

# Proposal Response for the Wisconsin Department of Employee Trust Funds RFP ETE0009 Knowledge Management Consulting Services



23 October 2014

ORIGINAL PROPOSAL

**Working Knowledge**<sup>CSP</sup>

Concept | Strategy | Practice

Knowledge at the Point of Execution®



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**ADDENDUM No. 1 Dated October 10, 2014**  
**Request for Proposal (RFP) ETE0009**  
**Knowledge Management Consulting Services**  
**Wisconsin Department of Employee Trust Funds**

Proposer must acknowledge receipt of the Addendum referenced above by providing the required information below.

Working KnowledgeCSP LLC

Proposer's Company Name

William S. Kaplan, CPCM

Authorized Printed Name



Authorized Signature

10.10.2014

Date

**PROPOSALS MUST BE SEALED AND ADDRESSED TO:**

AGENCY ADDRESS:

Department of Employee Trust Funds  
P.O. Box 7931  
Madison, WI 53707-7913

**REQUEST FOR PROPOSAL**

**ETE0009 – Knowledge Management Consulting Services for the Department of Employee Trust Funds (ETF)**

PROPOSER (Name and Address)

Remove from vendor list for this commodity/service. (Return this page only.)

Proposal envelope must be sealed and plainly marked in lower corner with due date and Request for Proposal **ETE0009**. Late proposals will be rejected. Proposals MUST be date and time stamped by the soliciting purchasing office on or before the date and time that the proposal is due. Proposals dated and time stamped in another office will be rejected. Receipt of a proposal by the mail system does not constitute receipt of a proposal by the purchasing office. Any proposal which is inadvertently opened as a result of not being properly and clearly marked is subject to rejection. Proposals must be submitted separately, i.e., not included with sample packages or other proposals. Proposal openings are public unless otherwise specified. Records will be available for public inspection after issuance of the notice of intent to award or the award of the contract. Proposer should contact the person named below for an appointment to view the proposal record. Proposals shall be firm for acceptance for sixty (60) days from date of proposal opening, unless otherwise noted. The attached terms and conditions apply to any subsequent award.

Proposals MUST be in this office no later than  
**October 23, 2014, 2:00 PM, CT**

Public Opening   
No Public Opening

Name (Contact for further information)

Michael D. McNally, Jr. [michael.mcnally@etf.wi.gov](mailto:michael.mcnally@etf.wi.gov)

Phone

608-261-9032

Date

September 18, 2014

Quote Price and Delivery FOB

Services - Destination – Madison WI

Description

**Knowledge Management Consulting Services Request for Proposal (RFP) for the Department of Employee Trust Funds (ETF)**

RFP amendments, questions and answers will be posted on the ETF Website at <http://etfextranet.it.state.wi.us> and will not be mailed.

**\*\*\* Faxed and e-mailed Proposals are not accepted. \*\*\***

**This page must be signed and included with your Proposal.**

We claim minority bidder preference [Wis. Stats. s. 16.75(3m)(b)(3)]. Under Wisconsin Statutes, a 5% preference may be granted to CERTIFIED Minority Business Enterprises. Bidder must be certified by the Wisconsin Supplier Diversity Program. If you have questions concerning the certification process, contact the Wisconsin Supplier Diversity Program, 6th Floor, 101 E. Wilson Ave., Madison, Wisconsin 53703, (608) 267-9550. Does Not Apply to Printing Bids.

We claim disabled veteran owned business bidder preference [Wis. Stats. s. 16.75(3m)(b)(3)]. Under Wisconsin Statutes, a 5% preference may be granted to CERTIFIED Disabled Veteran Owned Businesses. Bidder must be certified by the Wisconsin Supplier Diversity Program. If you have questions concerning the certification process, contact the Wisconsin Supplier Diversity Program, 6th Floor, 101 E. Wilson St., Madison, Wisconsin 53703, (608) 267-9550. Does Not Apply to Printing Bids.

We are a work center certified under Wis. Stats. s. 16.752 employing persons with severe disabilities. Questions concerning the certification process should be addressed to the Work Center Program, State Bureau of Procurement, 6th Floor, 101 E. Wilson St., Madison, Wisconsin 53702, (608) 266-5462.

Wis. Stats. s. 16.754 directs the state to purchase materials which are manufactured to the greatest extent in the United States when all other factors are substantially equal. Materials covered in our bid were manufactured in whole or in substantial part within the United States, or the majority of the component parts thereof were manufactured in whole or in substantial part in the United States.

Yes  No  Unknown

In signing this proposal we also certify that we have not, either directly or indirectly, entered into any agreement or participated in any collusion or otherwise taken any action in restraint of free competition; that no attempt has been made to induce any other person or firm to submit or not to submit a proposal; that this proposal has been independently arrived at without collusion with any other proposer, competitor or potential competitor; that this proposal has not been knowingly disclosed prior to the opening of proposals to any other proposer or competitor; that the above statement is accurate under penalty of perjury.

We will comply with all terms, conditions and specifications required by the State in this Request for Proposal and all terms of our proposal.

Name of Authorized Company Representative (Type or Print)  
William S. Kaplan, CPCM

Title  
Founder and Principal Consultant

Phone ( 571 ) 934-7408

Fax ( None )

Signature of Above



Date  
23 Oct 2014

Federal Employer Identification No.  
27-1093655

Social Security No. (if Sole)  
157-38-2662



23 October 2014

Michael D. McNally, Jr.

**RFP ETE0009**

Dept. of Employee Trust Funds

PO Box 7931

Madison, WI 53707-7931

Subject: Transmittal Letter for *Proposal Response for the Wisconsin Department of Employee Trust Funds - RFP ETE0009 Knowledge Management Consulting Services*

Working Knowledge<sup>CSP</sup> is pleased to provide our proposal in response to the subject RFP. The following information is provided in accordance with the proposal instructions:

- I. **Name, signature, and title of Proposer's Authorized Representative:**
  - a. William S. Kaplan, CPCM
  - b. 
  - c. Founder and Principal Consultant
- II. **Name and address of firm:**
  - a. Working Knowledge<sup>CSP</sup> LLC
  - b. 11107 Corobon Lane, Great Falls, VA 22066
- III. **Telephone number, fax number, and email address of representatives who will be providing services under this RFP:**
  - a. 571.934.7408, no fax, [bill@workingknowledge-csp.com](mailto:bill@workingknowledge-csp.com)
  - b. 202.775.4936, no fax, [brad@b3groupinc.com](mailto:brad@b3groupinc.com)
  - c. 760.450.6355, no fax, [kent@greenesconsulting.com](mailto:kent@greenesconsulting.com)
- IV. **RFP Number and Title:** ETE 0009 Knowledge Management Consulting Services
- V. **Executive Summary:**

The Working Knowledge<sup>CSP</sup> Enterprise Knowledge Management (KM) solution will provide the Department of Employee Trust Funds (ETF) with a comprehensive, practical and organically sustainable knowledge management framework to ensure that the ETF can continue to provide the highest quality services and support to its members through an improved ability to capture, adapt, transfer, and reuse the "know how" and "know why" of its workforce. This includes the ability to search for, find, access, download, and reuse the knowledge needed when it is needed. Our solution is delivered by a broadly experienced team of KM and IT consultants with deep subject matter expertise possessing a diverse and accomplished record of KM and IT project success spanning the public, private, and international business sectors.

The phased KM implementation plan we will deliver will be based on a proven, disciplined, and adaptive analysis and assessment methodology that is based on comprehensive and detailed research, critical analysis, and the practical and professional experience of many previous KM strategy and plan development engagements. The proposed co-delivery model and ongoing team relationship between the KM consulting team and the ETF PMO will enable the ETF PMO to effectively lead the plan implementation and help to ensure the ETF PMO and the ETF workforce have the KM awareness, skills, and tools to sustain the ETF knowledge management investment.



Implementation of the KM plan will facilitate and help to embed the necessary knowledge sharing and collaboration behaviors into the work processes of the organization so that the ability to capture, adapt, transfer, and reuse knowledge is not viewed as an extra task, but as part of the way that the ETF works. Finally, by enabling this change in the organization, KM plan implementation will help to ensure that the institutional knowledge of the ETF is not lost due to the ongoing challenges and risks of workforce turnover and knowledge loss.

The following Figure summarizes our capability with the required understanding of ETF requirements, expertise, experience, and ability to deliver the ETF KM solution.

Understanding of Required Skills, Competencies, and Experience to Support the ETF Requirements	Working Knowledge <sup>CSP</sup>	B3 Group
Understand KM Technologies	✓	✓
Understand Knowledge Sharing Software, Tools, and Methods	✓	✓
Understand KM Concepts, Strategies, and Implementing Practices	✓	✓
KM Governance Structures and Strategies	✓	✓
KM Framework Assessment, Design, Development And Implementation	✓	✓
Business-end Expertise	✓	✓
Communities of Practice	✓	✓
KM and IT Solution Integration	✓	✓
Taxonomy Development, Implementation, and Governance	✓	✓
Research, Analysis, and Critical Thinking Skills	✓	✓
Process Analysis and Mapping	✓	✓
Interview skills	✓	✓
Facilitation	✓	
Research and Analysis including Comparison with Other Methodologies/Systems	✓	✓
Knowledge of Quality Control Processes	✓	✓
Change Management and Communication Strategy	✓	
Project Management	✓	✓

Selecting the Working Knowledge<sup>CSP</sup> Team to develop and deliver your Enterprise Knowledge Management (KM) solution provides three additional benefits: (1) Our Team, our approach, and our solution strikes the greatest balance between desired outcome and price, (2) Our Team, our approach, and our solution is the lowest risk, highest probability of success choice, and (3) Our Team, our approach, and our solution will not only enable ETF success as a high performing and knowledge enabled Department, but also improve the ETF's ability to provide the highest quality benefits and services to the ETF's members and customers.

STATE OF WISCONSIN  
DEPARTMENT OF ADMINISTRATION  
DIVISION OF ENTERPRISE OPERATIONS  
BUREAU OF PROCUREMENT  
S. 16.765, WIS. STATS.  
DOA-3477 (R01/08)

Knowledge Management  
Consulting Services for the  
Department of Employee  
Trust Funds (ETF)

Commodity / Service \_\_\_\_\_

**Vendor Information**

1. BIDDING / PROPOSING COMPANY NAME Working KnowledgeCSP LLC

Phone (571)934-7408 Toll Free Phone ( ) none

FAX ( ) none E-Mail Address bill@workingknowledge-csp.com

Address 11107 Corobon Lane

City Great Falls State VA Zip + 4 22066-1403

2. Name the person to contact for questions concerning this bid / proposal.

Name William S. Kaplan, CPCM Title Founder and Principal Consultant

Phone (571) 934-7408 Toll Free Phone ( ) none

FAX ( ) none E-Mail Address bill@workingknowledge-csp.com

Address 11107 Corobon Lane

City Great Falls State VA Zip + 4 22066-1403

Any vendor awarded over \$25,000 on this contract must submit affirmative action information to the department. Please name the Personnel / Human Resource and Development or other person responsible for affirmative action in the company to contact about this plan.

3. for affirmative action in the company to contact about this plan.

Name William S. Kaplan, CPCM Title Founder and Principal Consultant

Phone (571)934-7408 Toll Free Phone ( ) none

FAX ( ) none E-Mail Address bill@workingknowledge-csp.com

Address 11107 Corobon Lane

City Great Falls State VA Zip + 4 22066-1403

Mailing address to which state purchase orders are mailed and person the department may contact concerning orders and billings.

4. concerning orders and billings.

Name William S. Kaplan, CPCM Title Founder and Principal Consultant

Phone (571)934-7408 Toll Free Phone ( ) none

FAX ( ) none E-Mail Address bill@workingknowledge-csp.com

Address 11107 Corobon Lane

City Great Falls State VA Zip + 4 22066-1403

5. CEO / President Name William S. Kaplan 



Bid / Proposal # ETE0009 for ETF

## VENDOR REFERENCE

**FOR VENDOR:** Working KnowledgeCSP LLC

Provide company name, address, contact person, telephone number, and appropriate information on the product(s) and/or service(s) used for four (4) or more installations with requirements similar to those included in this solicitation document. If vendor is proposing any arrangement involving a third party, the named references should also be involved in a similar arrangement.

**Company Name** Department of Veteran Affairs Acquisition Academy

Address (include Zip + 4) 7485 New Horizon Way, Frederick, VA 21703

Contact Person Stephen H. Wilson, Contract Specialist Phone No. (303) 870-6215

Email Address steve.wilson4@va.gov

List Product(s) and/or Service(s) Used: Knowledge Management (KM) Consulting Services, KM Assessment, Recommendations, and Strategy, KM Implementation, Taxonomy Assessment and Development, KM Training Development and Delivery, Integrated Performance Measurement, Process Analysis and Mapping, Facilitation

**Company Name** The Lubrizol Corporation

Address (include Zip + 4) 29400 Lakeland Blvd, MS491A, Wickliffe, OH 44092

Contact Person Alison Brunsdon Phone No. (440) 347-6296

Email Address alison.brunsdon@lubrizol.com

List Product(s) and/or Service(s) Used: Knowledge Management (KM) Consulting Services, KM Assessment, Recommendations, and Strategy Development, KM Corporate Strategy and Coaching

**Company Name** Inter-American Development Bank

Address (include Zip + 4) 1300 New York Ave NW, Washington, DC 20577

Contact Person Micha van Waesberghe Phone No. (202) 623-3118

Email Address MICHAV@iadb.org

List Product(s) and/or Service(s) Used: KM Assessment, KM Consulting Services, KM Coaching, KM Training, Facilitation

**Company Name** Department of Homeland Security, Federal Emergency Management Agency (FEMA) Hazus Program

Address (include Zip + 4) 1800 South Bell Street, Room 944, Arlington, VA 20598

Contact Person Eric Berman, Program Manager Phone No. (202) 646-3427

Email Address eric.berman@dhs.gov

List Product(s) and/or Service(s) Used: KM Assessment and Framework Development, KM Implementation and Measurement, KM Training, KM Coaching, KM Process Implementation, Facilitation

A handwritten signature in purple ink, appearing to read 'WSP'.





