**Department of Employee Trust** **Funds**

P.O. Box 7931

Madison, WI 53707-7931

**Appendix 1 & 2**

**RFP ETJ0057**

**Competency Based Performance Management**

**Consulting Services**

**Appendix 1**

**General Questionnaire**

**This General Questionnaire section is scored. (300 total points)**

The purpose of this questionnaire is to provide the Department with a basis for determining the Proposer’s capability to undertake the Contract.

All Proposers must respond to the questions/requirements below by restating the question or requirement and the identifying number of each (for example, 1.1 or 1.3.i.a), and providing a detailed written response. The Proposal, at a minimum, must address the items listed below, and be organized and labeled in the order indicated below. Instructions for formatting the written response to this section are found in RFP Section 2.4 Proposal Organization and Format.

Include your answers to this Questionnaire and all requested documents associated with the questions/requirements below in Tab 2 of your Proposal. Label all documents provided with the question or requirement number it applies to.

The Proposer must be able to perform the Services according to the requirements contained in this RFP.

The Proposer must provide sufficient detail for the evaluation committee and the Department to understand how the Proposer will comply with each requirement. If the Proposer believes Proposer’s qualifications go beyond the minimum requirements or add value, indicate those capabilities in the appropriate section of the Proposal. **Associated costs should ONLY be listed in the Cost Proposal. Do not include cost/pricing information in any other section of the Proposal.**

**1.0 Staffing and Experience**

|  |  |
| --- | --- |
| 1.1 | Contact Information  Provide Proposer’s company name, main office address, website, telephone number and name of the authorized official responsible for all activities relating to the Proposal. |
| 1.2 | **Firm Experience**  Proposer must have at least 15 years of direct related experience conducting **all** of the following with public pension funds or government, financial, insurance sectors: human resources consulting, competency and benchmark development, competency framework development/selection and implementation, selection and implementation of performance management systems and related transition management, training, and executive consulting services, project management related to delivery of above services. Confirm in writing that Proposer has the above-listed experience and provide a summary of the Proposer’s general qualifications to provide the services described in Appendix 2 – Requirements and Technical Questionnaire. |
| 1.3 | **Firm Profile**  i. Describe:   1. Number of employees. 2. Proposer’s contribution to or involvement with professional organizations, such as the Society for Human Resource Management (SHRM®) and Institute of Human Resources Management (IHRM®). 3. Proposer’s competency-based management capability as well as development of and connecting performance management system with the holistic employee lifecycle. 4. The location of Proposer’s office(s), and number of employees in that office or offices, from which the work on this engagement is to be sourced.   ii. Submit Proposer’s audited financial statements for the two (2) most recent fiscal years including the audit opinion, balance sheet, statement of operations, and notes to the financial statements, or evidence of the firm’s financial and organizational stability. |
| 1.4 | **Management Profile**  Identify Proposer’s principal supervisory and management staff, including engagement partners, managers, other supervisors and specialists who would be assigned to this engagement. Include:   1. Information on the qualifications, experience, training, and consulting experience of each person who will be involved with this engagement, including certifications or educational credentials from organizations such as The Society for Human Resource Management (SHRM®), Institute of Human Resources Management (IHRM®), Association for Talent Development (ATD), International Coach Federation (ICF), Masters of Science in HR (MSHR) and membership in professional organizations relevant to the performance of the services solicited in this RFP. 2. Whether or not the persons listed above, in the past five (5) years, have been the subject of any disciplinary action or inquiry in any jurisdiction. Senior managers who may be assigned to this engagement must be specifically identified. |
| 1.5 | **Ownership and Client Profile**  Describe Proposer’s principal business and client base. The response must address the following:   1. Proposer’s volume of business and market share in relation to the services solicited in this RFP. 2. The types of services provided by the Proposer’s office that will manage this engagement. List separately engagements that are relevant to the proposed services with public pension funds, insurance or financial industry clients, state, federal and non-profit organizations, including type and scope of engagements in the past three years. 3. Is Proposer a subsidiary or affiliate of another company? Describe in detail. 4. Provide full disclosure of all direct or indirect ownership of Proposer, including information regarding all situations where any insurance or investment company has any ownership or monetary interest in Proposer. 5. Any pending agreements to merge or sell the firm. |
| 1.8 | **Discipline and Litigation**  Describe any disciplinary actions or inquiry during the past five (5) years.   1. Provide detailed and specific information regarding all situations where Proposer has been investigated, cited, or threatened with a citation or disciplinary action, by any certifying body, state or federal regulatory agency within the last five (5) calendar years. Provide a detailed description of any litigation involving contracts in which your firm has been or is involved. The response must include all such situations including the date such action was initiated and how the matter was resolved. 2. Has Proposer been subject to any litigation alleging breach of contract, contract default, fraud, breach of fiduciary duty, or other willful or negligent misconduct? If so, provide details including dates and outcomes. The Department reserves the right to reject a Proposal based on this information. 3. Provide information for all situations where a contract has been canceled or where a contract was not renewed due to the fault or alleged fault on the part of Proposer.   During the term of the Contract, Contractor shall keep the Department apprised of any litigation or disciplinary action the Contractor may become involved in. |
| 1.9 | **Quality Control**  Proposer must have an internal quality control system in place.   1. Describe Proposer’s internal quality control procedures for keeping good records, documenting business processes, checking for errors, and reviewing processes for effectiveness and opportunities to improve. 2. Describe how Proposer’s quality control processes would be applied to each statement of work for the projects described in Appendix 2. |
| 1.10 | **Current Resources**  Provide a statement as to the extent to which Proposer can perform the proposed Services using only present staff and computer equipment/software/technology, and the extent to which additional resources will be needed by Proposer to perform the Services and how that will be addressed by Proposer. |
| 1.11 | **Problem Resolution**  Describe Proposer’s problem resolution process in the event an issue arises between you and the Department that requires escalation beyond the key staff.   1. Outline the problem resolution process including escalation steps. 2. Name the title(s)/individual(s) with problem resolution authority. |

