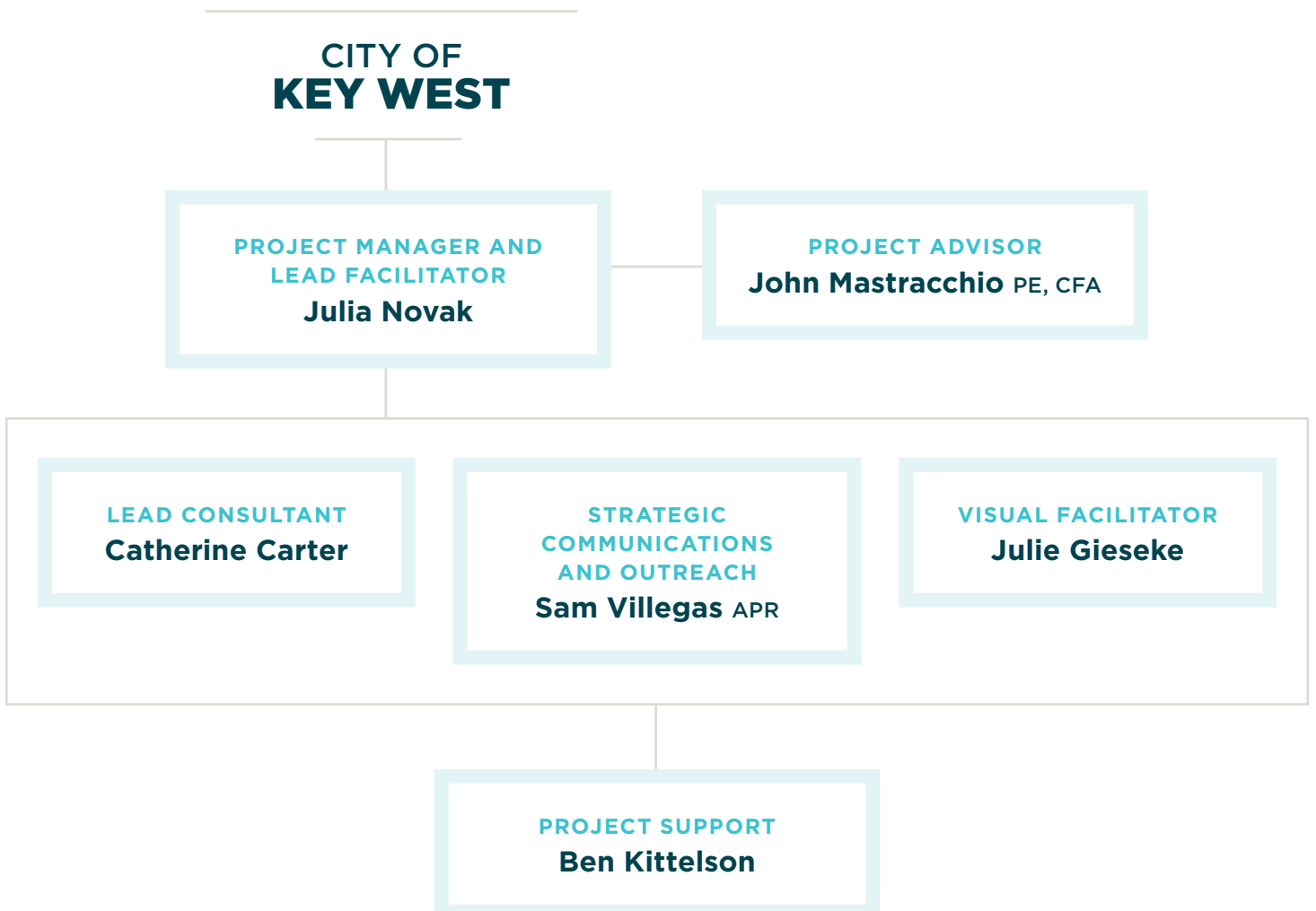


# Project Team

**WE HAVE DEVELOPED A TEAM OF CONSULTANTS WHO SPECIALIZE IN THE SPECIFIC ELEMENTS THAT WILL BE CRITICAL TO THE SUCCESS OF THE CITY'S PROJECT.**

Our team includes senior-level professionals to provide experienced project leadership with support from talented consultant staff. This close-knit group has frequently collaborated on similar successful projects, providing the City with confidence in our capabilities.

Here, we have included an organizational chart showing the structure of our project team. On the following pages, we have included resumes for each of our team members as well as a description of their role on the project.



# Julia Novak

## PROJECT MANAGER AND LEAD FACILITATOR

Executive Vice President



### ROLE

Julia will manage the day-to-day aspects of the project ensuring it is within budget, on schedule, and effectively meets the City’s objectives. She will also lead the consulting staff in conducting analyses and preparing deliverables for the project. Julia will serve as the City’s main point of contact for the project.

### PROFILE

Julia established The Novak Consulting Group in September 2009. Her reputation and experience as a consultant who offers practical and implementable recommendations are grounded in more than 15 years of active service to local governments, including Fort Collins, Colorado; Lexington, Massachusetts; Rockville, Maryland; and as the city manager of Rye, New York. She is a practitioner first who has expanded her knowledge and expertise as a consultant for hundreds of organizations across the United States.

Julia has extensive experience as a facilitator and trainer. She has worked with both elected and appointed officials from jurisdictions throughout the United States to conduct goal setting, develop strategic plans, and prioritize service delivery. She has conducted training for elected officials as an individual trainer and through the National League of Cities and a consortium of cities in California.

Julia is an established thought leader in the areas of governance and administration. In April 2002, Julia was one of 20 practitioners who participated in the ICMA-sponsored symposium on the future of local government administration. Her response to Dr. James Svava's paper, "City Council, Roles, Performance, and the Form of Government," is included in the ICMA-published book, "The Future of Local Government Administration." Public Management Magazine has published multiple articles that she authored and co-authored, including "Preparing Councils for Their Work," co-authored with Dr. John Nalbandian; "Permission to Manage" which discusses the importance of using data to manage local governments; "Dreams That Make a Difference" on the value of community based strategic planning; "Civility," and most recently, "Using Data in Police Management."

Julia has been a speaker at national conferences for the ICMA, National League of Cities, and American Society of Public Administrators. She has been a featured speaker/trainer for many state associations and local government affiliate organizations throughout the United States.

Julia earned a bachelor's degree in government and politics from George Mason University and a master's degree in public administration from the University of Kansas. Julia was in the first class of individuals certified by ICMA as Credentialed Local Government Managers and maintains that designation. Julia is a Master Facilitator of the popular Myers-Briggs Personality Type Indicator and is certified to administer several other Level B psychological assessments.

### Specialties

- Effective organizational leadership and management
- Supporting effective governance
- Developing organizational capacity

### Professional History

- Local Government Consulting (2003-2020)
- City of Rye, New York: City Manager (2000-2003)
- City of Rockville, Maryland (1995-2000)
- Town of Lexington, Massachusetts (1992-1995)
- City of Fort Collins, Colorado (1987- 1992)

### Education

- Master of Public Administration - University of Kansas (1988)
- Bachelor of Arts in Government and Politics - George Mason University (1986)

### Certifications

- Certified Professional Manager, International City/County Management Association
- Master Facilitator, The Myers-Briggs Personality Type Indicator

### Professional Memberships

- International City/County Management Association (ICMA)
- Engaging Local Government Leaders (ELGL)

# John Mastracchio CFA

## PROJECT ADVISOR

Vice President



### ROLE

John will serve as a special advisor on this project, providing valuable context and client insights based on his years of experience working with the City.