**Vendor Agreement**  
**Wisconsin's Cooperative Purchasing Service**

Wisconsin statutes (s. 16.73, Wis. Stats.) establish authority to allow Wisconsin municipalities to purchase from state contracts. Participating in the service gives vendors opportunities for additional sales without additional bidding. Municipalities use the service to expedite purchases. A "municipality" is defined as any county, city, village, town, school district, board of school directors, sewer district, drainage district, vocational, technical and adult education district, or any other public body having the authority to award public contracts (s. 16.70(8), Wis. Stats.). Federally recognized Indian tribes and bands in this state may participate in cooperative purchasing with the state or any municipality under ss. 66.0301(1) and (2), Wis.Stats.

Interested municipalities:

- will contact the contractor directly to place orders referencing the state agency contract number; and
- are responsible for receipt, acceptance, inspection of commodities directly from the contractor, and making payment directly to the contractor.

The State of Wisconsin is not a party to these purchases or any dispute arising from these purchases and is not liable for delivery or payment of any of these purchases.

The State of Wisconsin will determine the contractor's participation by checking a box below.

- MANDATORY: Bidders/Proposers must agree to furnish the commodities or services of this bid/proposal to Wisconsin municipalities. Vendors should note any special conditions below.
- OPTIONAL: Bidders/Proposers may or may not agree to furnish the commodities or services of this bid/proposal to Wisconsin municipalities. A vendor's decision on participating in this service has no effect on awarding this contract.

A vendor in the service may specify minimum order sizes by volume or dollar amount, additional charges beyond normal delivery areas, or other minimal changes for municipalities.

Vendor: please check one of the following boxes in response.

- I Agree to furnish the commodities or services of this bid/proposal to Wisconsin municipalities with any special conditions noted below.
- I Do Not Agree to furnish the commodities or services to Wisconsin municipalities.

Special Conditions (if applicable): None			
Signature 		Date (mm/dd/ccyy) 10/23/2014	
Name (Type or Print)  William S. Kaplan		Title  Founder and Principal Consultant	
Company  Working KnowledgeCSP LLC		Telephone  (571 )934-7408	
Address (Street)  11107 Corobon Lane	City  Great Falls	State  VA	ZIP + 4  22066-1403
Commodity/Service Knowledge Management Consulting Services, Facilitation		Request for Bid/Proposal Number ETE0009 - Knowledge Management Consulting Services	

This form can be made available in accessible formats upon request to qualified individuals with disabilities.

## Standard Terms And Conditions (Request For Bids / Proposals)

- 1.0 SPECIFICATIONS:** The specifications in this request are the minimum acceptable. When specific manufacturer and model numbers are used, they are to establish a design, type of construction, quality, functional capability and/or performance level desired. When alternates are bid/proposed, they must be identified by manufacturer, stock number, and such other information necessary to establish equivalency. The State of Wisconsin shall be the sole judge of equivalency. Bidders/proposers are cautioned to avoid bidding alternates to the specifications which may result in rejection of their bid/proposal.
- 2.0 DEVIATIONS AND EXCEPTIONS:** Deviations and exceptions from original text, terms, conditions, or specifications shall be described fully, on the bidder's/proposer's letter-head, signed, and attached to the request. In the absence of such statement, the bid/proposal shall be accepted as in strict compliance with all terms, conditions, and specifications and the bidders/proposers shall be held liable.
- 3.0 QUALITY:** Unless otherwise indicated in the request, all material shall be first quality. Items which are used, demonstrators, obsolete, seconds, or which have been discontinued are unacceptable without prior written approval by the State of Wisconsin.
- 4.0 QUANTITIES:** The quantities shown on this request are based on estimated needs. The state reserves the right to increase or decrease quantities to meet actual needs.
- 5.0 DELIVERY:** Deliveries shall be F.O.B. destination freight prepaid and included unless otherwise specified.
- 6.0 PRICING AND DISCOUNT:** The State of Wisconsin qualifies for governmental discounts and its educational institutions also qualify for educational discounts. Unit prices shall reflect these discounts.
- 6.1** Unit prices shown on the bid/proposal or contract shall be the price per unit of sale (e.g., gal., cs., doz., ea.) as stated on the request or contract. For any given item, the quantity multiplied by the unit price shall establish the extended price, the unit price shall govern in the bid/proposal evaluation and contract administration.
- 6.2** Prices established in continuing agreements and term contracts may be lowered due to general market conditions, but prices shall not be subject to increase for ninety (90) calendar days from the date of award. Any increase proposed shall be submitted to the contracting agency thirty (30) calendar days before the proposed effective date of the price increase, and shall be limited to fully documented cost increases to the contractor which are demonstrated to be industrywide. The conditions under which price increases may be granted shall be expressed in bid/proposal documents and contracts or agreements.
- 6.3** In determination of award, discounts for early payment will only be considered when all other conditions are equal and when payment terms allow at least fifteen (15) days, providing the discount terms are deemed favorable. All payment terms must allow the option of net thirty (30).
- 7.0 UNFAIR SALES ACT:** Prices quoted to the State of Wisconsin are not governed by the Unfair Sales Act.
- 8.0 ACCEPTANCE-REJECTION:** The State of Wisconsin reserves the right to accept or reject any or all bids/proposals, to waive any technicality in any bid/proposal submitted, and to accept any part of a bid/proposal as deemed to be in the best interests of the State of Wisconsin.
- Bids/proposals MUST be date and time stamped by the soliciting purchasing office on or before the date and time that the bid/proposal is due. Bids/proposals date and time stamped in another office will be rejected. Receipt of a bid/proposal by the mail system does not constitute receipt of a bid/proposal by the purchasing office.
- 9.0 METHOD OF AWARD:** Award shall be made to the lowest responsible, responsive bidder unless otherwise specified.
- 10.0 ORDERING:** Purchase orders or releases via purchasing cards shall be placed directly to the contractor by an authorized agency. No other purchase orders are authorized.
- 11.0 PAYMENT TERMS AND INVOICING:** The State of Wisconsin normally will pay properly submitted vendor invoices within thirty (30) days of receipt providing goods and/or services have been delivered, installed (if required), and accepted as specified.
- Invoices presented for payment must be submitted in accordance with instructions contained on the purchase order including reference to purchase order number and submittal to the correct address for processing.
- A good faith dispute creates an exception to prompt payment.
- 12.0 TAXES:** The State of Wisconsin and its agencies are exempt from payment of all federal tax and Wisconsin state and local taxes on its purchases except Wisconsin excise taxes as described below.
- The State of Wisconsin, including all its agencies, is required to pay the Wisconsin excise or occupation tax on its purchase of beer, liquor, wine, cigarettes, tobacco products, motor vehicle fuel and general aviation fuel. However, it is exempt from payment of Wisconsin sales or use tax on its purchases. The State of Wisconsin may be subject to other states' taxes on its purchases in that state depending on the laws of that state. Contractors performing construction activities are required to pay state use tax on the cost of materials.
- 13.0 GUARANTEED DELIVERY:** Failure of the contractor to adhere to delivery schedules as specified or to promptly replace rejected materials shall render the contractor liable for all costs in excess of the contract price when alternate procurement is necessary. Excess costs shall include the administrative costs.
- 14.0 ENTIRE AGREEMENT:** These Standard Terms and Conditions shall apply to any contract or order awarded as a result of this request except where special requirements

are stated elsewhere in the request; in such cases, the special requirements shall apply. Further, the written contract and/or order with referenced parts and attachments shall constitute the entire agreement and no other terms and conditions in any document, acceptance, or acknowledgment shall be effective or binding unless expressly agreed to in writing by the contracting authority.

- 15.0 APPLICABLE LAW AND COMPLIANCE:** This contract shall be governed under the laws of the State of Wisconsin. The contractor shall at all times comply with and observe all federal and state laws, local laws, ordinances, and regulations which are in effect during the period of this contract and which in any manner affect the work or its conduct. The State of Wisconsin reserves the right to cancel this contract if the contractor fails to follow the requirements of s. 77.66, Wis. Stats., and related statutes regarding certification for collection of sales and use tax. The State of Wisconsin also reserves the right to cancel this contract with any federally debarred contractor or a contractor that is presently identified on the list of parties excluded from federal procurement and non-procurement contracts.
- 16.0 ANTITRUST ASSIGNMENT:** The contractor and the State of Wisconsin recognize that in actual economic practice, overcharges resulting from antitrust violations are in fact usually borne by the State of Wisconsin (purchaser). Therefore, the contractor hereby assigns to the State of Wisconsin any and all claims for such overcharges as to goods, materials or services purchased in connection with this contract.
- 17.0 ASSIGNMENT:** No right or duty in whole or in part of the contractor under this contract may be assigned or delegated without the prior written consent of the State of Wisconsin.
- 18.0 WORK CENTER CRITERIA:** A work center must be certified under s. 16.752, Wis. Stats., and must ensure that when engaged in the production of materials, supplies or equipment or the performance of contractual services, not less than seventy-five percent (75%) of the total hours of direct labor are performed by severely handicapped individuals.
- 19.0 NONDISCRIMINATION / AFFIRMATIVE ACTION:** In connection with the performance of work under this contract, the contractor agrees not to discriminate against any employee or applicant for employment because of age, race, religion, color, handicap, sex, physical condition, developmental disability as defined in s. 51.01(5), Wis. Stats., sexual orientation as defined in s. 111.32(13m), Wis. Stats., or national origin. This provision shall include, but not be limited to, the following: employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. Except with respect to sexual orientation, the contractor further agrees to take affirmative action to ensure equal employment opportunities.
- 19.1** Contracts estimated to be over twenty-five thousand dollars (\$25,000) require the submission of a written affirmative action plan by the contractor. An exemption occurs from this requirement if the contractor has a workforce of less than twenty-five (25) employees. Within fifteen (15) working days after the contract is awarded, the contractor must submit the plan to the contracting state agency for approval. Instructions

on preparing the plan and technical assistance regarding this clause are available from the contracting state agency.

- 19.2** The contractor agrees to post in conspicuous places, available for employees and applicants for employment, a notice to be provided by the contracting state agency that sets forth the provisions of the State of Wisconsin's nondiscrimination law.
- 19.3** Failure to comply with the conditions of this clause may result in the contractor's becoming declared an "ineligible" contractor, termination of the contract, or withholding of payment.
- 20.0 PATENT INFRINGEMENT:** The contractor selling to the State of Wisconsin the articles described herein guarantees the articles were manufactured or produced in accordance with applicable federal labor laws. Further, that the sale or use of the articles described herein will not infringe any United States patent. The contractor covenants that it will at its own expense defend every suit which shall be brought against the State of Wisconsin (provided that such contractor is promptly notified of such suit, and all papers therein are delivered to it) for any alleged infringement of any patent by reason of the sale or use of such articles, and agrees that it will pay all costs, damages, and profits recoverable in any such suit.
- 21.0 SAFETY REQUIREMENTS:** All materials, equipment, and supplies provided to the State of Wisconsin must comply fully with all safety requirements as set forth by the Wisconsin Administrative Code and all applicable OSHA Standards.
- 22.0 WARRANTY:** Unless otherwise specifically stated by the bidder/proposer, equipment purchased as a result of this request shall be warranted against defects by the bidder/proposer for one (1) year from date of receipt. The equipment manufacturer's standard warranty shall apply as a minimum and must be honored by the contractor.
- 23.0 INSURANCE RESPONSIBILITY:** The contractor performing services for the State of Wisconsin shall:
- 23.1** Maintain worker's compensation insurance as required by Wisconsin Statutes, for all employees engaged in the work.
- 23.2** Maintain commercial liability, bodily injury and property damage insurance against any claim(s) which might occur in carrying out this agreement/contract. Minimum coverage shall be one million dollars (\$1,000,000) liability for bodily injury and property damage including products liability and completed operations. Provide motor vehicle insurance for all owned, non-owned and hired vehicles that are used in carrying out this contract. Minimum coverage shall be one million dollars (\$1,000,000) per occurrence combined single limit for automobile liability and property damage.
- 23.3** The state reserves the right to require higher or lower limits where warranted.
- 24.0 CANCELLATION:** The State of Wisconsin reserves the right to cancel any contract in whole or in part without penalty due to nonappropriation of funds or for failure of the contractor to comply with terms, conditions, and specifications of this contract.

**25.0 VENDOR TAX DELINQUENCY:** Vendors who have a delinquent Wisconsin tax liability may have their payments offset by the State of Wisconsin.

**26.0 PUBLIC RECORDS ACCESS:** It is the intention of the state to maintain an open and public process in the solicitation, submission, review, and approval of procurement activities.