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**Appendix 2**

**Requirements and Technical Questionnaire**

**This Technical Questionnaire section is scored. (550 total points)**

The purpose of this questionnaire is to provide the Department with a basis for determining the Proposer’s capability to undertake the Contract.

Section 1 of this document includes the scope and requirements of this RFP and the expected deliverables or Services to be delivered by the Contractor under the Contract. All Proposers must respond to all questions/requirements stated in Section 2 below by restating the question or requirement and the identifying number of each (for example, 2.1 or 2.3.a), and providing a detailed written response. The Proposal, at a minimum, must address the items listed below and be organized and labeled in the order indicated below. Instructions for formatting the written response to this section are found in RFP Section 2.4 Proposal Organization and Format.

Include your answers to this Questionnaire and all requested documents associated with the questions/requirements below in Tab 2 of your Proposal. Label all documents provided with the question or requirement number it applies to.

The Proposer must be able to perform Services according to the requirements contained in this RFP.

The Proposer must provide sufficient detail for the evaluation committee and the Department to understand how the Proposer will comply with each requirement. If the Proposer believes Proposer’s qualifications go beyond the minimum requirements or add value, indicate those capabilities in the appropriate section of the Proposal. **Associated costs should ONLY be listed in the Cost Proposal. Do not include cost/pricing information in any other section of the Proposal.**

**1.0 Services and Deliverables Required**

ETF’s Bureau of Human Resources is seeking consulting, change management, training and implementation services in the areas of competency and benchmark development and competency-based performance management to increase organizational effectiveness. The Contractor shall use its judgment, experience and creativity in conducting this engagement.

**The Department is seeking to outsource the following consulting, change management, training and implementation services that are anticipated to span the balance of FY21 (contract start date – June 30, 2021), FY22 (July 1, 2021 – June 30, 2022), FY23 (July 1, 2022 – June 30, 2023) and into FY24 (July 1, 2023 – the end of the initial Contract term).**