### PROFILE

John is a Vice President serving in a national role and leading the financial practice of Raftelis. His more than 24 years of experience as a financial and management consultant serving the utility, governmental, and private sectors. His extensive experience includes over 250 financial projects covering technical areas including financial planning and rate setting, capital financing, asset management, regionalization, valuation, litigation support, and transactional consulting, and spans several utility sectors including water, wastewater, electric, solid waste, and stormwater, along with consulting for federal and municipal general government, transportation, and ports.

Over the past 10 years, John has worked closely with the City of Key West staff, including City’s Director of Finance, Director of Port Operations, and Director of Public Utilities in providing financial analysis and advice to the City. These assignments have included completing indirect cost studies and cost allocation plans for the City’s General Fund, recommending a methodology for the City’s PILOT payments and Franchise Fees, completing an impact fee study, developing financial plans for the City’s Marina and Cruise Port operations, annually completing various rate and fee studies for the Sewer, Stormwater, and Solid Waste Funds, and assisting the City develop an Intermunicipal Agreement with Monroe County for joint use of City stormwater facilities.

John has also led the completion of the financial aspects of strategic and master plans for various clients nationwide, including the City of Dayton, OH, Wayne County, MI, the Solid Waste Authority of Central Ohio, and the Metropolitan District Commission, CT.

John has authored publications and utility industry papers on financial management practices, infrastructure investment, and other topics.

### Specialties

- Business process improvement
- Benchmarking
- Financial analysis & modeling
- Financial planning, cost of service, rate design
- Bond feasibility studies
- Transactional due diligence support
- Government consolidation/regionalization
- Public-private partnerships
- Inter-municipal agreement support
- Valuation assessments
- Expert witness & litigation support
- Capital financing & project planning
- Asset management/business case evaluations

### Professional History

- Raftelis: Vice President (2017-present)
- Arcadis, U.S., Inc. (2003-2017)
- Arthur Andersen (2001-2002)
- Parsons Corporation (1994-2000)

### Education

- Master of Business Administration, Finance - Cornell University (2001)
- Master of Science, Civil & Environmental Engineering - Clarkson University (1994)
- Bachelor of Arts - State University of New York, College at Geneseo (1993)

### Certifications

- Chartered Financial Analyst
- Professional Engineer (PA)
- Lean Six Sigma
- Series 50 Municipal Advisor Representative

### Professional Memberships

- AWWA: Chair of Finance, Accounting, & Management Controls Committee
- CFA Institute
- WEF



# Catherine Carter

## LEAD CONSULTANT

Manager

### ROLE

Catherine will work at the direction of Julia to assist with facilitation, lead analysis, and prepare project deliverables.

### PROFILE

Catherine has a background in public administration and environmental management and possesses extensive research and analytical skills. Her expertise lies in the areas of strategic planning, conducting assessments of organizational effectiveness practices, compiling and analyzing data, and benchmarking. Catherine has participated in numerous financial and management studies for water, wastewater, and stormwater utilities and other public sector organizations across the country. Catherine is active in the water and wastewater utility industry, having presented at several conferences and co-authored two recent articles on long-term rate increases in *Journal AWWA*. Catherine also co-authored a chapter entitled “Public Outreach and Gaining Stakeholder Commitment,” for the Fourth Edition of the industry guidebook, *Water and Wastewater Finance and Pricing: The Changing Landscape*. Prior to working at Raftelis, Catherine was a senior fellow at the Institute for Sustainable Development.

### KEY PROJECT EXPERIENCE

#### City of Tampa Water Department (FL)

Raftelis Financial Consultants was engaged by the City of Tampa’s Water Department (Water Department) to conduct an organizational assessment based on the Effective Utility Management framework, and then to use the results to inform a new organizational strategic plan. Catherine served as the lead consultant for this engagement, with her role including: facilitating and coordinating Attribute and Goal Team meetings; analyzing employee-provided data to support assessment of performance gaps across the Water Department’s operation; leading employee engagement efforts, including focus groups, individual interviews, and an online survey; and creating assessment and strategic planning deliverables.

#### Mount Pleasant Waterworks (SC)

Serving a coastal area outside of Charleston, SC, in 2017 Mount Pleasant Waterworks (MPW) completed its five-year strategic plan. Having accomplished much of what the original plan, and the 2014 plan update, had laid out, MPW initiated a new strategic planning process to set the organization’s direction through 2023. Ultimately, the 2018 strategic planning effort resulted in a more streamlined plan, focused around the four target areas identified in the 2012 plan, and in line with the community’s priorities. Each target area has between three and seven specific strategies, designed to move the area forward and build on the progress made during the implementation of the previous plan. Catherine served as lead consultant for MPW’s 2012 strategic plan, and the project manager for the recent plan update.



### Specialties

- Strategic planning
- Facilitation
- Organizational assessment
- Staffing analysis
- Strategy monitoring and implementation
- Risk and resiliency assessment
- Business process improvement
- Comparative industry analyses

### Professional History

- Raftelis: Manager (2019-present); Senior Consultant (2016-2018); Consultant (2013-2015); Associate Consultant (2011-2012)
- Mecklenburg County Waste Management Advisory Board (appointed term: 2019-2021)
- The Institute for Sustainable Development (2009-2011)

### Education

- Master of Public Administration - University of North Carolina Charlotte (2017)
- Master of Environmental Management - Duke University (2011)
- Bachelor of Science in Business/Economics, Biology, Environmental Studies - Randolph-Macon College (2009)

### Certifications

- Change Management & Leadership Certification - Cornell University (2019)
- American Water Works Association Risk & Resiliency Certification (2019)

### Professional Memberships

- AWWA
- Solid Waste Association of North America

# Sam Villegas APR

## STRATEGIC COMMUNICATIONS AND OUTREACH

Senior Consultant



### ROLE

Sam will provide input and guidance for the strategic communications and outreach components of this project.

### PROFILE

Sam is an award-winning communications and outreach strategist, with more 25 years of experience conducting public outreach for public works. Sam has assisted utilities and the public sector with stakeholder engagement, branding, reputation and crisis management, as well as the design and execution of measurable communications strategies to ensure successful positioning for strategic planning, rate increases, capital projects and change management.

### KEY PROJECT EXPERIENCE

- American Water – Strategic communication and public outreach for rate increases and infrastructure projects for nine state subsidiaries
- American Water Works Association – Meeting facilitation and writing
- Arlington County (VA) – Public outreach and facilitation
- Association of State Drinking Water Administrators – Strategic communication, change management and organizational development
- Connecticut Water – Assessment of employee communication program
- Cleveland (OH) – Strategic communication and outreach
- Daphne Utilities (AL) – Strategic and crisis communication
- Fort Worth (TX) – Public involvement campaign
- Howard County (MD) – Assessment of recycling outreach program
- Maryland American Water (MD) – Public awareness campaign
- Washington Council of Governments (DC) – Strategic communication
- Kentucky American Water (KY) - Public outreach plan
- Loudoun Water (VA) - Strategic communication, public outreach, risk communication, crisis communication, meeting facilitation and change management
- Prince William County (VA) – Assessment of recycling outreach program
- Tennessee American Water (TN) - Public awareness campaign
- Virginia American Water (VA) - Public involvement program
- Water Research Foundation – Meeting facilitation and writing
- U.S. Department of Energy (DC) – strategic communication, branding, and public speaking training

### Specialties

- Stakeholder engagement/public involvement programs
- Strategic communications planning & execution
- Crisis & risk communications planning, messaging & execution
- Community-based social marketing (behavioural change marketing)
- Outreach program assessment & measurement
- Development & oversight of paid (advertising), earned (stories placed), shared (social) & owned media
- Writing & copyediting
- Public speaking

### Professional History

- Raftelis: Senior Consultant
- SaVi PR, LLC: Owner
- American Water: Vice President
- Loudoun Water: Manager of Communications
- CEC: Public Affairs Specialist
- Lisboa: Senior Account Manager
- Mitchell Petersen: Account Executive

### Education

- Accredited in Public Relations - The Public Relations Society of America
- Master of Science in Environmental Policy - Johns Hopkins University
- Bachelor of Science in Biology (Environmental Science) - Pennsylvania State University

### Professional Memberships

- AWWA
- International Association of Public Participation
- NACWA
- Public Relations Society of America: Board Member
- Social Marketing Association of North America

# Julie Gieseke

## VISUAL FACILITATOR

Visual Facilitator

### ROLE

Julie will provide graphic facilitation during the strategic planning workshop.