Bid/proposal openings are public unless otherwise specified. Records may not be available for public inspection prior to issuance of the notice of intent to award or the award of the contract.

**27.0 PROPRIETARY INFORMATION:** Any restrictions on the use of data contained within a request, must be clearly stated in the bid/proposal itself. Proprietary information submitted in response to a request will be handled in accordance with applicable State of Wisconsin procurement regulations and the Wisconsin public records law. Proprietary restrictions normally are not accepted. However, when accepted, it is the vendor's responsibility to defend the determination in the event of an appeal or litigation.

**27.1** Data contained in a bid/proposal, all documentation provided therein, and innovations developed as a result of the contracted commodities or services cannot be copyrighted or patented. All data, documentation, and innovations become the property of the State of Wisconsin.

**27.2** Any material submitted by the vendor in response to this request that the vendor considers confidential and proprietary information and which qualifies as a trade secret, as provided in s. 19.36(5), Wis. Stats., or material which can be kept confidential under the Wisconsin public records law, must be identified on a Designation of Confidential and Proprietary Information form (DOA-3027). Bidders/proposers may request the form if it is not part of the Request for Bid/Request for Proposal package. Bid/proposal prices cannot be held confidential.

**28.0 DISCLOSURE:** If a state public official (s. 19.42, Wis. Stats.), a member of a state public official's immediate family, or any organization in which a state public official or a member of the official's immediate family owns or controls a ten percent (10%) interest, is a party to this agreement, and if this agreement involves payment of more than three thousand dollars (\$3,000) within a twelve (12) month period, this contract is voidable by the state unless appropriate disclosure is made according to s. 19.45(6), Wis. Stats., before signing the contract. Disclosure must be made to the State of Wisconsin Ethics Board, 44 East Mifflin Street, Suite 601, Madison, Wisconsin 53703 (Telephone 608-266-8123).

State classified and former employees and certain University of Wisconsin faculty/staff are subject to separate disclosure requirements, s. 16.417, Wis. Stats.

**29.0 RECYCLED MATERIALS:** The State of Wisconsin is required to purchase products incorporating recycled materials whenever technically and economically feasible. Bidders are encouraged to bid products with recycled content which meet specifications.

**30.0 MATERIAL SAFETY DATA SHEET:** If any item(s) on an order(s) resulting from this award(s) is a hazardous chemical, as defined under 29CFR 1910.1200, provide one (1) copy of a Material Safety Data Sheet for each item with the shipped container(s) and one (1) copy with the invoice(s).

**31.0 PROMOTIONAL ADVERTISING / NEWS RELEASES:** Reference to or use of the State of Wisconsin, any of its departments, agencies or other subunits, or any state official or employee for commercial promotion is prohibited. News releases pertaining to this procurement shall not be made without prior approval of the State of Wisconsin. Release of broadcast e-mails pertaining to this procurement shall not be made without prior written authorization of the contracting agency.

**32.0 HOLD HARMLESS:** The contractor will indemnify and save harmless the State of Wisconsin and all of its officers, agents and employees from all suits, actions, or claims of any character brought for or on account of any injuries or damages received by any persons or property resulting from the operations of the contractor, or of any of its contractors, in prosecuting work under this agreement.

**33.0 FOREIGN CORPORATION:** A foreign corporation (any corporation other than a Wisconsin corporation) which becomes a party to this Agreement is required to conform to all the requirements of Chapter 180, Wis. Stats., relating to a foreign corporation and must possess a certificate of authority from the Wisconsin Department of Financial Institutions, unless the corporation is transacting business in interstate commerce or is otherwise exempt from the requirement of obtaining a certificate of authority. Any foreign corporation which desires to apply for a certificate of authority should contact the Department of Financial Institutions, Division of Corporation, P. O. Box 7846, Madison, WI 53707-7846; telephone (608) 261-7577.

**34.0 WORK CENTER PROGRAM:** The successful bidder/proposer shall agree to implement processes that allow the State agencies, including the University of Wisconsin System, to satisfy the State's obligation to purchase goods and services produced by work centers certified under the State Use Law, s.16.752, Wis. Stat. This shall result in requiring the successful bidder/proposer to include products provided by work centers in its catalog for State agencies and campuses or to block the sale of comparable items to State agencies and campuses.

**35.0 FORCE MAJEURE:** Neither party shall be in default by reason of any failure in performance of this Agreement in accordance with reasonable control and without fault or negligence on their part. Such causes may include, but are not restricted to, acts of nature or the public enemy, acts of the government in either its sovereign or contractual capacity, fires, floods, epidemics, quarantine restrictions, strikes, freight embargoes and unusually severe weather, but in every case the failure to perform such must be beyond the reasonable control and without the fault or negligence of the party.



## Supplemental Standard Terms and Conditions for Procurements for Services

- 1.0 ACCEPTANCE OF BID/PROPOSAL CONTENT:** The contents of the bid/proposal of the successful contractor will become contractual obligations if procurement action ensues.
- 2.0 CERTIFICATION OF INDEPENDENT PRICE DETERMINATION:** By signing this bid/proposal, the bidder/proposer certifies, and in the case of a joint bid/proposal, each party thereto certifies as to its own organization, that in connection with this procurement:
- 2.1** The prices in this bid/proposal have been arrived at independently, without consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other bidder/proposer or with any competitor;
- 2.2** Unless otherwise required by law, the prices which have been quoted in this bid/proposal have not been knowingly disclosed by the bidder/proposer and will not knowingly be disclosed by the bidder/proposer prior to opening in the case of an advertised procurement or prior to award in the case of a negotiated procurement, directly or indirectly to any other bidder/proposer or to any competitor; and
- 2.3** No attempt has been made or will be made by the bidder/proposer to induce any other person or firm to submit or not to submit a bid/proposal for the purpose of restricting competition.
- 2.4** Each person signing this bid/proposal certifies that: He/she is the person in the bidder's/proposer's organization responsible within that organization for the decision as to the prices being offered herein and that he/she has not participated, and will not participate, in any action contrary to 2.1 through 2.3 above; (or)
- He/she is not the person in the bidder's/proposer's organization responsible within that organization for the decision as to the prices being offered herein, but that he/she has been authorized in writing to act as agent for the persons responsible for such decisions in certifying that such persons have not participated, and will not participate in any action contrary to 2.1 through 2.3 above, and as their agent does hereby so certify; and he/she has not participated, and will not participate, in any action contrary to 2.1 through 2.3 above.
- 3.0 DISCLOSURE OF INDEPENDENCE AND RELATIONSHIP:**
- 3.1** Prior to award of any contract, a potential contractor shall certify in writing to the procuring agency that no relationship exists between the potential contractor and the procuring or contracting agency that interferes with fair competition or is a conflict of interest, and no relationship exists between the contractor and another person or organization that constitutes a conflict of interest with respect to a state contract. The Department of Administration may waive this provision, in writing, if those activities of the potential contractor will not be adverse to the interests of the state.
- 3.2** Contractors shall agree as part of the contract for services that during performance of the contract, the contractor will neither provide contractual services nor enter into any agreement to provide services to a person or organization that is regulated or funded by the contracting agency or has interests that are adverse to the contracting agency. The Department of Administration may waive this provision, in writing, if those activities of the contractor will not be adverse to the interests of the state.
- 4.0 DUAL EMPLOYMENT:** Section 16.417, Wis. Stats., prohibits an individual who is a State of Wisconsin employee or who is retained as a contractor full-time by a State of Wisconsin agency from being retained as a contractor by the same or another State of Wisconsin agency where the individual receives more than \$12,000 as compensation for the individual's services during the same year. This prohibition does not apply to individuals who have full-time appointments for less than twelve (12) months during any period of time that is not included in the appointment. It does not include corporations or partnerships.
- 5.0 EMPLOYMENT:** The contractor will not engage the services of any person or persons now employed by the State of Wisconsin, including any department, commission or board thereof, to provide services relating to this agreement without the written consent of the employing agency of such person or persons and of the contracting agency.
- 6.0 CONFLICT OF INTEREST:** Private and non-profit corporations are bound by ss. 180.0831, 180.1911(1), and 181.0831 Wis. Stats., regarding conflicts of interests by directors in the conduct of state contracts.
- 7.0 RECORDKEEPING AND RECORD RETENTION:** The contractor shall establish and maintain adequate records of all expenditures incurred under the contract. All records must be kept in accordance with generally accepted accounting procedures. All procedures must be in accordance with federal, state and local ordinances.
- The contracting agency shall have the right to audit, review, examine, copy, and transcribe any pertinent records or documents relating to any contract resulting from this bid/proposal held by the contractor. The contractor will retain all documents applicable to the contract for a period of not less than three (3) years after final payment is made.
- 8.0 INDEPENDENT CAPACITY OF CONTRACTOR:** The parties hereto agree that the contractor, its officers, agents, and employees, in the performance of this agreement shall act in the capacity of an independent contractor and not as an officer, employee, or agent of the state. The contractor agrees to take such steps as may be necessary to ensure that each subcontractor of the contractor will be deemed to be an independent contractor and will not be considered or permitted to be an agent, servant, joint venturer, or partner of the state.

## ATTACHMENT A PROPOSER'S CHECKLIST

**Proposer:** Working KnowledgeCSP LLC

Instructions: This form shall be completed by marking the check boxes shown below. By marking these boxes you are acknowledging compliance with these items. Omission of any of the below may be cause for rejection of your Proposal. Please sign the appropriate forms when submitting your Proposal.

Request for Proposal (DOA-3261)	<input checked="" type="checkbox"/> Have read, completed, and signed.
Vendor Information (DOA-3477)	<input checked="" type="checkbox"/> Have read, completed, and signed.
Vendor References (DOA-3478)	<input checked="" type="checkbox"/> Have read, completed, and signed.
Vendor Agreement (DOA-3333)	<input checked="" type="checkbox"/> Have read, completed, and signed.
Standard Terms and Conditions (DOA-3054)	<input checked="" type="checkbox"/> Have read and understand.
Supplemental Standard Terms and Conditions for Procurement for Services (DOA-3681)	<input checked="" type="checkbox"/> Have read and understand.
Designation of Confidential and Proprietary Information (DOA-3027)	<input checked="" type="checkbox"/> Have read, completed, and signed.
Preparing and Submitting a Proposal RFP Section 2	<input checked="" type="checkbox"/> Have read and complied with all requirements.
Proposal Section and Award Process RFP Section 3	<input checked="" type="checkbox"/> Have read and understand.
Attachment B: Mandatory Proposal Qualifications	<input checked="" type="checkbox"/> Have read, completed, and complied with response instructions.
General Requirements RFP Section 6	<input checked="" type="checkbox"/> Have read, completed, and complied with response instructions.
Technical Requirements RFP Section 7	<input checked="" type="checkbox"/> Have read, completed, and complied with response instructions.
Cost RFP Section 8	<input checked="" type="checkbox"/> Have read and complied with instructions.
Contractual Terms and Conditions RFP Section 9	<input checked="" type="checkbox"/> Have read, understand, and complied with instructions.
Attachment C: Cost Sheet	<input checked="" type="checkbox"/> Have read, completed, and complied with all requirements.

William S. Kaplan, CPCM

Authorized Printed Name



Authorized Signature

23 October 2014

Date

## ATTACHMENT B MANDATORY PROPOSAL QUALIFICATIONS

**MANDATORY PROPOSAL QUALIFICATIONS**

**Proposer:** Working KnowledgeCSP LLC

The following requirements are mandatory and must be met by all vendors submitting proposals. Failure to comply with one or more of the mandatory requirements may disqualify the proposal. However, if you disagree with any of the statements below, ETF may consider your proposal only if the issue is addressed in Proposal Tab 5 – Assumptions and Exceptions.

The Proposer **must** respond. ETF reserves the right to clarify a requirement with a blank response or a response that has checked both “AGREE” and “DISAGREE” within the same section.

Section	Qualification	Check One	
		AGREE	DISAGREE
4.1	Pursuant to s. 16.705(1r), Wis. Stats., services must be performed within the United States. The inability to perform all services in the United States shall be grounds for disqualifying your Proposal for this Contract.	X	
4.2	Proposer shall agree that any work products developed as part of the project (e.g. all written reports, drafts, presentation and meeting materials, etc.) shall remain the property of ETF.	X	
4.3	The firm has no conflict of interest with regard to any other work performed by the firm for the State of Wisconsin.	X	
4.4	The firm has not been suspended or debarred from performing Federal or State government work.	X	
4.5	During the past five years, the firm has not been involved with any litigation alleging breach of contract, fraud, breach of fiduciary duty or other willful or negligent misconduct. Or during the past five years, the firm has not been in bankruptcy or receivership.	X	
4.6	Proposer acknowledges that Section 5, Contract Performance Deliverables, can be met as listed in the RFP document.	X	

William S. Kaplan, CPCM

Authorized Printed Name



Authorized Signature

23 October 2014

Date

### **Tab 3      Response to Section 6 General Requirements**



***Proposal***

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**6.1 Describe your company**, including ownership, years in business, as well as the number of years your company has in knowledge management consulting, number of employees, number of offices and locations, primary lines of business (e.g. consulting, pension planning, insurance, etc.), business sectors your company services, type of organization (franchise, corporation, partnership, etc.), and other descriptive material. Include whether knowledge management is the company's primary line of business.