1. **Competency framework:** The Department is seeking assistance from an HR consultancy with selection and implementation of a competency framework. The framework will be used to systematically develop core competencies, leadership competencies, and job-specific competencies. The Contractor may provide these services onsite (if allowed by ETF), remotely or by using a combination thereof.
   1. The Contractor will work with ETF’s Bureau of Human Resources and executive leadership to understand the Department’s long-term goals of competency-based performance management and current HR systems in place to inform research of competency framework options and present ETF with a recommendation. The Department is invested in the Cornerstone Learning module, but is open to other solutions that support integration.
      * If multiple products are recommended, ETF may elect to conduct a product selection process. The Contractor will participate in the product selection team comprised of stakeholders (led by a Department project manager) to identify and purchase a competency framework. This includes participation in development of technical and functional requirements, product demos and cost-benefit analysis. ETF will be responsible for purchase of system/licensing.
      * The Contractor will participate in the competency framework implementation team as requested to guide configuration decisions to ensure the system meets long-term Department goals.
2. **Competencies and benchmarks**: The Contractor shall facilitate Department stakeholders in the development of core competencies, leadership competencies, and role-specific competencies and related benchmarks. Once developed, competencies will serve as a common foundation, integrating all talent management processes to lower turnover among high performers, increase ability to hire the best talent and develop great leaders. The Contractor may provide these services onsite, remotely or by using a combination thereof.
   1. The Contractor will conduct 1:1 and/or or group meetings with ETF leaders and stakeholders to identify and develop competencies as well as architect levels of competency through benchmarks for current and post-modernization operational needs.
      * Core competencies applicable to all staff in the Department
      * Leadership competencies
      * Job-specific competencies for roles in the Department
   2. The Contractor will identify a high-value performance measurement scale that can be used for all competencies
   3. The Contractor will partner with ETF’s Bureau of Human Resources to facilitate proof of concept pilots for unique roles and cohorts: new to job, permanent staff, and leadership and adjust the overall approach as needed based on results.
   4. The Contractor will map roles with required qualifications and defined competencies and work with ETF’s Bureau of Human Resources and Department leadership to validate position descriptions for the organization and update as needed.
   5. The Contractor will present results to Department leadership for review and make any adjustments or modifications based on leadership recommendations.
   6. The Contractor will consult with the Department to establish a governance and oversight framework to maintain the Department’s competencies including best practices.
   7. The Contractor will provide ETF’s Bureau of Human Resources and Department leadership training on strategies to maintain ETF’s competencies and benchmarks.
   8. The Contractor will identify and recommend learning and development strategies that should be considered for acceleration based on key required competencies and current gaps.
3. **Performance management system:** Building on section II above, individual staff performance goals and evaluations are based on achieving needed competencies in addition to service delivery. To modernize this process, the Department seeks to redesign and automate ETF performance management. The Contractor may provide these services onsite (if allowed by ETF), remotely or by using a combination thereof.
   1. The Contractor will participate on a product selection team comprised of stakeholders (led by a Department project manager) to identify and purchase a performance management system. This includes participation in development of system technical and functional requirements, product demos, cost-benefit analysis and recommendation. ETF will be responsible for the purchase of any system/licensing.
   2. The Contractor will participate in ETF’s performance management system implementation team as requested to guide configuration decisions to ensure the system meets long-term Department goals.
   3. The Contractor will facilitate working sessions with stakeholders to determine frequency of performance appraisals that will align with new competency-based culture.
   4. The Contractor will assist ETF’s Bureau of Human Resources in soliciting input from key stakeholders on new appraisal form development and design.
   5. The Contractor will work with ETF’s Bureau of Human Resources to develop and coordinate performance management system communications with implementation and training plans.
4. **Transition management and training:** The Contractor will consult with the Department and provide transition (organizational change) management support to develop organizational buy-in of changes. The Contractor will assist ETF’s transition management team with preparing for and delivering organizational change for wide-spread adoption of the changes. The Contractor may provide these services onsite, remotely or by using a combination thereof. Due to COVID-19, training may be restricted to a virtual format.
   1. The Contractor will develop and deliver leadership training to equip the Department to have candid and consistent conversations at regular intervals with staff about performance standards. The objective of the training is to align goals across the Department using accountability and empowerment to build a learning culture that supports competency-based performance management.
   2. The Contractor will provide coaching for leaders, as requested, for competency pilots.
   3. The Contractor will create a training delivery plan for the Department’s new competencies and performance management system, develop curriculum and create training collateral in coordination with the Department, and implement training.
   4. The Contractor will consult with ETF’s learning and development team on development of agency-wide change management training. The Contractor will create linkage between competency design and performance management as well as ‘the why’ or the reasons for change.
5. **Executive support for overall integration of the above initiatives:** Developing clear core competencies, leadership competencies, and role-specific competencies will benefit ETF. Once developed, competencies will serve as a common foundation, integrating all talent management processes to lower turnover among high performers, increase competencies and capabilities of existing staff, increase ability to hire the best talent, and develop great leaders. This broader view of the Department will demonstrate how competency-based performance management is foundational to the holistic employee lifecycle and directly ties to the Department’s strategic goals and effectiveness. The Contractor may provide these services onsite (if allowed by ETF), remotely or by using a combination thereof.
   1. The Contractorwill provide consulting and support of overall integration of the initiatives described in Sections 1.0, I-IV above. The objective is for the Department to gain a broader perspective on how ETF operates, appreciation for how staff fit in and how they can broaden their careers in the future through individual learning plans, career pathing and succession plans (in upcoming phases of the workforce roadmap).
   2. This may include presentations to designated ETF governance groups, written communications, facilitation of Q&A sessions, etc. to assist staff better embrace and participate in goals and changes required, moving forward.