### PROFILE

Julie collaborates on projects utilizing the tools of group process and design, such as visual facilitation, creative engagement, and storytelling, to bring strategy and tactics into clear focus. She also incorporates change methodologies such as Appreciative Inquiry, Positive Psychology, StrengthsFinder, and Neurolinguistics.

Julie's unique skill set combines facilitation, active listening, and visual facilitation to bring sense-making, consensus, energy, and vibrancy to each engagement. As a consultant with The Novak Consulting Group and now Raftelis, Julie has worked on a variety of strategic planning and facilitation projects.

Julie developed her group process design through a broad range of experience. She received her master's degree in Organizational Development and Management from Fielding Graduate University, is certified as a professional coach through The Coaches Training Institute, and is a certified Master Practitioner of Neurolinguistics. Julie also received professional training through The Grove Consultants International and has been mentored by leaders in the fields of visual facilitation, facilitation, organizational development, coaching, storytelling, and performance. The result is a wide range of exposure to various approaches that culminates in a unique style that is customizable for each engagement.



### Specialties

- Visual Facilitation
- Strategic Visioning/Planning
- Executive Coaching
- Facilitation
- Team Development

### Professional History

- The Novak Consulting Group: Visual Facilitator (2011-2020)
- Map the Mind: Principal (2008-present) Visual Facilitation, Coaching, Consulting, Teaching

### Education

- Master of Arts in Organizational Development and Management - Fielding Graduate University (2008)
- Professional Coaching Certification - Coaches Training Institute (2008)
- Bachelor of Arts in Film and Video Production/Theater Arts - University of California, Santa Cruz (1988)

### Certifications

- Master Practitioner of Neurolinguistics
- Certified Professional Co-Active Coach

### Professional Memberships

- International Forum of Visual Practitioners

# Ben Kittelson

## PROJECT SUPPORT

Consultant

### ROLE

Ben will work at the direction of Julia in conducting analyses and preparing deliverables for the project.

### PROFILE

Ben began consulting in 2019 after seven years of direct service to local governments on the East and West Coast. Most recently, Ben worked for the Budget and Management Services Department in the City of Durham, North Carolina. He worked on the annual budget and the community-wide strategic plan. He completed revenue projections for sales tax and water sales, assisted with financial planning for affordable housing, and led community engagement efforts designed to inform the City’s budget process. Ben also started an innovation partnership program with local technology startup companies, which was awarded the J. Robert Havlick Award for Innovation in Local Government from the Alliance for Innovation.

As a consultant, Ben has been involved with organizational assessments for a broad range of departments – from emergency communications to human resources. He has analyzed staffing levels and organizational structure, created process maps, and developed actionable recommendations for improvement. Ben has also leveraged his experience to explore unique challenges for local governments. For example, he worked with the City of Fort Collins, Colorado, to conduct a cultural assessment of the Light and Power Utility, analyzing workplace climate and management practices.

Ben began his career in the Portland, Oregon region, where he served the Cities of Beaverton, West Linn, and Gresham, as well as Metro, the regional government for the Portland area. In those roles, he focused on community engagement, outreach, and communications initiatives. Ben expanded his experience in the Budget, Management, and Evaluation Department in Guilford County, North Carolina, where he analyzed government services such as jail operations and education funding. He also managed the County’s social media and internal employee newsletter.

In addition to his work for local governments, Ben is a founding member of Engaging Local Government Leaders (ELGL). Since 2013, ELGL has grown from a few hundred members in Oregon to over 4,800 across the nation. He produces and co-hosts ELGL’s GovLove Podcast, which discusses topics ranging from innovation and performance to equity and workforce development. He has led planning for the organization’s annual conference and written articles for the website. He currently serves as the Chair of the ELGL Board of Directors.

Ben earned a master’s degree in public administration from Portland State University and a bachelor’s in politics and economics from Willamette University.



### Specialties

- Budgeting and financial analysis
- Organizational assessment
- Strategic planning
- Innovation
- Staffing analysis

### Professional History

- The Novak Consulting Group: Consultant (2019-2020)
- City of Durham, North Carolina: Senior Budget and Management Analyst (2016-2019)
- Guilford County, North Carolina: Budget and Management Analyst (2014-2016)
- City of Gresham, Oregon: Intern (2014)
- Oregon Metro: Intern (2014)
- City of West Linn, Oregon: Intern (2013-2014)
- City of Beaverton, Oregon: Intern (2012-2013)

### Education

- Master of Public Administration - Portland State University (2014)
- Bachelor of Arts in Politics and Economics - Willamette University (2012)

### Professional Memberships

- Engaging Local Government Leaders (ELGL)
- North Carolina Local Government Budget Association (NCLGBA)

# Scope of Work

At its best, strategic planning engages individuals and strengthens a sense of community that undergirds strong civic engagement. Tapping individuals who are content, and even perhaps apathetic, creates new leaders for the future and energizes people in a positive way toward their local government. We believe that communities function best when there is engagement during good times, not just when people oppose something. By creating constructive dialogue, the community is much more likely to react productively and civilly when something occurs that might otherwise bring out nonproductive forms of engagement.

We understand the unique roles of each stakeholder. Each participant in this process comes to this engagement with a different perspective and, perhaps, conflicting priorities. Each of these viewpoints is important and valuable. It is our responsibility to work in partnership with the City to synthesize this information and facilitate a process that does the following:

- Honors and respects the diversity of opinions of participants
- Promotes group communication and collaboration through inclusivity and community building
- Provides useful information and direction for decision making and priority setting

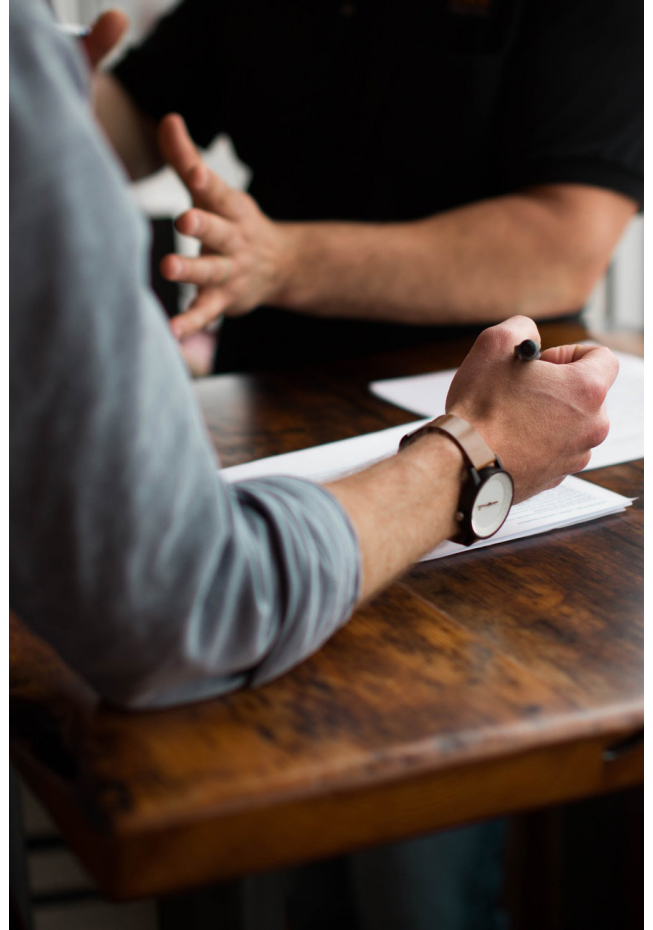
Effective and efficient project management will be critical for ensuring the successful completion of this engagement. Therefore, our approach is to work collaboratively with the City to ensure all expectations are articulated from the start. We remain in close contact with our clients throughout all phases of each engagement to ensure these expectations are met. This also allows us to quickly address any contingencies that may arise. Our experience with similar work enables us to hit the ground running.