**6.1 Response:**



**Working Knowledge<sup>CSP</sup>** is a service disabled veteran owned small business (SDVOSB) founded and incorporated in October 2009 in the Commonwealth of Virginia as a Limited Liability Corporation (LLC). The company has been verified as a SDVOSB by the US Department of Veteran Affairs in 2010 and 2013 and is listed in the Vet Biz registry ([www.vip.vetbiz.gov](http://www.vip.vetbiz.gov)). We have also been certified by the Department of Veteran Affairs Commonwealth of Virginia as a service disabled veteran owned business (SDVOSB) continuously since our founding in Oct 2009.

Working Knowledge<sup>CSP</sup> is an independent knowledge management consulting company with one office located in Great Falls, Commonwealth of Virginia. We have been focused on knowledge management since Oct 2009. Our clients span the public, private, and international business sectors. William S. Kaplan, the Founder and Principal Consultant, is the sole full time employee and possesses 16 years of practical knowledge management experience. As a Chief Knowledge Officer (CKO), Mr. Kaplan understands the many dimensions of KM required to develop, and implement, a sustainable enterprise KM Framework in an organization. *Knowledge Management is the primary line of business.*

Our successful consulting business model is based on the ability to find and then collaborate with leading, proven subject matter experts in fields required to deliver client solutions when determined to be in the best interest of delivering to our client's requirements. We also collaborate on larger contract efforts where we support as a subcontractor or teaming partner providing not only knowledge management, but also strategic planning, organizational assessment, professional facilitation, process analysis and mapping, change management, and federal acquisition, contracting, and program management consulting services. Additional insight to our capabilities, solutions, and services is at <http://www.workingknowledge-csp.com/services>.



Our teammate **B3 Group, Inc.** is a Service Disabled Veteran Owned Small Business (SDVOSB) and Small Disadvantaged Business (SDB) founded in 2008. B3 Group is an S-Corp comprised of nine employees headquartered in Fairfax, Virginia. We have over six years of experience in both the commercial and private sectors providing IT driven solutions to meet our customers real world business needs. Providing IT solutions is the primary line of business for our company, with KM assessments and solutions being a part of that business line.

Consulting capabilities also include Program Management Office (PMO) support, application development, application support, help desk, business process reengineering and analysis, hardware support, enterprise-wide solution architecture, acquisition support, software/system training, systems and software requirements definition and documentation, training and curriculum development,

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independent verification and validation, and e-learning solutions. Additional insight to capabilities, solutions, and services is at <http://www.b3groupinc.com>.



Our teammate, **Greenes Consulting**, provides IV&V support for this project. Greenes Consulting is a small business with offices in the Tucson, Arizona metro area. Kent Greenes, the founder, has over twenty-five years of KM and related experience in all dimensions of knowledge management and collaboration. As a Chief Knowledge Officer (CKO) for two global corporations, Mr. Greenes understands the many dimensions of KM required to develop, and implement, a sustainable enterprise KM Framework in an organization. *Knowledge Management is the primary line of business.* Additional insight to capabilities, solutions, and services is at <http://www.greenesconsulting.com>.

**B3 Group, Greenes Consulting, and Working Knowledge<sup>CSP</sup> have successfully teamed on KM assessment and implementation projects in the recent past.**

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***Proposal***

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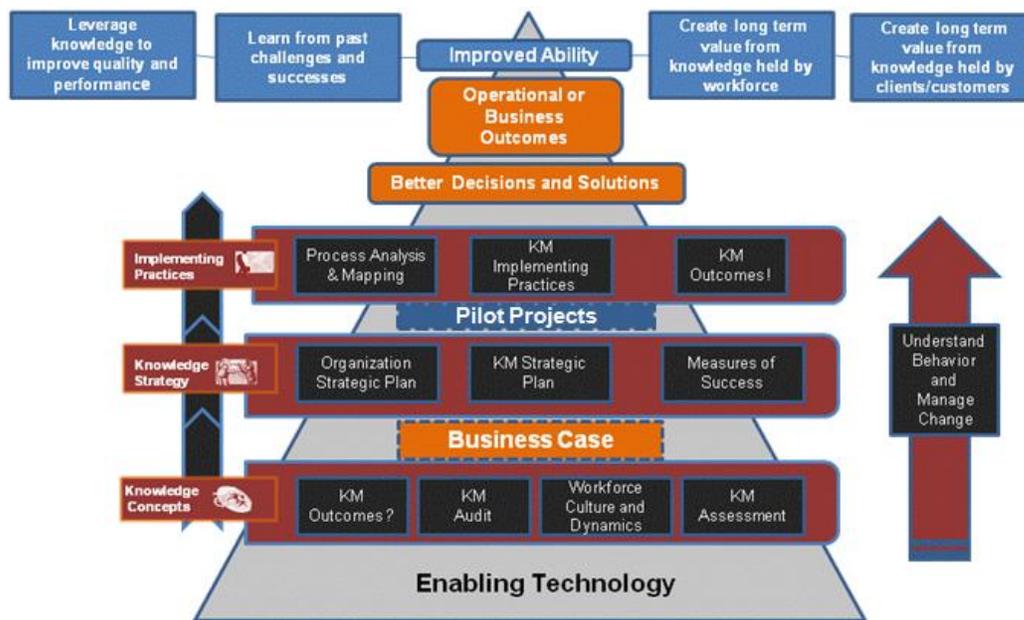
**6.2 Describe your strengths regarding efficient and thorough assessment and implementation of knowledge management in organizations that lack a knowledge management structure.**

**6.2 Response:** Working Knowledge<sup>CSP</sup> developed the Concept | Strategy | Practice (CSP) Model after integrating the learnings and experience from 15 years of applying knowledge management concepts, strategies, and implementing practices to develop and implement sustainable KM frameworks with clients in business and operational environments in both the public and private sectors. For organizations seriously considering developing and implementing a KM framework, this proven, disciplined, and successful model helps an organization to focus upon:

- easily stated and easily understood outcomes
- tied to select measures of (KM) success
- tracked to existing strategic initiatives and measures of value
- implementing KM in the context of the organization in terms of people/culture, process, enabling technology, and content.

**Figure 6-1, Working Knowledge<sup>CSP</sup> Concept | Strategy | Practice Model<sup>®</sup>** depicts the model. Each step is explained below:

**Working Knowledge<sup>CSP</sup> Concept | Strategy | Practice Model<sup>®</sup>**  
Figure 6-1



©Working Knowledge<sup>CSP</sup>

Each phase of the model focuses on a critical component needed for the organization's KM success:

**Knowledge Concepts:** Developing a concept for KM in the organization based on desired outcomes, identification of what is critical and relevant knowledge, the culture of the organization, an assessment of the organization's KM maturity, and the organization's readiness to take on and sustain a KM investment.

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- **KM Outcomes:** What do you want to happen as a result of investing in KM? What changes are you focused upon achieving, near term and longer term? Why are you seeking change? What is the business or operational challenge you are addressing?
- **KM Audit:** What are organization's knowledge needs, gaps and opportunities in five key areas?
  - What is the critical *and relevant* knowledge (information + experience) that is necessary and fundamental to achieving the desired mission outcome?
  - Current levels of knowledge usage and communication
  - Current state of corporate knowledge management
  - Identification and clarification of knowledge management opportunities
  - Identification and clarification of potential knowledge problem areas
- **Workforce Culture and Dynamics:** What is the underlying workforce culture and dynamics of your organization? Will it have a positive or negative impact on the success of an investment in KM or KM Project?
- **KM Assessment:** How “ready” is your organization to “make the behavior changes” necessary to implement a performing and learning approach to knowledge capture, retention, and reuse that is part of the way you work? There are six elements in the Working Knowledge<sup>CSP</sup> Assessment model.

**Knowledge Strategy:** Understanding the strategic plan of the greater organization of which the implementing organization is a part and then ensuring that the business case for KM investment over the longer term can be made in this context. This includes developing a KM strategic plan that is linked to the overall strategic plan of the organization to ensure that there is funding and resources to sustain the investment. Most importantly, we help the organization identify meaningful measure of success that are used not only to measure the progress of the KM program, but also the value (return) it provides to help to ensure continued funding and resource support.

- **The KM Business Case – Link between Concept and Strategy:** The KM effort can have a significant and positive impact on the performance and success of the entire organization if one is successful in getting the larger organization to see the value in the proposed efforts. The business case must tie knowledge management investment to business, operational, and mission outcomes.
- **Align with the Organization’s Strategic Planning:** How does one align and make the KM Strategy an integral part of the strategic planning of the organization? An investment in knowledge management must have a strategic orientation in that all KM activities tie directly into and support overall organization goals
- **KM Strategic Plan:** What are the objectives of the KM strategy and what are the goals which are necessary to achieve these objectives? How is this tied to a business benefit or outcome?
- **Measures of Success:** What are the most meaningful measures of success for the KM efforts and how are they tied to the KM Strategic Plan, and ultimately, the strategy for the organization? Measures of success can take many forms and serve many purposes.

**Proposal**

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**Implementing Practices:** KM implementation should be based on the unique environment and desired outcomes of the implementing organization...what makes sense in that organization's context. Previous insight gained from Phase 1 and Phase 2 provides the necessary baseline to develop a framework that fits the uniqueness of the organization and its unique goals and desired outcomes.

- Process Analysis and Mapping: What are the critical or core processes and are they visible? Before one can improve, it is important to have a shared view or picture of what is being improved ... knowledge enabled process maps.
- KM Implementing Practices: What are the context relevant implementing practices that will move the organization toward its desired KM outcomes? How will they be embedded, implemented, and sustained? What training is necessary to make them part of the way that work gets done, and not an extra task?
- KM Outcomes: Is the organization achieving the desired outcomes determined at the beginning of the effort?

**Understand Behavior and Manage Change:** This is a continuous and concurrent effort starting on day 1. What approach to introducing KM and implementing practices fits the organization due to the unique workforce dynamics and culture of the organization? How will change happen and be sustained? What is the communication strategy?

#### **Relevance to ETF**

It is important to describe in more detail how assessment, analysis, and recommendations come together within the model. Above, we described the "what" of the CSP model. In TAB 4, we describe in more detail the "how" we will meet the requirements of the RFP through a methodology for assessing, analyzing, and developing an effective and sustainable implementation plan for enterprise KM at ETF.

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#### **Proposal**

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**6.3 A detailed description of three (3) similar past knowledge management consultant projects, including a description of the services, and dates the services were provided. Include at least the following:**

- **Staffing on each of the projects.**
- **The three (3) reference provided must match the references provided on Form Vendor Reference (DOA-3478). Each reference must identify:**
  - **The entity for which you provided services and entity’s line of business.**
  - **A contact person.**
  - **Details of products and services provided.**
- **ETF reserves the right to contact references other than those provided.**

**6.3 Response:** Working Knowledge<sup>CSP</sup> provides the following three (3) similar KM consultant projects that are also listed on DOA-3478, that represent the types of skill sets, experience, and approaches that are relevant to the ETF requirements:

<b>Client</b>	<b>Department of Veteran Affairs Acquisition Academy (VAAA)</b> <a href="http://www.acquisitionacademy.va.gov/">http://www.acquisitionacademy.va.gov/</a>
<b>Line of Business</b>	Training and certification of the VAAA and other agency acquisition workforces.
<b>Contact</b>	Stephen Wilson
<b>Title</b>	Contract Specialist
<b>Phone</b>	(303) 273-6215
<b>e-mail</b>	<a href="mailto:Steve.Wilson4@va.gov">Steve.Wilson4@va.gov</a>
<b>Period of Performance</b>	June 2012 (base year) + four option years; We are currently in Option Year 2.
<b>Project Budget and Cost at Completion</b>	\$1.2 million over 5 years; annual budget of ~\$240,000. All deliverables provided on time and within or below budget. Working Knowledge <sup>CSP</sup> earned "Excellent" ratings in the Government's Contractor Performance Assessment Rating System (CPARS) for years 2012-2013 and 2013-2014.
<b>Project Description</b>	The Department of Veterans Affairs, Office of Acquisition and Logistics, Acquisition Academy commissioned the design, development, and delivery of a comprehensive and sustainable next generation Knowledge Management (KM) Framework. The VAAA recognized that it was critical to implement a knowledge management framework across its enterprise that will enable it now and into the future to acquire, maintain, and reuse its knowledge to provide not only the agility necessary to successfully adapt to change, but also the ability to evolve support to the VA acquisition workforce as new requirements present themselves. This is a multi-year program that includes two phases: <ul style="list-style-type: none"> <li>• Phase I (Analyze, Assess, Recommend) COMPLETED: Conduct a comprehensive Knowledge Management (KM) Assessment and Analysis of the Appeals, its workforce, strategies, and operations, and deliver a detailed Enterprise Knowledge Management Strategy and Implementation Roadmap.</li> <li>• Phase II (Design, Develop, Implement) ON CONTRACT: This is a five year contract with 4 option years. The program is in its first option year. Working Knowledge<sup>CSP</sup> and its multi-contractor team began the design, development, and implementation of the VAAA Enterprise KM Framework in July 2012. The Phase II program, co-delivered with the VAAA, will:                         <ul style="list-style-type: none"> <li>○ Identify and categorize VAAA critical and relevant knowledge both from a the operating staff and schoolhouse perspectives</li> <li>○ Map critical cross organizational business and operational processes to create consistent</li> </ul> </li> </ul>