**1.1 Timing, Location and Conduct of Work**

Work may be conducted onsite at ETF (if allowed by ETF), remotely/off-site, or by using a combination thereof at mutually agreeable times. The Department will not provide laptops nor network/systems access for the Contractor. If it is determined equipment or network/system access is needed at any point during the term of the Contract, the Contractor and the Department will review security protocols as well as Department Terms and Conditions as applicable at that time.

**1.2 Project Deliverables – Statement of Work**

**Statement of Work**: **For work agreed to by the Contractor and the Department, a signed statement of work will be developed with specific deliverables. A statement of work is required for all engagements and shall include the following:**

A statement of work including objective, scope of work, project staffing, approach for the engagement, estimated timeline of key milestones, such as planning, analysis and development and implementation of the solution, frequency and method of status reporting as well as estimated hours by staff level. The statement of work should be prepared with the cooperation of the Contractor and ETF staff and must be approved by ETF’s HR Director in writing before work is initiated.

**1.3 Acceptance Criteria**

## The Department’s evaluation and acceptance criteria of the aforementioned deliverables shall include but not be limited to completeness, accuracy, and quality of the deliverable. Acceptance criteria will be specified in the statement of work for each specific engagement/project as needed.

**1.4 Changes to Engagement**

**Changes with no impact on cost and/or timeline:** Any changes to the engagement requirements that have no impact on either the cost or the timeline must be mutually agreed upon by the Department and the Contractor and shall be documented by e-mail or other written means between ETF’s HR Director and the Contractor.

**Changes with impact on cost and/or timeline:** Any changes to the engagement requirements that have impact on cost, either an increase or a decrease, or alter the timeline for any deliverables will require the following:

1. A new or revised statement of work setting forth the requirements of the proposed changes
2. A written summary of the facts that led to the decision
3. An impact analysis on related tasks, budget, and the overall Services to be delivered by the Contractor
4. Approval signature from the Department and the Contractor

Costs not included in the agreed upon engagement statement of work signed by the Department and the Contractor through the above process shall not be eligible for reimbursement.

**1.5 Engagement Scope**

The schedule for each aspect of the engagement planned for the initial Contract term will be jointly determined by the Department and the Contractor, included in a statement of work signed by the Department and the Contractor, and appended to the Contract. The following is the Department’s estimated timeline:

|  |  |
| --- | --- |
| **Estimated Date** | **Event** |
| October 2020 | Estimated Contract start date. |
| October 2020 | Preplanning work, Contractor onboarding and SOW development. |
| October 2020 – the end of the initial Contract term | Complete engagements defined in SOW.  Over the course of the Contract, execute, provide deliverables and finalize engagements (outlined in Section 1.0 above) in the areas of:   * Competency framework * Competencies and benchmarks * Performance management system * Transition management and training that support the above initiatives * Executive support and mentoring for overall integration of the above initiatives into the holistic employee lifecycle |