A strategic planning process involves several steps:

- Articulating a clear vision for the community and mission for the organization
- Preparing an environmental scan that identifies the factors affecting the community and organization
- Establishing goals
- Identifying priority strategies
- Creating implementation plans that become the focus of activity and engagement long after the process itself has finished.

The process of developing a strategic plan explores three specific questions:

- What do we know to be true?
- What do we hope will be true in the future?



- What must go well in order to make it so?

In this way, a strategic plan is a roadmap to move a community toward its intended vision.

The following outlines our proposed approach to developing a strategic plan with the City of Key West.

## ACTIVITY 1 Begin Engagement

A successful process will benefit from a collaborative relationship between the consulting team and the City from the very beginning of the process. This task is intended to begin building that relationship.

At the start of this engagement, we will request and review all background information, including all other planning documents, resource materials, and other relevant data. Next, Raftelis/TNCG will meet with the City's project team to gain a clear picture of what the City hopes to accomplish from this process. We will develop a project charter with the team and discuss communication and engagement strategies for the project. We want to ensure that we have a shared understanding of how to develop the plan. We will review the project plan, and we will finalize the timelines and schedule.

As part of this process, we will conduct individual meetings with each member of the City

Commission to hear their perspective about the strategic plan and to develop an understanding of the City’s processes, operations, and prior planning efforts. We will also conduct a SWOC (strengths, weaknesses, opportunities, and challenges) exercise with each of them. A meeting with the City’s Management Team will also be conducted to engage them in a SWOC exercise.

**ACTIVITY 2**  
**Conduct Situational Analysis**

The Key West community and City staff represent important stakeholders in this process, and a strategic plan is best when touched by as many people as possible.

To engage the community, we will conduct two community forums, open to any member of the public, to solicit input for the strategic plan. For this process, we often use the World Café format to actively engage participants and encourage community building. Significant care will be taken to ensure that the perspectives of underrepresented populations are sought. Through conversation with the City, we will develop strategies for outreach, including, but not limited to, community and senior centers, health clinics, and other appropriate mechanisms. Should social distancing protocols remain in place, we have identified a variety of alternative means of community engagement that could be employed.

We will also conduct a focus group session with chairs of the City’s various boards and commissions to seek their unique perspective on the City

government and the Key West community.

To engage City staff, we will develop and administer an employee survey to seek input on the City’s mission statement and organizational values.

A summary of all input received will be prepared.

**ACTIVITY 3**  
**Facilitate Development of Strategic Planning Framework**

Once the information from the employees is collected, we will facilitate a workshop with the City’s Management Team (or designated staff) to develop a proposed organizational mission and values for the Commission’s consideration as part of the larger strategic plan.

Based on our conversations with the City, we will prepare a draft agenda for the strategic planning session to be reviewed by the City. Raftelis/TNCG will then facilitate the strategic planning session with the City Commission and key staff to articulate a desired future for the community. The results of the stakeholder input process will be reviewed to provide context for the vision and goals. The organizational mission and values will also be reviewed and affirmed.

The session will include activities with the entire group as well as small group breakout sessions that will allow everyone to actively participate in the process. During the session, the primary role of the facilitator is to ensure that the environment is respectful and conducive to open and



constructive dialogue so that the established objectives are ultimately met. While the agenda provides the structure to accomplish the tasks, we also know how important it is to pay attention to the group and make sure that conversations that need to happen actually happen, so we are flexible and in tune with the group during the process.

**ACTIVITY 4**  
**Engage Organization in Implementation**

Achievement of the strategic plan will rest on successful implementation. Therefore, we will work with City staff teams to identify ongoing processes that will help reinforce the strategic plan throughout the organization. We will also work collaboratively to develop key performance indicators for each goal area in the strategic plan. This will allow the organization, the City Commission, and the community to track progress. We will work with staff to identify appropriate methods for

integrating key organizational processes into the overall strategic plan framework.

Once the metrics are developed and approved by the City, we will work with the project team to develop implementation plans and templates for the goals included in the strategic plan.

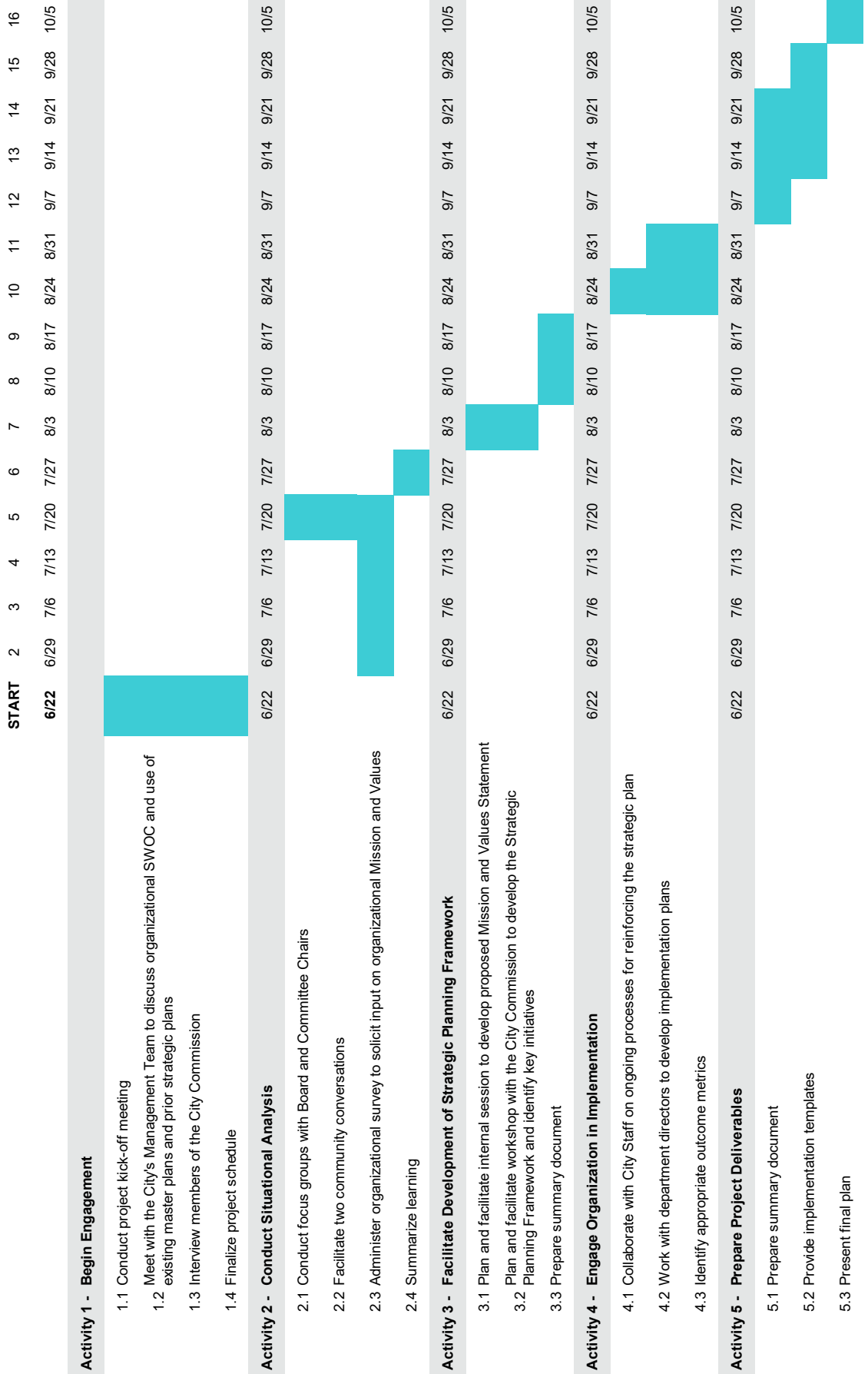
Raftelis/TNCG will work with the City to discuss the process for regularly updating the plan and communicating results.