**Proposal**

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	<p>operational baselines across the schools that comprise the Academy</p> <ul style="list-style-type: none"> <li>○ Develop a knowledge taxonomy and enable an improved ability to categorize (tag) the knowledge created, captured and retained in ongoing operations so it is easily findable, accessible, and reusable</li> <li>○ Improve the VAAA's ability to "flow "knowledge and collaborate across the VAAA schoolhouse boundaries through improved use of KM enabling technologies and sustainable communities of practice</li> <li>○ Deliver basic training in KM concepts and skills</li> <li>○ Design and develop a learning and performance measurement and reporting capability</li> <li>○ Through carefully selected KM pilot projects demonstrate the value of KM in the VAAA as part of day-to-day business operations and workflow.</li> </ul>
<b>Role</b>	Working Knowledge <sup>CSP</sup> is the prime contractor for this effort, supported by three subcontractors: Knowledge Advisors (Measurement), PPC Corporation (Taxonomy), and <b>Greenes Consulting (KM)</b> . <b>B3 Group, our teammate on this ETF proposal supported our team</b> in an advisory role on behalf of the VAAA.
<b>Staffing</b>	<b>Working Knowledge<sup>CSP</sup> provided one (1) KM Consultant/SME</b> ; Knowledge Advisors provided one performance tool consultant; Project Performance Corporation (PPC) provided one (1) Taxonomy SME; and <b>Greenes Consulting, an SME on this proposal, provided one (1) KM Consultant/SME.</b>

<b>Client</b>	<b>Lubrizol Corporation</b> <a href="http://www.lubrizol.com">http://www.lubrizol.com</a>
<b>Line of Business</b>	Research, development, and production of complex specialty chemicals and polymers.
<b>Contact</b>	Alison Brunsdon
<b>Title</b>	Talent Development
<b>Phone</b>	(440) 347-6296
<b>e-mail</b>	<a href="mailto:Alison.Brunsdon@Lubrizol.com">Alison.Brunsdon@Lubrizol.com</a>
<b>Period of Performance</b>	June 2013 to November 2013
<b>Project Budget and Cost at Completion</b>	Protected (Project was delivered on schedule and within budget)
<b>Project Description</b>	<p>Working Knowledge<sup>CSP</sup> delivered four projects worldwide for Lubrizol.</p> <ul style="list-style-type: none"> <li>• Pilot project focused on challenges of workforce turnover and knowledge loss in production facilities. Working Knowledge<sup>CSP</sup> researched, analyzed, assessed, and recommended a going forward KM framework development and implementation strategy including taxonomy and suggested technology considerations for a major production plant facility.</li> <li>• Pilot project to demonstrate the value of embedding a Learning Before behavior and mind set through the use of Peer Assists in the design and construction of new plant facilities.</li> <li>• Pilot project to demonstrate the value of embedding a Learning After behavior and mind set through the use of Retrospects in the improvement of customer service support to Lubrizol customers.</li> <li>• Strategy and consulting support for KM implementation across Lubrizol.</li> </ul>
<b>Role</b>	Working Knowledge <sup>CSP</sup> was the prime contractor for these efforts.
<b>Staffing</b>	Working Knowledge <sup>CSP</sup> provided one KM Consultant/SME.

**Proposal**

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<b>Client</b>	<b>Inter-American Development Bank (IDB)</b> <a href="http://www.iadb.org">www.iadb.org</a>
<b>Line of Business</b>	Source of development financing for Latin America and the Caribbean. Provides grants, technical assistance and research.
<b>Contact</b>	Micha van Waesberghe
<b>Title</b>	KM Program Manager
<b>Phone</b>	(202) 623-3118
<b>e-mail</b>	MICHAV@iadb.org
<b>Period of Performance</b>	November 2013 to December 2013
<b>Project Budget and Cost at Completion</b>	Protected (Project was delivered on schedule and within budget)
<b>Project Description</b>	<p>The Inter-American Development Bank desired an external, independent review of the concepts, strategies, implementing practices, and enabling technology supporting its KLAVE methodology, a foundation of its Knowledge and Learning Strategy. In addition to capturing and making sense out of key learnings captured and otherwise derived from IDB operational and analytical activities in several IDB priority thematic areas (including Education, Labor Markets, Water &amp; Sanitation, and Green Finance), the efficient and effective dissemination of these Key Learnings is required in order for them to be understood, adapted, and reused.</p> <p>The Inter-American Development Bank (IDB) contracted with Working Knowledge<sup>CSP</sup> to provide an external review of the KM Team's evolving development and deployment of concepts, strategies, implementing practices, and enabling technology supporting its KLAVE methodology, a foundation for the IDB's knowledge and learning strategy.</p> <p>The research and report had to reflect an understanding of the generational learning styles of the IADB's knowledge seekers/users and providers. In addition to the concepts, strategies and implementing practices that enable the capture, sense making, and characterization of the knowledge for reuse, the enabling technology that supports the broader ability to transfer knowledge, the ability to "collect, connect, and collaborate," must also effectively support the flow of knowledge within and outside of the IADB communities supporting the key thematic areas that the IADB supports.</p> <p>To deliver the required report including the assessment and the results of our analysis, we reviewed online material, websites reachable publicly about the IDB, knowledge portals created by the IDB, and interviews with members of the IDB KM Team and customers. It specifically did not include interviews with outside stakeholders. We also compared the implementation of the Klave methodology to our experience with other organizations that use a similar "Performing and Learning" approach and model to create value from the knowledge of their organizations. We selected one for a detailed comparison side by side with the "Klave" concept implementation.</p>
<b>Role</b>	Working Knowledge <sup>CSP</sup> (KM Assessment and Analysis) was the prime contractor for this effort. We were supported by one subcontractor, <b>B3 Group</b> (Enabling Technology assessment and recommendations), a teammate on this ETF proposal.
<b>Staffing</b>	<b>Working Knowledge<sup>CSP</sup> provided one (1) KM Consultant/SME; B3 Group provided one KM Technology Consultant/SME.</b>

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**6.4 Provide a resume for each person to be assigned to the deliverables within this RFP.** Each resume must present a brief description of experience in sufficient detail to demonstrate that the person can perform the work required under this RFP. For any person to be assigned to the deliverables in this RFP who was not involved in the past knowledge management consultant projects listed in 6.3, please provide three (3) references for each such person along with the resume.

**6.4 Response:** In this section we provide the resumes of consultants supporting the deliverables. All have worked together with Working Knowledge<sup>CSP</sup> as teammates on the reference projects. Their resumes follow. The two consultants assigned to this project are **Bill Kaplan, Working Knowledge<sup>CSP</sup>** ([www.linkedin.com/in/ckobillkaplan/](http://www.linkedin.com/in/ckobillkaplan/)), **Brad Palmer, B3Group** ([www.linkedin.com/pub/brad-palmer/28/b55/413](http://www.linkedin.com/pub/brad-palmer/28/b55/413)). Mr. Palmer has supported KM projects with our company as a subcontractor or technical advisor -- the VAAA and the Inter-American Development Bank. Also supporting the ETF effort is **Kent Greenes, Greenes Consulting** ([www.greenesconsulting.com](http://www.greenesconsulting.com)), as a Knowledge Management subject matter expert (SME). Mr. Greenes will provide reach back capability and independent quality assurance verification and validation for ETF deliverables.

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**William S. Kaplan (Bill)**  
**Founder and Principal Consultant**



**Dynamic leader, consultant, change agent, and knowledge practitioner offering proven success in the public and private sector harnessing the power of collaborative learning and knowledge transfer for measureable and sustainable business results.** Delivering step-change improvements in business and operational performance through facilitating and enabling the capture and reuse of critical personal and organizational knowledge.

**Core Competencies Knowledge Management**

**Concepts, Strategies, Implementing Practices**  
**Strategic Planning & Balanced Scorecard**  
**Continuous Performance Improvement**  
**Organization Stand Up and Integration**  
**Collaboration and Relationship Building**  
**Knowledge Based Quality Management**  
**Knowledge Based Process Engineering**

**Workforce and Learning Performance**  
**Professional Consulting Training and Experience**  
**Professional Facilitation**  
**Corporate Ethics Leadership**  
**Change Management**  
**Continuity of Operations Planning**  
**KM Training**

**Relevant Experience**

**Founder and Principal, Working Knowledge<sup>CSP</sup> LLC (2009 – Present)**

- CVE verified service disabled veteran owned small business (SDVOSB)
- Delivering practical understanding and application of KM concepts, strategy, and implementing practices to help organizations solve business and operational challenges affecting their performance and mission success.
- Providing trusted, context based solutions, services, and coaching in all dimensions and implementations of Knowledge Management.

**Chief Knowledge Officer and Knowledge Management Practice Manager, Acquisition Solutions, Inc. (2005-2009)**

- **Developed and embedded corporate-wide practices for the explicit management of organizational and client knowledge into the business and operational processes of Acquisition Solutions** making collaboration and knowledge sharing in and across our teams a routine part of planning and operations.  
**Results: Improved corporate ability to adapt to organizational and environmental change and effectively leverage critical workforce and leadership knowledge to deliver sustained performance to stakeholders and clients.** Acquisition Solutions earned recognition as a North American Most Admired Knowledge Enterprise (MAKE); first time considered in 2007 earned #18 ranking out of 54 considered; in 2008, earned #16 ranking out of 52 considered; in 2009 a #13 ranking, ahead of several major Fortune 50 companies.
- **Designed, developed, and led our corporate knowledge strategy that led to record year over year growth.** Results directly contributed to our ability to effectively manage knowledge to capture,

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transfer, adapt and reuse what we know about what we do; and consistently deliver high quality and innovative solutions to a diverse cross-section of public sector clients, including US Federal Civilian, Defense and Homeland Security Agencies (56 distinct clients across 13 cabinet level departments and seven agencies), as well as local government agencies.

**Results: 13% organic revenue growth in 2008 over 2007 and a three year combined annual growth rate of over 20%.**

- **Improved the quality in customer solution delivery measured by high marks in regular, independent client quality surveys.** Developed and integrated a comprehensive “knowledge based” quality framework and implementing practices that measurably improved client quality assessments of their experience with Acquisition Solutions.

**Results: 90% of existing clients exercised options or contracted for new business.**

**Corporate Ethics Officer;** Acquisition Solutions, Inc. (2005-2009)

- Crafted a systems approach to corporate ethics and developed a framework for implementing a benchmark ethics and compliance infrastructure for the company.

**Deputy Director Knowledge Management Consulting Practice and Senior Consultant,** SAIC (1998-2005)

- Led efforts to develop the ongoing KM vision and strategy, processes, metrics for success, and tools for the SAIC Knowledge Management Consultancy.
- Recognized as one of the early leaders and practitioners of knowledge management in the government sector.
- Led project teams for several major internal and external knowledge management projects including SAIC, the Defense Threat Reduction Agency (DTRA), the Defense Acquisition University (DAU), and the US Army Corps of Engineers.
- Provided acquisition consulting and developed training for the Office of the Secretary of Defense and the Deputy Assistant Secretary of the Army (Procurement).

**Multiple Command and Leadership Positions, Roles, and Responsibilities**

- United States Air Force (1973-1998)

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## Education

- **Professional Degree (PD), Engineering Management, (Knowledge Management Concentration), The George Washington University, Washington DC**
- **Industrial College of the Armed Forces, National Defense University, Washington DC**
- **Defense Systems Management College Program Management Course, Washington DC**
- **MBA, Southern Illinois University at Edwardsville, Edwardsville, IL**
- **B.S. Business and Economics, Lehigh University, Bethlehem, PA**

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## Bradley B. Palmer Project Manager and COO

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Solid experience in providing enterprise technical business solutions and service offerings, including in pre-sales, software development life cycle, project management, and change management services to public sector and commercial clients.

### Core Competencies Business and Information Technology

Business Analysis  
Project Management  
Requirement Analysis  
Software Life Cycle Development  
End User Training  
SharePoint Development  
SharePoint Deployment  
Database Administration

### Computer Skills

**Office Automation:** Word, PowerPoint, Excel, MS Project, VISIO, Adobe Illustrator, Outlook, SharePoint 2007, SharePoint 2010, SharePoint Designer 2007, SharePoint Designer 2010, InfoPath 2007/2010, Adobe Acrobat, MS Office 2010, Automated Acquisition Management System (AAMS), Department of Labor Electronic Procurement System (EPS), Department of Veterans Affairs Electronic Contract Management System (eCMS)

**Software Languages:** C, C++, Visual Basic

**Databases:** Oracle, Access, SQL Server

**Internet Tools:** Adobe Photoshop, Cold Fusion, Adobe Illustrator, Dreamweaver, HTML, Adobe CS 6, GIMP

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### Relevant Experience

#### Project Manager      **B3 Group, Inc. (January 2006 to Present)**

Serving the Department of Veterans Affairs, Office of Acquisition, Logistics and Construction (OALC)

- Developed and led trainings for VA Acquisition Workforce on Electronic Contract Management System (eCMS). Ability to quickly pick up best practices of local contracting offices and adapt system to meet their needs. Managed IT projects for VA Transportation and VA Publications, providing IT solutions for real world business needs.
- Worked to navigate the IT aspects of the legacy system for tracking VA Publication Job Orders, providing temporary intermediate solution, and then provide guidance regarding the replacement system. Serve as a liaison between the Office of Acquisition and Logistics and the Office of Information Technology, translating IT business needs and serving as a voice for the organization in various projects in which OAL is a project stakeholder.