**2.0 Technical Questionnaire**

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| --- | --- |
| **2.1** | **Specific Approach**  Provide a work plan for the performance of the Services for each consulting engagement identified in Section 1.0, I-V above, including an explanation of the Proposer’s methodology to be followed. In developing the work plan, include a breakdown of major segments of the initiative and hours for each team member.  At a minimum, provide the following information in the work plan:   1. **Summary:** State Proposer’s overall approach to meeting the objectives and satisfying the scope of work to be performed, sequence of activities, and a description of methodology or techniques to be used. Include the approach to be taken to gain and document an understanding of the Department’s current approach. 2. **Program Schedule:** Provide projected milestones or benchmarks for completing the projects (to include status reports and deliverables). 3. **Engagement Organization:** Describe the Proposer’s proposed management structure, program monitoring procedures, and organization of the proposed team. Provide a statement detailing Proposer’s approach to the project, specifically address the Proposer’s ability and willingness to commit and maintain staffing to successfully complete the projects. 4. **Assigned Contractor Personnel:** Provide the following information about the Proposer’s staff to be assigned to each project:  * List all key personnel assigned to the project by level, name and location. Provide a resume or similar statement describing the background, qualifications and experience of the lead person and all persons assigned to the project. * Provide a statement of education and training programs provided to, or required of, the staff identified for participation in the project, particularly with reference to human resources consulting, governmental pension practices and procedures.  1. **Planned Use of Software/Programs:** Describe the Proposer’s system(s) or approach to document project findings and artifacts. 2. **Department Personnel:** Provide a summary and profile of the who/type of Department resources you expect to interface with during the engagements. |
| **2.3** | **Qualifications**   1. Provide a statement of the Proposer’s background and related experience in performing services like those listed in Section 1.0, I-V above in the past two years for Proposer’s clients, preferably, public pension organizations, including technical capabilities and approach. At a minimum, provide the following information in the response: 2. Evidence of how Proposer has successfully conducted similar contractual consulting services. Include a description of the services provided and the size and type of client the services were provided for. 3. A description of how the services were provided successfully (or otherwise) according to project objectives, timelines and within the allocated budget, and any other positive effects. 4. A description of any standardized or repeatable service delivery methods and capabilities learned in providing the services. 5. Describe Proposer’s approach to service delivery management and working relationships with clients and other providers in the client's service ecosystem. 6. Provide a summary of Proposer’s service delivery methodologies and adherence to industry standards related to competency and benchmark development, competency framework development or selection, selection and implementation of performance management systems and related transition management and, training related to the above. 7. Provide work samples or artifacts Proposer has developed for similar engagements commonly associated with the types of services described in this RFP. Proposer is encouraged to include example report formats or templates exclusive of any confidential or proprietary information which should be redacted. |
| **2.4** | **References**  Using FORM F – Vendor References, provide a minimum of four references for engagements the Proposer has performed during the last five years that demonstrate the Proposer’s ability to successfully complete engagements similar to those described in this RFP. Include the name of the reference’s organization, the contact name, title, telephone number, email address and engagement title/type of services provided for all references listed. |
| **2.5** | **Conflict of Interest**  Address possible conflicts of interest with other Proposer clients should Proposer be awarded a Contract. |
| **2.6** | **Engagement Issues**  Describe Proposer’s approach to resolve any engagement difficulties. Identify and describe any anticipated difficulties in performing the Services for the Department. |
| **2.7** | **Additional Work**  The Department and the Contractor may agree on additional services not specified in this RFP. Examples of additional work may include but are not limited to:   * Career path models, competency-based succession planning, scenario-based staffing plan, personalized training plans to close gap between current and needed competencies, mentoring program, HR metrics program   Describe Proposer’s capabilities and experience in providing each of the above-named services.  The above-listed services will not be included in the initial Contract, however, the ability of the Contractor to perform these services will be a factor in the Contractor selection process.  The Department will provide written requirements for any additional work requested. A statement of work as described in Section 1.2 above, must be reviewed and approved by ETF’s HR Director prior to the Contractor commencing any additional work. |