**ACTIVITY 5**  
**Prepare Project Deliverables**

After the above activities, Raftelis/TNCG will prepare a comprehensive deliverable that includes the results of the process. We will review the draft deliverables with the City and make any necessary modifications before finalization.

# Timeline

A draft timeline is included. We expect to refine this with the City during Activity 1.



## PART 2

# FORMS AND AFFIDAVITS

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### PROPOSER’S QUALIFICATION STATEMENT

The undersigned certifies under oath that the information provided herein is true and sufficiently complete so as not to be misleading.

PROJECT NAME: Strategic Planning Services

SUBMITTED TO: The City of Key West  
1300 White Street  
Key West, FL 33040

SUBMITTED BY:  
Company Name: Raftelis Financial Consultants, Inc. Corporation  X

Company Website: www.raftelis.com Partnership

Principle’s Name: Tony Hairston Individual

Principle’s Title: Vice President Joint Vent

Address 1: 341 N. Maitland Avenue, Suite 300, Maitland, FL 32751 Other

Address 2: 227 W. Trade Street, Suite 1400, Charlotte, NC 28202

Contact Email: jnovak@raftelis.com

LICENSING:

State of Florida License No. F05000000923 Expires N/A

Raftelis is licensed to conduct the requested services in the state of Florida.  
See attached documentation as evidence of license to do business.

PROPOSER REFERENCES: List references, including contact name of whom we may call.



Reference List			
Reference	Contact Name	Phone	Email
Town of Hilton Head Island, South Carolina	Steve Riley, Town Manager	843.341.4701	SteveR@hiltonheadistandsc.org
Town of Nantucket, Massachusetts	Libby Gibson, Town Manager	508.228.7200 ext. 7305	LGibson@nantucket-ma.gov
City of Manhattan Beach, California	Nadine Nader, Assistant City Manager of City of Santa Clara (formerly Manhattan Beach)	408.615.2228	nnader@santaclaraca.gov
Town of Yountville, California	Steve Rogers, Town Manager	707.944.8851	SRogers@yville.com
City of Fort Collins, Colorado	Darin Atteberry, City Manager	970.221.6505	datteberry@fcgov.com
City of League City, Texas	Cgden "Bo" Bass, Assistant City Manager	281.554.1000	bo.bass@leaguecitytx.gov

I certify under oath that all the information herein is true.

*Anthony Hairston*  
Signature

State of Florida  
County of ORANGE

Sworn to (or affirmed) and subscribed before me this 20<sup>th</sup> day of APRIL, 2020

By ANTHONY HAIRSTON

(Seal)



*Donna L. Cox*  
Signature of Notary

Personally Known   
Produced Identification \_\_\_\_\_  
Type Produced \_\_\_\_\_

DONNA L. COX  
Print

9/11/2018

Detail by Entity Name

DIVISION OF CORPORATIONS



[Department of State](#) / [Division of Corporations](#) / [Search Records](#) / [Detail By Document Number](#) /

**Detail by Entity Name**

Foreign Profit Corporation  
 RAFTELIS FINANCIAL CONSULTANTS, INC.

**Filing Information**

**Document Number** F05000000923  
**FEI/EIN Number** 20-1054069  
**Date Filed** 02/10/2005  
**State** NC  
**Status** ACTIVE

**Principal Address**

227 West Trade Street  
 Suite 1400  
 Charlotte, NC 28202

Changed: 02/09/2017

**Mailing Address**

227 WEST TRADE STREET  
 SUITE 1400  
 CHARLOTTE, NC 28202

Changed: 07/06/2016

**Registered Agent Name & Address**

HAIRSTON, ANTHONY  
 463 Wilford Avenue  
 Longwood, FL 32750

Name Changed: 01/23/2015

Address Changed: 01/23/2015

**Officer/Director Detail**

**Name & Address**

Title CORPORATE SECRETARY

JACKSON, MATTHEW R.  
 227 West Trade Street  
 Suite 1400  
 Charlotte, NC 28202

9/11/2018

Detail by Entity Name

Title President, CEO

BRANDT, PEIFFER A.  
227 West Trade Street  
Suite 1400  
Charlotte, NC 28202

Title Chairman

STANNARD, WILLIAM G  
227 WEST TRADE STREET  
SUITE 1400  
CHARLOTTE, NC 28202

**Annual Reports**

Report Year	Filed Date
2016	05/06/2016
2017	02/09/2017
2018	02/22/2018

**Document Images**

<a href="#">02/22/2018 -- ANNUAL REPORT</a>	View image in PDF format
<a href="#">02/09/2017 -- ANNUAL REPORT</a>	View image in PDF format
<a href="#">07/06/2016 -- AMENDED ANNUAL REPORT</a>	View image in PDF format
<a href="#">05/06/2016 -- ANNUAL REPORT</a>	View image in PDF format
<a href="#">12/10/2015 -- AMENDED ANNUAL REPORT</a>	View image in PDF format
<a href="#">01/23/2015 -- ANNUAL REPORT</a>	View image in PDF format
<a href="#">04/21/2014 -- ANNUAL REPORT</a>	View image in PDF format
<a href="#">04/16/2013 -- ANNUAL REPORT</a>	View image in PDF format
<a href="#">01/03/2012 -- ANNUAL REPORT</a>	View image in PDF format
<a href="#">01/03/2011 -- ANNUAL REPORT</a>	View image in PDF format
<a href="#">01/31/2010 -- ANNUAL REPORT</a>	View image in PDF format
<a href="#">02/13/2009 -- ANNUAL REPORT</a>	View image in PDF format
<a href="#">02/29/2008 -- ANNUAL REPORT</a>	View image in PDF format
<a href="#">02/25/2007 -- ANNUAL REPORT</a>	View image in PDF format
<a href="#">07/19/2006 -- ANNUAL REPORT</a>	View image in PDF format
<a href="#">02/10/2005 -- Foreign Profit</a>	View image in PDF format





**SWORN STATEMENT UNDER SECTION 287.133(3)(a)  
FLORIDA STATUTES ON PUBLIC ENTITY CRIMES**

**THIS FORM MUST BE SIGNED IN THE PRESENCE OF A NOTARY PUBLIC OR OTHER OFFICE AUTHORIZED TO ADMINISTER OATHS.**

1. This sworn statement is submitted with Bid, Bid or Contract No. RFP # 005-20 for Strategic Planning Services
  
2. This sworn statement is submitted by Raftelis Financial Consultants, Inc.  
(Name of entity submitting sworn statement)  
 whose business address is 341 N. Maitland Avenue, Suite 300, Maitland, FL 32751  
 and (if applicable) its Federal Employer Identification Number (FEIN) is 20-1054069 (If the entity has no FEIN, include the Social Security Number of the individual signing this sworn statement.)
  