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- Created cost benefit analysis for the creation of nationwide Video Teleconferencing System, proposing an estimated savings of 250K annually to the organization, based on deferred travel, lodging, and other costs associated with having face-to-face meetings. Helped to create request for proposal for VTC system, managed project requirements, and ensured successful implementation/installation of system. Managed the logistics for nation-wide VA eCMS trainings. This included web based, classroom, and self taught trainings for over 1000 contracting professionals across 21 VISNs. Helped to create prototype for the FAC-C Certification system, which led to the creation of the VA Acquisition Academy.
- Worked as member of the stakeholder group for this project, managed daily operations of contract staff in support of this project, and worked to create an electronic database of all Federal Acquisition Certification in Contracting certifications of contracting personnel within the VA.
- Served as SharePoint Portal Administrator, making the Office of Acquisition and Logistics one of the trailblazing organizations in the VA making use of this technology. Was one of the charter members of the VA SharePoint Site Administrators group, which works to share best practices and innovative ideas to better serve the VA population.
- Created online request portal automating many previously manual internal processes such as IT Equipment Request, Video Teleconference Call Requests, Non-IT Equipment Requests, Network Access Request, Email Account Requests, Surplus Equipment Requests, Online Room Scheduling Request forms, and Office Space Requests. These many automated SharePoint solutions defined and streamlined what were previously manual processes, creating seamless integration/adaptations to VA Policy, and providing tracking of all approval streams and cost estimates. Created the Human Resource Tracking System to automate, track and expedite the hiring process within the organization. Business intelligence derived from HR Tracker allows management to make more purposeful and educated decisions regarding organizational staffing needs. Workflow tracking allows for quick identification of internal bottlenecks or process inefficiencies which need to be addressed.
- Created survey tool for VA-wide Project/Program Manager data call, used as primary indicator in providing gap analysis of existing personnel and training needs for VA Projects. Integral team member that created first SharePoint 2010 environment in the Department of Veterans Affairs; included configuration, hardware, and network aspects.
- Currently serving as PM for the development and migration of existing major VA organization SharePoint Portal to SharePoint 2010 environment. Led technical migration efforts for VA Acquisition Academy KM / Taxonomy effort, ensuring the SharePoint 2010 environment and related technologies were prepared and configured for success of the project.

**Senior Business Analyst                      BearingPoint (July 2006 – October 2006)**

Client: US Marshall's Services Asset Forfeiture Office

Worked with the Department of Homeland Security, specifically the US Marshall's Services Asset Forfeiture Office, on an IT solution for equitable sharing of funds associated with illegal seized goods, distributed to various law enforcement agencies. Provided business process analysis for 98 districts nationwide. Conducted and facilitated workshops with stakeholders and end users to gather functional and technical requirements for the system. Obtained formal sign-off from the key stakeholders and internal management regarding system development and implementation. Documented business processes and requirements. Perform audits for various assets and accounts for the USMS. Worked closely with Program Manager to develop change control management process to manage requirements and scope of the project. Developed document management standard governing the

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management of project documentation. Identified the data needs including the sources and data owners for data migration. Developed and maintained project plans and budget . Provided end user support and training to a user community of more than 500. Provided support and analysis regarding STARS financial system at USMS. Identified and developed additional proposal work for USMS AFO.

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## EDUCATION

- **James Madison University Harrisonburg, VA**  
Bachelors of Business Arts in Computer Information Systems
- **Clemson University Clemson, SC**  
Masters of Education in Higher Education Administration
- **Project Management Institute Philadelphia, PA**  
PMP Certification

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## Kent A. Greenes Founder and Principal Consultant



**Results-driven professional with an extensive track record in delivering high performance for global organizations.** Key strengths are leadership, relationship-building, and business transformation through the integration of people, processes and technology. Recognized world-wide as one of the most influential leaders and practitioners in the field of Knowledge Management. Specializes in harnessing the power of collaborative learning, community interaction and knowledge transfer for sustainable business results.

### Core Competencies Knowledge Management

Concepts, Strategies, Implementing Practices

Knowledge Management Training

Community of Practice and People Networks

Continuous Performance Improvement

Change Management

Collaboration and Relationship Building Knowledge Based Process Engineering

Workforce and Learning Performance

Professional Facilitation

### Relevant Experience

#### Owner and Founder Greenes Consulting (2006 - Present)

Responsible for developing and delivering knowledge management and collaborative learning consulting services to clients in the public and private sectors. Recent clients include Chevron Phillips Chemicals, CEP Physician Partners, Newmont Mining, Devon Energy, Veterans Health Administration, Sempra Energy, Qatar National Food Security, British Petroleum Whiting Refinery, Boston Consulting Group, Oliver Wyman, KPMG, PriceWaterhouseCoopers, Towers Perrin, BAE Systems, WBB Consulting, the U.S. Army, Kuwait Petroleum Company, Save the Children, Providence Health Care, NASA, MBIA, Northrop Grumman, The Conference Board, Acquisitions Solutions, the Defense Intelligence Agency and the U.S. Navy.

#### Key Accomplishments: 2011 – 2014

- Developed a KM Strategy & Implementation plan for Chevron Phillips Chemicals Company
- Developed a KM Strategy & Implementation plan for Qatar National Food Security Program
- Developed and delivered knowledge and innovation training and coaching for Devon Energy’s middle management leadership development program
- Developed a KM Strategy & Implementation plan for CEP America
- Designed and established global Communities of Practices across Newmont Mining
- Established the Change Management Council for TCB consisting of 22 Global 500 member companies; Led new thought leadership creation in “Changing the Way We Change”
- Developed a KM training program for the Veterans Administration Acquisition Academy
- Developed & implemented a KM Strategy to transfer and retain knowledge in a highly-intensive operating environment
- Led the assessment and valuation of PWC’s knowledge service organization

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**Key Accomplishments: 2009 - 2010**

- Introduced and established internal knowledge capture and community of practice capabilities for BAE Systems in their support of the Center for Geospatial Intelligence, National Security Agency.
- Currently designing approach to apply Peer Assists in the US Army communities of practice and professional forums to help war-fighters 'learn fast before doing'
- Introduced collaborative learning concepts to accelerate exploration and development of deepwater oil and gas reserves for Petrobras in Brazil
- Trusted external KM advisor to PwC. Designed and delivered a competitive assessment and ROI evaluation program for their internal KM efforts in 2010.
- Advisor on enhancing lessons learned for the Wildland Fire Lessons Learned Center
- Lead a Research Working Group for The Conference Board on "Knowledge Transfer in a Digital World: Using New Media Across Multiple Generations & Geographies"
- Currently leading The Conference Board's Learning & Knowledge Management Council, whose membership includes MasterCard, Lincoln Financial Group, Kent State University, E&Y, KPMG, Deloitte & Touche, Towers Perrin, Turner Construction, Blackboard, and Buck Consultants.
- Currently designing the delivery of a nationwide Lessons Learned program for the Department of Veteran Affairs
- Currently teaching the "Business & Practice of KM" course as Adjunct Professor in CSUN's KM Master's Degree program.
- Won a highly competitive bid for KM assessment and strategy renewal for Towers Perrin and delivered the project on schedule to a very high standard.
- Designed and implemented fast learning processes to improve business planning for Long Term Health Care for Providence Health Care in Alaska.

**Key Accomplishments: 2006 - 2008**

- Advised NASA JPL on their strategy and implementation of Communities of Practice, recommended improvements and renewal approach, and trained their staff in Community facilitation.
- Advised and trained knowledge management practitioners and account managers in Acquisitions Solutions, Inc, on renewing and sustaining of Communities of Practice, how to engage and consult with clients in KM and build a business case, and how to elicit and distil knowledge from experts.
- Developed and delivered a highly successful program to embed transfer of best practices across Kuwait Petroleum Corporation, one of the largest energy companies in the world.
- Designed and developed an enhanced approach to Lessons Learned for the Defense Intelligence Agency.
- Performed a KM strategy assessment for NASA's Exploration Systems Missile Directorate.
- Facilitated learning sessions before and after large financial deals for MBIA, and also trained and coached their internal staff in the competencies to facilitate these processes themselves.
- Developed a knowledge management strategy for Save the Children and provides advice and coaching in their implementation of learning processes.
- Advised and coached executives in Northrop Grumman in applying principles of Knowledge Leadership.
- Advisor and consultant to The Conference Board; serving as Program Director for their Learning & KM Council, leading a research working group on Multi-Generational Knowledge Transfer, and internally enhancing their traditional Council approach with modern Community of Practice capabilities to meet their new global growth aspirations.

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- Adjunct professor at California State University on the Business of Knowledge Management and in the process of developing a distance learning version of a KM Masters Degree course on this topic.
- Developed a KM proposal for World Vision International.
- Delivered keynote speeches for NASA, Delphi Intelligence Summit, and the Human Capital Institute.
- Elected to the Strategic Advisory Board of Tomoye, Inc., and the KMPro Organization.
- Served as external advisor to the US Army Battle Command Knowledge System.

**Chief Knowledge Officer & Senior Vice President (SAIC)(May 1999 – Jan 2006)**

Responsible for initiating and leading the internal business transformation of the corporation and win new clients by establishing a world-class Knowledge Management (KM) practice. KM clients included British American Tobacco, Johnson & Johnson, Frito Lay, Amerada Hess, Unocal, Nexen, Saudi Aramco, PDVSA (Venezuela National Oil Company), Pfizer, Northrop Grumman, the Defense Intelligence Agency, U.S. Navy, U.S. Army, U.S. Air Force, Department of Defense Office of Change Management, Naval District of Washington, and the Defense Ammunition Center.

**Key Accomplishments**

- Raised Knowledge management to a new level of operating performance in Unocal, PDVSA, and Saudi Aramco.
- SAIC received their first MAKE Awards in 2005, winning in both the North America and Global categories. Kent is the only person in the world to have led more than one company to this coveted award.
- Developed and led the first corporate-wide transformation in SAIC's 35 year history; created a roadmap based on company business strategy and findings of gap analysis and organizational diagnosis; facilitated leadership alignment; introduced Six Sigma as methodology for executing business process improvement projects that delivered over \$80 million in cash flow improvement and introducing new discipline and transparency in company culture.
- Established successful, global KM Consultancy business, winning 15 new contracts for SAIC in 5 years and maintaining a 100% track record in delivering client performance targets. This included the development of 16 staff to a high level of KM competency and a client base from the ground up.
- Developed the first web-based knowledge assets and communities of practice in SAIC for Outsourcing, Iraq Reconstruction, and Mergers and Acquisitions.
- Embedded a set of simple learning processes to help internal staff quickly harvest their key learning and create new knowledge from their experiences.
- Delivered keynote speeches for the US Senate, US Air Force, CIO Emerging Technologies Conference, Braintrust, Army War College, Saudi Aramco, Advanced KM in Oil and Gas Europe, Canadian Conference Board, IMF Executive Conference, KM and Organizational Learning Conference, UCSD, Microsoft, Joint Special Operations, PlantSuccess, US Army, Northern Command, The Conference Board, The Economist CIO Conference, Energy Economy Conference, Forbes CFO Conference, George Washington University, and the Association for Managers of Innovation.
- Recognized as one of the top twenty KM leaders in the world by the Most Admired Knowledge Leaders (MAKL) survey in 2000, among a group that included Jack Welch and Michael Dell.

**Head of Knowledge Management (British Petroleum, London, UK)(Jan 1997 – April, 1999)**

Reported to the Managing Director of Regions & Policies. Responsible for creating a world-class KM practice to enable BP to learn and perform faster than the competition.

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### **Key Accomplishments**

- Delivered more than \$260 million in cost savings and added value through the direct application of KM processes and practices in business operations.
- Recognized by Fortune Magazine in June 1999 as the world's leading moneymaker in Knowledge Management;
- Led BP in their recognition as one of the Most Admired Knowledge Enterprises, second only to Microsoft, in the 1999 MAKE Survey (and awarded every year since);
- Established KM as a key performance lever for BP's next level of performance and growth by building and implementing Communities of Practice (referred to as Networks in BP) in key operational domains and embedding learning and performing as a routine way of working in the business units;
- Created and implemented a KM strategy for the BP Group, and co-developed the IT Strategic Framework for BP's 5-year business plan;
- Engaged CEO, MD, Chief Executives, Business Unit Leaders, and Operations in the possibilities of KM and how it can impact their business performance, leading to strong demand pull for KM;
- Led a team of practitioners and project directors to co-deliver KM projects in the BP Businesses (Japan, China, Singapore, Europe, UK, US, Venezuela and Colombia);
- Accelerated the development of BP's competency in re-using knowledge, and sharing and leveraging expertise at all levels in the organization;
- Built BP's external reputation as frequent keynote speaker for international conferences on KM and Organizational Learning, and as a KM advisor outside the oil industry (World Bank, Motorola, UN Development Programs, Zurich Group, Proctor & Gamble, and Aker- Maritime).