3. My name is Tony Hairston and my relationship to  
(Please print name of individual signing)  
 the entity named above is Vice President.
  
4. I understand that a "public entity crime" as defined in Paragraph 287.133(1)(g), Florida Statutes, means a violation of any state or federal law by a person with respect to and directly related to the transaction of business with any public entity or with an agency or political subdivision of any other state or with the United States, including but not limited to, any Bid or contract for goods or services to be provided to any public entity or an agency or political subdivision of any other state or of the United States and involving antitrust, fraud, theft, bribery, collusion, racketeering, conspiracy, material misrepresentation.
  
5. I understand that "convicted" or "conviction" as defined in Paragraph 287.133(1)(b), Florida Statutes, means a finding of guilt or a conviction of a public entity crime, with or without an adjudication of guilt, in any federal or state trial court of record relating to charges brought by indictment information after July 1, 1989, as a result of a jury verdict, nonjury trial, or entry of a plea of guilty or nolo contendere.
  
6. I understand that an "affiliate" as defined in Paragraph 287.133(1)(a), Florida Statutes, means
  1. A predecessor or successor of a person convicted of a public entity crime: or
  2. An entity under the control of any natural person who is active in the management of the entity and who has been convicted of a public entity crime. The term "affiliate" includes those officers, directors, executives, partners, shareholders, employees, members, and agents who are active in the management of an affiliate. The ownership by one person of shares constituting controlling interest in another person, or a pooling of equipment or income among persons when not for fair market value under an arm's length agreement, shall be a prima facie case that one person controls another person. A person who knowingly enters into a joint venture with a person who has been convicted of a public entity crime in Florida during the preceding 36 months shall be considered an affiliate.
  
7. I understand that a "person" as defined in Paragraph 287.133(1)(8), Florida Statutes, means any natural person or entity organized under the laws of any state or of the United States with the legal power to enter

into a binding contract and which Bids or applies to Bid on contracts for the provision of goods or services let by a public entity, or which otherwise transacts or applies to transact business with a public entity. The term "person" includes those officers, directors, executives, partners, shareholders, employees, members, and agents who are active in management of an entity.

8. Based on information and belief, the statement, which I have marked below, is true in relation to the entity submitting this sworn statement. (Please indicate which statement applies.)

X Neither the entity submitting this sworn statement, nor any officers, directors, executives, partners, shareholders, employees, members, or agents who are active in management of the entity, nor any affiliate of the entity have been charged with and convicted of a public entity crime subsequent to July 1, 1989.

     The entity submitting this sworn statement, or one or more of the officers, directors, executives, partners, shareholders, employees, members, or agents who are active in management of the entity, or an affiliate of the entity has been charged with and convicted of a public entity crime subsequent to July 1, 1989, AND (Please indicate which additional statement applies.)

     There has been a proceeding concerning the conviction before a hearing of the State of Florida, Division of Administrative Hearings. The final order entered by the hearing officer did not place the person or affiliate on the convicted vendor list. (Please attach a copy of the final order.)

     The person or affiliate was placed on the convicted vendor list. There has been a subsequent proceeding before a hearing officer of the State of Florida, Division of Administrative Hearings. The final order entered by the hearing officer determined that it was in the public interest to remove the person or affiliate from the convicted vendor list. (Please attach a copy of the final order.)

     The person or affiliate has not been put on the convicted vendor list. (Please describe any action taken by or pending with the Department of General Services.)

Anthony Houston  
(Signature)

STATE OF FLORIDA (Date)

COUNTY OF ORANGE

PERSONALLY, APPEARED BEFORE ME, the undersigned authority,

ANTHONY HAIRSTON  
(Name of individual signing)

who, after first being sworn by me, affixed his/her signature in the

space provided above on this 20<sup>th</sup> day of APRIL, 2020.

My commission expires: 4/16/2023 Donna L. Cox  
NOTARY PUBLIC



**INDEMNIFICATION**

To the fullest extent permitted by law, the CONSULTANT expressly agrees to indemnify and hold harmless the City of Key West, their officers, directors, agents, and employees (herein called the "indemnitees") from liabilities, damages, losses and costs, including, but not limited to, reasonable attorney's fees and court costs, such legal expenses to include costs incurred in establishing the indemnification and other rights agreed to in this Paragraph, to persons or property, to the extent caused by the negligence, recklessness, or intentional wrongful misconduct of the CONSULTANT, its Sub-consultants or persons employed or utilized by them in the performance of the Contract. Claims by indemnitees for indemnification shall be limited to the amount of CONSULTANT's insurance or \$1 million per occurrence, whichever is greater. The parties acknowledge that the amount of the indemnity required hereunder bears a reasonable commercial relationship to the Contract and it is part of the project specifications or the bid documents, if any.

The indemnification obligations under the Contract shall not be restricted in any way by any limitation on the amount or type of damages, compensation, or benefits payable by or for the CONSULTANT under workers' compensation acts, disability benefits acts, or other employee benefits acts, and shall extend to and include any actions brought by or in the name of any employee of the CONSULTANT or of any third party to whom CONSULTANT may subcontract a part or all the Work. This indemnification shall continue beyond the date of completion of the work.

: Raftelis Financial Consultants, Inc.

SEAL:



341 N. Maitland Avenue, Suite 300, Maitland, FL 32751

Address

*Tony Hairston*

Signature

Tony Hairston

Print Name

Vice President

Title

4/16/2023

Date



**EQUAL BENEFITS FOR DOMESTIC PARTNERS AFFIDAVIT**

STATE OF FLORIDA )  
 : SS  
COUNTY OF ORANGE )

I, the undersigned hereby duly sworn, depose and say that the firm of Raftelis Financial Consultants, Inc. provides benefits to domestic partners of its employees on the same basis as it provides benefits to employees' spouses per City of Key West Ordinance Sec. 2-799.

By: Andy Hovist

Sworn and subscribed before me this

20<sup>TH</sup> day of APRIL, 2020.

Donna L. Cox  
NOTARY PUBLIC, State of FLORIDA at Large



My Commission Expires: 4/16/2023

**City Ordinance Sec. 2-799  
Requirements for City Contractors to Provide Equal Benefits for Domestic Partners**

(a) Definitions. For purposes of this section only, the following definitions shall apply:

- (1) **Benefits** means the following plan, program or policy provided or offered by a contractor to its employees as part of the employer's total compensation package: sick leave, bereavement leave, family medical leave, and health benefits.
- (2) **Bid** shall mean a competitive bid procedure established by the city through the issuance of an invitation to bid, request for proposals, request for qualifications, or request for letters of interest.
- (3) **Cash equivalent** means the amount of money paid to an employee with a domestic partner in lieu of providing benefits to the employee's domestic partner. The cash equivalent is equal to the employer's direct expense of providing benefits to an employee for his or her spouse.

The cash equivalents of the following benefits apply:

- a. For bereavement leave, cash payment for the number of days that would be allowed as paid time off for the death of a spouse. Cash payment would be in the form of the wages of the domestic partner employee for the number of days allowed.
  - b. For health benefits, the cost to the contractor of the contractor's share of the single monthly premiums that are being paid for the domestic partner employee, to be paid on a regular basis while the domestic partner employee maintains such insurance in force for himself or herself.
  - c. For family medical leave, cash payment for the number of days that would be allowed as time off for an employee to care for a spouse who has a serious health condition. Cash payment would be in the form of the wages of the domestic partner employee for the number of days allowed.
- (4) **Contract** means any written agreement, purchase order, standing order or similar instrument entered into pursuant to the award of a bid whereby the city is committed to expend or does expend funds in return for work, labor, professional services, consulting services, supplies, equipment, materials, construction, construction related services or any combination of the foregoing.
  - (5) **Contractor** means any person or persons, sole proprietorship, partnership, joint venture, corporation, or other form of doing business, that is awarded a bid and enters into a covered contract with the city, and which maintains five (5) or more full-time employees.
  - (6) **Covered contract** means a contract between the city and a contractor awarded subsequent to the date when this section becomes effective valued at over twenty thousand dollars (\$20,000).
  - (7) **Domestic partner** shall mean any two adults of the same or different sex, who have registered as domestic partners with a governmental body pursuant to state or local law authorizing such registration, or with an internal registry maintained by the employer of at least one of the domestic partners. A contractor may institute an internal registry to allow for the provision of equal benefits to employees with domestic partner who do not register their partnerships pursuant to a governmental body authorizing such registration, or who are located in a jurisdiction where no such governmental domestic partnership registry exists. A contractor that institutes such registry shall not impose criteria for registration that are more stringent than those required for domestic partnership registration by the City of Key West pursuant to Chapter 38, Article V of the Key West Code of Ordinances.
  - (8) **Equal benefits** mean the equality of benefits between employees with spouses and employees with domestic partners, and/or between spouses of employees and domestic partners of employees.

(b) Equal benefits requirements.

- (1) Except where otherwise exempt or prohibited by law, a Contractor awarded a covered contract pursuant to a bid process shall provide benefits to domestic partners of its employees on the same basis as it provides benefits to employees' spouses.

- (2) All bid requests for covered contracts which are issued on or after the effective date of this section shall include the requirement to provide equal benefits in the procurement specifications in accordance with this section.
  - (3) The city shall not enter into any covered contract unless the contractor certifies that such contractor does not discriminate in the provision of benefits between employees with domestic partners and employees with spouses and/or between the domestic partners and spouses of such employees.
  - (4) Such certification shall be in writing and shall be signed by an authorized officer of the contractor and delivered, along with a description of the contractor's employee benefits plan, to the city's procurement director prior to entering into such covered contract.
  - (5) The city manager or his/her designee shall reject a contractor's certification of compliance if he/she determines that such contractor discriminates in the provision of benefits or if the city manager or designee determines that the certification was created or is being used for evading the requirements of this section.
  - (6) The contractor shall provide the city manager or his/her designee, access to its records for the purpose of audits and/or investigations to ascertain compliance with the provisions of this section, and upon request shall provide evidence that the contractor is in compliance with the provisions of this section upon each new bid, contract renewal, or when the city manager has received a complaint or has reason to believe the contractor may not be in compliance with the provisions of this section. This shall include but not be limited to providing the city manager or his/her designee with certified copies of all of the contractor's records pertaining to its benefits policies and its employment policies and practices.
  - (7) The contractor may not set up or use its contracting entity for the purpose of evading the requirements imposed by this section.
- (c) Mandatory contract provisions pertaining to equal benefits. Unless otherwise exempt, every covered contract shall contain language that obligates the contractor to comply with the applicable provisions of this section. The language shall include provisions for the following:
- (1) During the performance of the covered contract, the contractor certifies and represents that it will comply with this section.
  - (2) The failure of the contractor to comply with this section will be deemed to be a material breach of the covered contract.
  - (3) If the contractor fails to comply with this section, the city may terminate the covered contract and all monies due or to become due under the covered contract may be retained by the city. The city may also pursue any and all other remedies at law or in equity for any breach.
  - (4) If the city manager or his designee determines that a contractor has set up or used its contracting entity for the purpose of evading the requirements of this section, the city may terminate the covered contract.
- (d) Enforcement. If the contractor fails to comply with the provisions of this section:
- (1) The failure to comply may be deemed to be a material breach of the covered contract; or
  - (2) The city may terminate the covered contract; or
  - (3) Monies due or to become due under the covered contract may be retained by the city until compliance is achieved; or
  - (4) The city may also pursue any and all other remedies at law or in equity for any breach;
  - (5) Failure to comply with this section may also subject contractor to the procedures set forth in Division 5 of this article, entitled "Debarment of contractors from city work."
- (e) Exceptions and waivers.
- The provisions of this section shall not apply where:
- (1) The contractor does not provide benefits to employees' spouses.
  - (2) The contractor is a religious organization, association, society or any non-profit charitable or

educational institution or organization operated, supervised or controlled by or in conjunction with a religious organization, association or society.

- (3) The contractor is a governmental entity.
- (4) The sale or lease of city property.
- (5) The provision of this section would violate grant requirement, the laws, rules or regulations of federal or state law (for example, the acquisition services procured pursuant to Chapter 287.055, Florida Statutes known as the "Consultants' Competitive Negotiation Act").
- (6) Provided that the contractor does not discriminate in the provision of benefits, a contractor may also comply with this section by providing an employee with the cash equivalent of such benefits, if the city manager or his/her designee determines that either:
  - a. The contractor has made a reasonable yet unsuccessful effort to provide equal benefits. The contractor shall provide the city manager or his/her designee with sufficient proof of such inability to provide such benefit or benefits which shall include the measures taken to provide such benefits or benefits and the cash equivalent proposed, along with its certificate of compliance, as is required under this section.
- (7) The city commission waives compliance of this section in the best interest of the city, including but not limited to the following circumstances:
  - a. The covered contract is necessary to respond to an emergency. b. Where only one bid response is received.
  - c. Where more than one bid response is received, but the bids demonstrate that none of the bidders can comply with the requirements of this section.
- (f) City's authority to cancel contract. Nothing in this section shall be construed to limit the city's authority to cancel or terminate a contract, deny or withdraw approval to perform a subcontract or provide supplies, issue a non-responsibility finding, issue a non-responsiveness finding, deny a person or entity prequalification, or otherwise deny a person or entity city business.
- (g) Timing of application. This section shall be applicable only to covered contracts awarded pursuant to bids which are after the date when this section becomes effective.

**CONE OF SILENCE AFFIDAVIT**

STATE OF FLORIDA )  
 : SS  
COUNTY OF ORANGE )

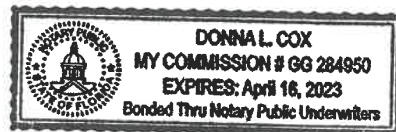
I the undersigned hereby duly sworn depose and say that all owner(s), partners, officers, directors, employees and agents representing the firm of Raftelis Financial Consultants, Inc. have read and understand the limitations and procedures regarding communications concerning City of Key West issued competitive solicitations pursuant to City of Key West Ordinance Section 2-773 Cone of Silence (attached).

Andy Haust  
(signature)  
April 20, 2020  
(date)

Sworn and subscribed before me this  
20<sup>th</sup> Day of APRIL, 2020.