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### **Education**

- **Kellogg Executive Program, Northwestern University** (Feb 1992)
- **M.S. Degree in Geophysics from the University of Arizona** (May 1980)
- **B.S. Degree in Geology from Kent State University** (May 1977)

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## Tab 4      **Response to Section 6 Technical Requirements**



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**7.1 Identify obstacles your company has experienced with similar projects, and describe your approach to managing them.**

**7.1 Response:** In this section in **Table 7-1, Key Obstacles, Risks, and Environment**, we describe some of the types of obstacles (challenges) and risks that we have addressed on other KM projects that the ETF could face, along with recommended solutions. The management of risks is a shared responsibility between ETF and the Working Knowledge<sup>CSP</sup> team (WK) that can facilitate a successful project.

**Key Obstacle, Risks, and Environment**

Table 7-1

Obstacle	Risks	Environment	Solution
<b>Schedule Management</b>	KM programs can be impacted by a number of environmental factors or critical events that impact on travel, staff turnover, geographic relocation of staff and organizational units, leadership changes, and leadership attitudes	Unforeseen Not within the control of the program	<ul style="list-style-type: none"> <li>• Be flexible and tuned to the client and project environment by (1) having the WK Team immersed in the project and (2) communicating regularly with client management.</li> <li>• Keep the KM methodology simple and repeatable to allow flexibility and ease of adoption as priorities change.</li> <li>• Stay focused on client-driven operational and business goals.</li> <li>• Plan for change: Focus the pilot<sup>1</sup> and subsequent post pilot KM efforts on strategic business initiatives. Clearly define goals that address these initiatives. In so doing, the path may change, but the direction you are traveling is always clear.</li> </ul>
<b>Resource Management</b>	On some KM programs, after the initial period, demand can begin to outpace the time available for KM coaching and advice in support of the client as momentum, awareness, and value increase	Additional staff may not be available  Hiring staff may not be an option  Consultant support may not be funded	<ul style="list-style-type: none"> <li>• Pay close attention to organizational changes, organizational requirements, and the pace of KM adoption within the client organization in order to provide needed notice to begin training additional client knowledge managers.</li> <li>• Typically this need begins slowly—but when it starts to build, it gains speed exponentially. Plan accordingly by providing internal people, when possible, as early as possible, for the WK Team to train and coach as the project progresses.</li> <li>• In addition, technical and system resource management issues can surface. Often vendors only approach KM</li> </ul>

<sup>1</sup> Pilot projects: We believe that implementation should include pilot projects that focus on solving real time business or operational challenges where the ability learn quickly can demonstrate the value and impact that KM can provide within an organization at the individual, team, and organization level.

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			<p>from a technology perspective; however, technology alone is not sufficient. The WK Team leverages existing investments in an organization’s technology base, and, when requested, can inject new, scalable processes and technologies at minimum risk within controlled pilot environments.</p> <ul style="list-style-type: none"> <li>• To maximize efficiency, alleviate territorial resistance, and build critical support relationships.</li> <li>• Work closely with the organization’s IT department, starting early in the process by creating strong alignment with the IT stakeholders and typically engage them to do the lion’s share of the IT work in their proprietary "corporate" IT systems.</li> <li>• The WK Team's strong technical base allows us to guide and recommend, rather than dictate, enabling technology and systems requirements.</li> </ul>
<b>Issue Management</b>	<p>Obstacles may arise during the execution of the KM pilot projects that require a “strategic bump” to get them going</p> <p>Senior leadership can change during a project</p> <p>Initial project goals and commitments may over time be misunderstood</p>	Requirements “happen”	<ul style="list-style-type: none"> <li>• Establishing a Senior Steering Group (SSG)<sup>2</sup> at the executive or senior management level that meets quarterly and can address these challenges. The SSG provides a mechanism to educate and develop ownership at the leadership level of the organization, facilitate issue management, and minimize risk when coupled with the adoption of written and agreed-upon project charters between those impacted by the various KM projects and programs, the SSG can ensure smoother completion of the project.</li> <li>• Plan for change. Tie pilot and post pilot goals to strategic operational or business objectives. In this way, the project is focused on the needs of the organization, not on KM.</li> </ul>
<b>Logistics</b>	Due to security or operational challenges, access to knowledge sources can be delayed, potentially delaying knowledge capture and other KM	Access is provided by the ETF to ensure project success	<ul style="list-style-type: none"> <li>• Careful planning and scheduling with the client knowledge manager and other points of contact can alleviate many of these issues.</li> <li>• The most effective way is for the WK Team consultants to be where the work gets done and maintain a regular presence on site (or through virtual</li> </ul>

<sup>2</sup> Note the value of a Senior Steering Team (SSG) suggested. This will be addressed after award.

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	activities		<p>collaboration as a backup when conditions/requirements do not provide for this).</p> <ul style="list-style-type: none"> <li>• Continuous communication is critical.</li> </ul>
<b>Leadership Confidence</b>	Sometimes people change their views for any number of reasons, or the people themselves change roles	Leadership confidence needs to be addressed in a proactive way	<p>Experience has taught us the following keys to developing and sustaining leadership and management confidence:</p> <ul style="list-style-type: none"> <li>• The Senior Steering Group (SSG) plays a critical role in education, communication, and development of leadership confidence</li> <li>• The early development of metrics, early wins results, and ongoing schedule and budget adherence are key to instilling management confidence.</li> <li>• The evaluation criteria for pilot project selection are key to developing leadership confidence.</li> <li>• Select projects carefully to ensure they have a high degree of: <ul style="list-style-type: none"> <li>– Operational or business impact (within a short period of time)</li> <li>– Business advocacy</li> <li>– Transferability and reach of learnings and results</li> <li>– Organizational and technical feasibility.</li> </ul> </li> </ul>
<b>Organizational Change</b>	Resistance to Change	<p>KM “cannot be done to you or for you.”</p> <p>The organization must be intimately involved in the process in order for organization and behavioral change to occur.</p>	<ul style="list-style-type: none"> <li>• The WK Team approach devotes an equal amount of attention on (1) delivering specific, tangible, business-driven performance improvements and (2) embedding core KM practices and skills in the people impacted by the new practices.</li> <li>• The WK Team ensures that design, development, and implementation, whenever possible, is co- delivered with the client, creating internal ownership for the outcomes.</li> <li>• The WK Team ensures the approach meets the people and teams ‘where they are’ in terms of culture, process, and technology.</li> <li>• The WK Team integrates a common, simple set of core KM practices that are easily understood, supported, and performed on the job, resulting in an embedded, sustainable way of working.</li> </ul>
<b>Technology Use</b>	Technology is managed by a group	Access to IT solution	<ul style="list-style-type: none"> <li>• Early partnership with IT solution administrators to enable KM efforts</li> </ul>

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	<p>outside of the business owner, therefore KM is not their priority</p> <p>Technology is not configured in a manner that enables successful KM support in the organization</p> <p>End users are not properly trained in the tools beings used and/or how they are used to support KM</p>	<p>administrators is available and collaboration is encouraged.</p> <p>Access to configuration of tools can be adjusted as required.</p> <p>KM is a priority for the organization and training is available.</p>	<ul style="list-style-type: none"> <li>• The Team provides recommendations and guidance as required for system configuration, based on established policies, processes, effective practices and lesson learned.</li> <li>• System/Tool trainings are made available; training on KM utilization is created and available</li> </ul>
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**7.2 Describe how the Proposer will meet the requirements of this RFP through a methodology for implementation of enterprise knowledge management at ETF.**

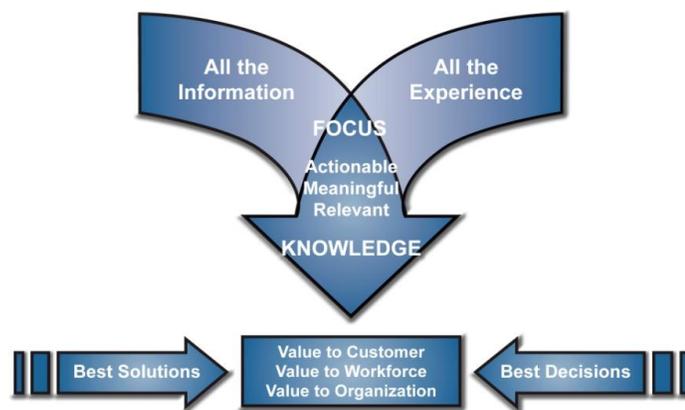
**7.2 Response:** In this section we describe a methodology for implementation of enterprise knowledge management relevant for consideration by the ETF. Note that the ETF phased implementation plan will be tailored based on the research conducted and the outcome of the analysis.

**Fundamental Concept of "Knowledge" and "Framework" Underlying our Solution**

It is important and necessary to establish a shared view of "Knowledge" as the foundation for delivering the ETF solution. Consider that knowledge comprises "all the information" and "all the experience and insight" in ETF. Information is represented by databases, documents, searchable content, and other physical artifacts. It is codified and explicit.

Experience is characterized by "what the ETF workforce knows about what they do," how they connect the dots and what they understand that enables them to plan and complete tasks that are not written down. It is the knowledge that resides in the heads of the leadership, the workforce, the customers, and stakeholders, and it is the most current and relevant knowledge available. It is personal and tacit. **Figure 7-1, Knowledge in ETF**, illustrates this concept.

**Knowledge in ETF**  
Figure 7-1



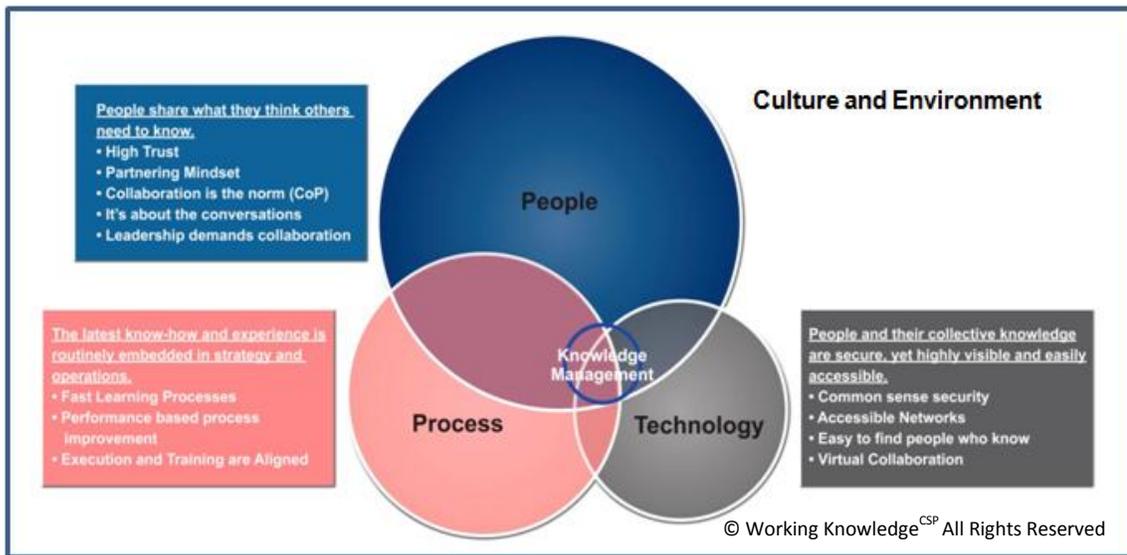
**Attributes of High Performing Knowledge Enabled Organizations**

From our many successful consulting engagements, we know that organizations successful not only in making knowledge management part of the business and operational processes and work flows of their organization, but also in sustaining their investment in knowledge management, share common attributes in the areas of people, process, technology, content, and culture and environment. These attributes can be viewed as guiding principles for KM evolution and sustainment in any organization. **Figure 7-2, Attributes of High Performing Knowledge Enabled Organizations**, reflects these attributes.

- **People:** These organizations promote and sustain an environment where people share what they think others need to know because there is high trust and a partnering mindset. Leadership demands collaboration and measures performance by it.
- **Process:** Knowledge is used to make changes in the future direction of the organization. Knowledge is captured routinely as part of the operating processes of the organization and these improvements in process also result in changes in the corresponding training associated with the processes.

### Attributes of High Performing Knowledge Enabled Organizations

Figure 7-2



- **(Enabling) Technology:** Knowledge needed is broadly accessible and secure for reuse when it's needed to satisfy the knowledge seeker's need regardless of origin.
- **Content:** Knowledge is searchable, findable, accessible, downloadable, and reusable.
- **Culture and Environment:** People see value in capturing knowledge and the time it takes to do this is viewed not as an extra task, but as a part of the way work is accomplished. Collaboration exists and is valued and knowledge moves across organizational boundaries. Communities of Practice are effective and supported.

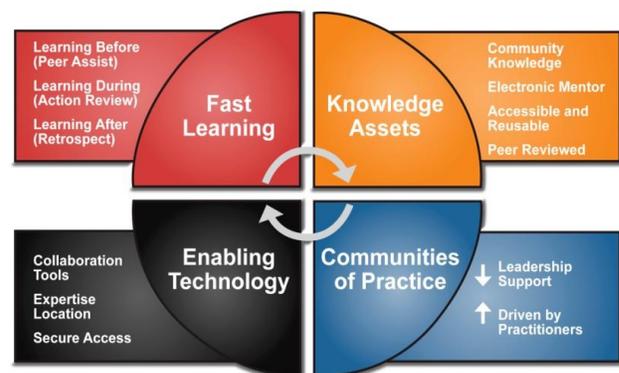
### Knowledge Management Framework

The KM Framework shown in **Figure 7-3, Knowledge Management Framework**, has been successfully deployed in many organizations in both the public and private sectors and initially. It involves four integrated components:

- **Fast Learning:** The ability to learn quickly before, during, and after work is completed as part of getting the work done. It supports the ability to adapt to change.
- **Knowledge Asset (Core Knowledge Base):** An accessible and reusable repository of the core knowledge of the organization (information + experience).
- **Communities of Practice:** Groups of practitioners and/or subject matter experts sharing common goals and a desire to improve their performance and the performance of their teams and

### Knowledge Management Framework

Figure 7-3



### Proposal

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organization.