Donna L. Cox  
NOTARY PUBLIC, State of FLORIDA at Large

My Commission Expires: 4/16/2023



**City Ordinance Sec. 2-773. - Cone of silence.**

- (a) *Definitions.* For purposes of this section, reference to one gender shall include the other, use of the plural shall include the singular, and use of the singular shall include the plural. The following definitions apply unless the context in which the word or phrase is used requires a different definition:
  - (1) *Competitive solicitation* means a formal process by the City of Key West relating to the acquisition of goods or services, which process is intended to provide an equal and open opportunity to qualified persons and entities to be selected to provide the goods or services. Competitive solicitation shall include request for proposals ("RFP"), request for qualifications ("RFQ"), request for letters of interest ("RFLI"), invitation to bid ("ITB") or any other advertised solicitation.
  - (2) *Cone of silence* means a period of time during which there is a prohibition on communication regarding a particular competitive solicitation.
  - (3) *Evaluation or selection committee* means a group of persons appointed or designated by the city to evaluate, rank, select, or make a recommendation regarding a vendor or the vendor's response to the competitive solicitation. A member of such a committee shall be deemed a city official for the purposes of subsection (c) below.
  - (4) *Vendor* means a person or entity that has entered into or that desires to enter into a contract with the City of Key West or that seeks an award from the city to provide goods, perform a service, render an opinion or advice, or make a recommendation related to a competitive solicitation for compensation or other consideration.
  - (5) *Vendor's representative* means an owner, individual, employee, partner, officer, or member of the board of directors of a vendor, or a consultant, lobbyist, or actual or potential subcontractor or sub-consultant who acts at the behest of a vendor in communicating regarding a competitive solicitation.
- (b) *Prohibited communications.* A cone of silence shall be in effect during the course of a competitive solicitation and prohibit:
  - (1) Any communication regarding a particular competitive solicitation between a potential vendor or vendor's representative and the city's administrative staff including, but not limited to, the city manager and his or her staff;
  - (2) Any communication regarding a particular competitive solicitation between a potential vendor or vendor's representative and the mayor, city commissioners, or their respective staff;
  - (3) Any communication regarding a particular competitive solicitation between a potential vendor or vendor's representative and any member of a city evaluation and/or selection committee therefore; and
  - (4) Any communication regarding a particular competitive solicitation between the mayor, city commissioners, or their respective staff, and a member of a city evaluation and/or selection committee therefore.
- (c) *Permitted communications.* Notwithstanding the foregoing, nothing contained herein shall prohibit:
  - (1) Communication between members of the public who are not vendors or a vendor's representative and any city employee, official or member of the city commission;
  - (2) Communications in writing at any time with any city employee, official or member of the city commission, unless specifically prohibited by the applicable competitive solicitation.
    - (A) However, any written communication must be filed with the city clerk. Any city employee, official or member of the city commission receiving or making any written communication must immediately file it with the city clerk.
    - (B) The city clerk shall include all written communication as part of the agenda item when publishing information related to a particular competitive solicitation;
  - (3) Oral communications at duly noticed pre-bid conferences;
  - (4) Oral presentations before publicly noticed evaluation and/or selection committees;

- (5) Contract discussions during any duly noticed public meeting;
  - (6) Public presentations made to the city commission or advisory body thereof during any duly noticed public meeting;
  - (7) Contract negotiations with city staff following the award of a competitive solicitation by the city commission; or
  - (8) Purchases exempt from the competitive process pursuant to section 2-797 of these Code of Ordinances;
- (d) *Procedure.*
- (1) The cone of silence shall be imposed upon each competitive solicitation at the time of public notice of such solicitation as provided by section 2-826 of this Code. Public notice of the cone of silence shall be included in the notice of the competitive solicitation. The city manager shall issue a written notice of the release of each competitive solicitation to the affected departments, with a copy thereof to each commission member, and shall include in any public solicitation for goods and services a statement disclosing the requirements of this ordinance.
  - (2) The cone of silence shall terminate at the time the city commission or other authorized body makes final award or gives final approval of a contract, rejects all bids or responses to the competitive solicitation, or takes other action which ends the competitive solicitation.
  - (3) Any city employee, official or member of the city commission that is approached concerning a competitive solicitation while the cone of silence is in effect shall notify such individual of the prohibitions contained in this section. While the cone of silence is in effect, any city employee, official or member of the city commission who is the recipient of any oral communication by a potential vendor or vendor's representative in violation of this section shall create a written record of the event. The record shall indicate the date of such communication, the persons with whom such communication occurred, and a general summation of the communication.
- (e) *Violations/penalties and procedures.*
- (1) A sworn complaint alleging a violation of this ordinance may be filed with the city attorney's office. In each such instance, an initial investigation shall be performed to determine the existence of a violation. If a violation is found to exist, the penalties and process shall be as provided in section 1-15 of this Code.
  - (2) In addition to the penalties described herein and otherwise provided by law, a violation of this ordinance shall render the competitive solicitation void at the discretion of the city commission.
  - (3) Any person who violates a provision of this section shall be prohibited from serving on a City of Key West advisory board, evaluation and/or selection committee.
  - (4) In addition to any other penalty provided by law, violation of any provision of this ordinance by a City of Key West employee shall subject said employee to disciplinary action up to and including dismissal.
  - (5) If a vendor is determined to have violated the provisions of this section on two more occasions it shall constitute evidence under City Code section 2-834 that the vendor is not properly qualified to carry out the obligations or to complete the work contemplated by any new competitive solicitation. The city's purchasing agent shall also commence any available debarment from city work proceeding that may be available upon a finding of two or more violations by a vendor of this section.

(Ord. No. 13-11, § 1, 6-18-2013)

**PROPOSER’S CHECKLIST**

(Note: The purpose of this checklist is to serve as a reminder of major items to be addressed in submitting a proposal and is not intended to be all inclusive. It does not alleviate the proposer from the responsibility of becoming familiar with all aspects of these Documents and proper completion and submission of his proposal.)

- 1. All included documents thoroughly read and understood.   X
- 2. Addenda acknowledged.   X
- 3. Qualification Form filled out.   X
- 4. Responses submitted in the following order:   X  
  - a. Cover Letter
  - b. Table of Contents
  - c. Executive Summary
  - d. Qualification Statement
  - e. Required Forms & Affidavits
  - f. Addendum acknowledgment
- 5. Proposer familiar with federal, state and local laws, ordinances, rules and regulations affecting performance of the work.
- 6. Proposal submitted in sealed envelope and addressed and labeled in conformance with the instruction in the RFP.



# Pricing

The total fixed fee to complete the scope of work outlined in this proposal is **\$85,000**. This fee includes all professional fees and expenses.



## Addendum #1

With the due date of the City's RFP # 005-20 for Strategic Planning Services approaching, we are following up again about a few submittal requirements. We submitted the questions below prior to the extension of the opening date and we were hoping you could answer them for us.

1. Our production staff are located in areas where stay-at-home orders are in place. As such, we are wondering if we could submit our proposal via email only in lieu of the hard copies requested in the RFP, to avoid our staff needing to come into the office to print and ship the proposal. Please let us know if this electronic submission would be acceptable. **No electronic copies can be submitted.**
2. Also, would a signature be sufficient for the requested forms that are required to be notarized, since meeting with a notary might not be possible at this time? **The forms must be notarized**
3. Do front/back covers, table of contents, required forms, resumes, and addendum acknowledgement count towards the 20-page limit? **No**

Raftelis acknowledges receipt of Addendum 1.

*Julia Novak*



## Addendum #2

The Proposer's Qualification Statement (p 2) asks for the State License number. The Department of Business and Professional Regulation (DBPR) does not cover "Consulting" as a field they license. I do, however, have a current city of Key West License and corresponding number. Will that suffice for the application? If not, is there some other license I should acquire?

**Consulting businesses are considered a general service and only requires the Sunbiz document showing their business name is registered with the State of Florida. Unless the applicant is a state licensed professional a DBPR license is not required.**

Raftelis acknowledges receipt of Addendum 2.

*Julia Novak*