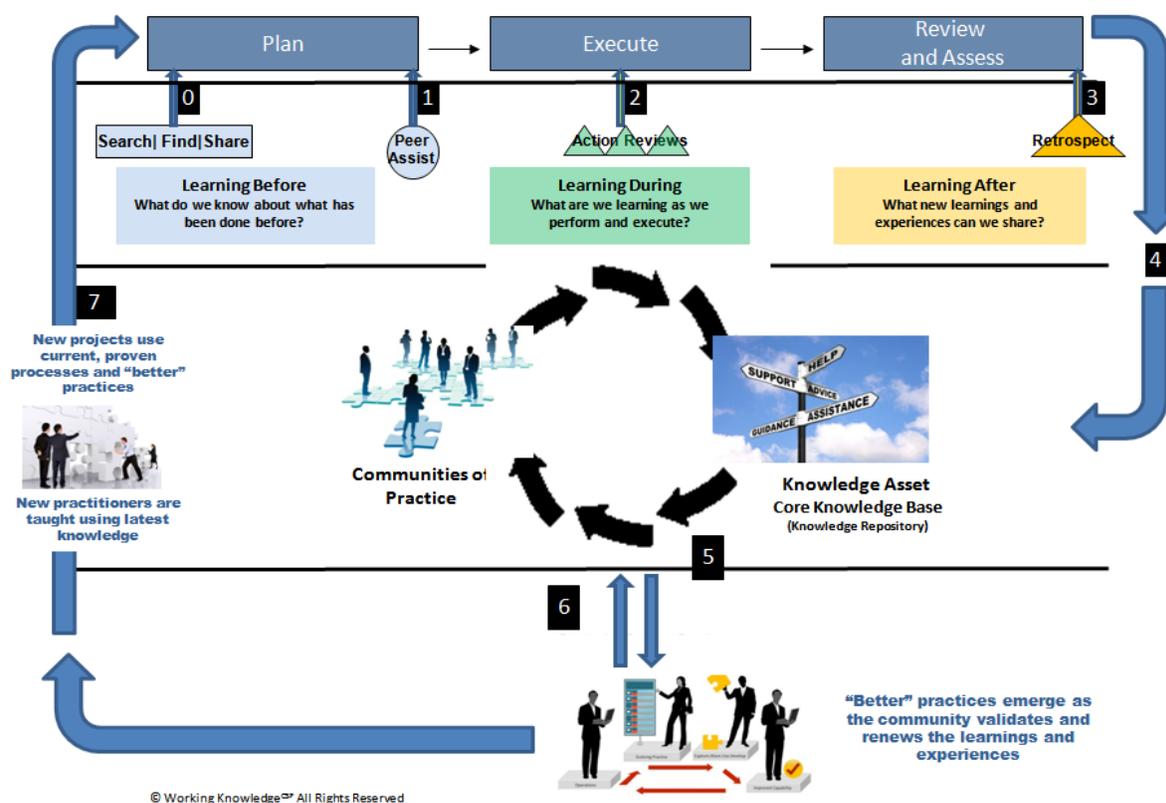
- **Enabling Technology:** Technology that supports an ability to “connect, collect, and collaborate” across the organization.

©Working Knowledge<sup>CSP</sup>

**Working Knowledge<sup>CSP</sup> "Performing and Learning" Framework**

In this section, we provide a different view of our framework from the perspective of "the use and flow of knowledge." This framework reflects our belief that *KM is always about continuous performance improvement*, making knowledge capture and reuse an integral part of how the organization works and operates. This framework, from an operational perspective, is depicted in **Figure 7-4, Knowledge Capture, Flow, and Reuse Model**.

**Knowledge Capture, Flow, and Reuse Model**  
Figure 7-4



We believe that this framework not only can be successfully implemented in the ETF, but also can provide an immediate and continuing improvement in the ability to capture, retain, and reuse "what the ETF knows about what it does." It is the model that we have successfully recommended, adapted, and implemented with many clients, in their specific context.

The phases are explained below:

**0-1:** During the planning phase of a task and project, individuals search the existing knowledge base to take advantage of what has been done and learned before so that reinvention is eliminated and the risk

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of failure is reduced based on what is now known. Conducting a Peer Assist or enabling and using other learning before behaviors or processes can add value to the task or project.

**2:** As a task or project is executed, participants conduct Action Reviews (Learning During behaviors or processes) to quickly and efficiently learn as a team from recent events or activities so immediate changes can be made in operations or activities.

**3:** After the completion of the task or project, participants take the time to review and assess their work. What have we learned from our experiences that we can reuse and share with others in the organization? They conduct a Retrospect (learning after behavior or process) with the team –and when appropriate they include relevant stakeholders -- to identify valuable lessons, enhance team openness and cooperation, and achieve closure at the end of the effort. Though not shown, interviews can also achieve and supplement necessary results.

**4:** Knowledge gained from planning, executing, reviewing and assessing work is stored in a knowledge repository (the Core Knowledge Base) to make it easily accessible for others in the ETF. Participants contribute and store knowledge in several ways, depending on their contributions:

- A Library for deliverables, templates, presentations and other work products.
- A Community of Practice for kudos, success stories, lessons learned, draft processes, and other relevant experiences.
- The Core Knowledge Base (Knowledge Asset) for new insights, recommendations and advice related to an existing process, methodology, or other subject.

**5-6:** The newly captured knowledge is now available to anyone to validate the learnings and to adapt and re-use to add value to their processes or solutions.

**7:** Validated learnings and newly created “better practices” become an integral part of the way the ETF “works” by incorporating these practices into training for new practitioners and by making the practices part of the baseline for starting new projects or tasks. In this way, the organization aligns process, execution, and training so that the most current knowledge from operations is always part of the training for the next group. The most current knowledge is always in people’s heads!

This framework is particularly valuable in helping to ensure, for example, consistent decision making when benefit decisions are made from one case to the next.

### ***Capturing And Retaining Key Knowledge From Existing Employees and Providing Training To New Employees***

The challenge of workforce turnover and knowledge loss is pervasive across both the public and private sectors. So, for example, it is important to understand that when a person, at the leadership or at the workforce level, leaves the ETF, or changes jobs, or, moves based on some other type of turnover, the knowledge that they possess leaves with them...unless the ETF has a consistent and disciplined process for capturing knowledge, adapting it in the context of the ETF and how it will be used, enabling its transfer across the ETF, and ensuring it is findable, downloadable, and reusable when needed.

The KM concepts, strategies and implementing practices we will propose will help to ensure that the risks of knowledge loss due to workforce turnover are mitigated across the ETF through embedding the

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are trained on the most *current and effective* processes and practices that are *actually being used*. This reduces "time to performance" and reduces the chance of errors.

Further, for refresher or supplemental subject matter training, field or operational employees bring the practices into the classroom, so that once again, people are trained on the way work actually is being accomplished. Effectively aligning process, execution of the process, and training on the process, helps to ensure that performance (and quality of effort) is continuously improved as part of the way work gets done and that the critical and relevant knowledge remains in the organization when the workforce turns over.

### **Managing Change from KM Implementation**

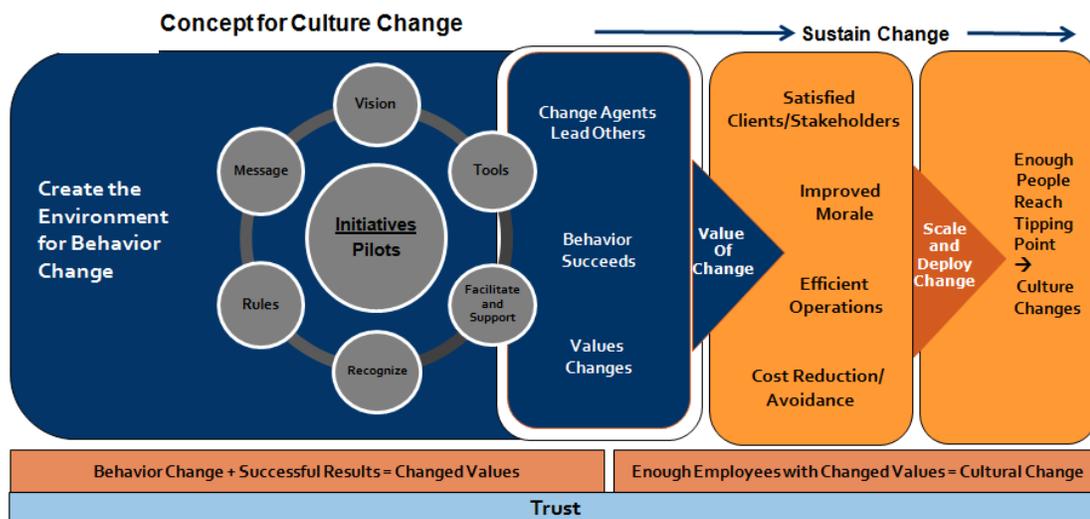
#### Create the Environment for Change

The ETF must build a corporate environment that fosters a desire for knowledge capture, retention, and reuse among the leadership and workforce that ensures its continual application, distribution, and creation. The ETF not only must link their people and their knowledge together with an effective KM framework and supporting KM technologies, but also facilitate the enabling behavior that sustains both its use and the return on the investment in its use.

This includes cultivating a knowledge sharing culture in the ETF based on trust. Trust supports the ETF knowledge management process by giving people confidence to continue to propose new ideas and recognize their contributions when these ideas succeed. In contrast, a lack of trust encourages workers to hoard knowledge that could preclude the ETF from reaching its mission objectives. **Figure 7-5a, Concept for Culture Change**, reflects our proposed approach to facilitating behavior change in the ETF.

### **Concept for Culture Change**

Figure 7-5a



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The ETF can facilitate successful behavior change happening by following a straightforward change management approach that models best practices after star employees (think also leadership). Star employees are those employees recognized and respected by leadership and peers alike. The ETF will

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leverage their best team players to lead change efforts from a “bottom up” perspective using the following approach:

Step 1: Establish the Objective — Identify Your High Performers

These high performers are influential leaders because they are highly respected for their track record, people skills, and positive corporate attitudes. A key element of the way they think is likely a commitment to the outcome desired that will almost always align with the objective of any proposed change. They become the core change agents.

Step 2: Promote the Change by Showing the Value of Change to the Individual

By answering the WIIFM (what’s in it for me) for the individual members of the ETF, this acts as a catalyst to engage others in the change process.

Step 3: Sustain the Change

The ETF change approach takes people “out of their comfort zone” and sustains the motivation for change which is critical because human tendency is to quickly resume past attitudes and behaviors. Sustaining change requires “practice in the behavior or process change that you wish to be successful in real situations. Pilot projects are effective in accomplishing this outcome.

Step 4: Scale and Deploy the Change Broadly

Next, results from the pilot project(s) are transferred across the ETF. The ETF leadership engages enough people in a very short period of time to generate a buzz and ensure others accept the new KM behaviors and processes. Those accountable for KM in the ETF cut across the traditional hierarchy of the ETF focused solely on leading and driving the KM change. Directly or indirectly, they are the role models to demonstrate the value of KM in the ETF and promote its success. The ETF PMO plays a major supporting role.

**In summary, in Section 7.2,** these are proven and successful concepts, strategies, and implementing practices that are readily adaptable to the unique environment, requirements, and expected outcomes of ETF. The specific application and integration within the ETF will be dependent on the results of our research and analysis of the current ETF knowledge management environment. The phased implementation plan (Section 7.4) will provide the ETF and the ETF PMO with a clear and defined roadmap for KM implementation and sustainment (maintenance).

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**7.3 Describe strategies used by your company in effectively communicating recommendations to client leadership, members/end-users and stakeholders. Include how your company incorporated feedback from the client to alter your approaches.**

**7.3 Response:** We view communication in the context of this question in two parts. One, ongoing communications during project execution, and two, final recommendations in support of the project's requirements.

***Communication During the Project***

We work with the client project manager/PMO to review the objectives and critical milestones. These objectives and milestones serve as the guide for monitoring and reporting project status for the project. We also believe that communication is strongly and directly linked to quality of performance and the desired outcomes.

Depending on the size and complexity of the project, we apply a multi-tiered approach for monitoring program progress. Regularly, as determined by the characteristics of the project, the team meets (e.g. Face-to-Face (F2F) or virtually) to review the status of the program. We review program performance, including financial, personnel, deliverables, and schedule. In addition, we review current and upcoming tasks/deliverables with the team.

Our strategy for identifying and resolving challenges that arise in the course of project planning and delivery is an integral part of our quality assurance philosophy. We understand that the success of any project is based on continuous communication; an informed team is able to anticipate challenges and is therefore able to maximize quality service by minimizing the impact of unforeseen events. Our challenge resolution process emphasizes identifying potential challenges at the earliest possible time. Early detection of potential difficulties can reduce or eliminate the possible adverse consequences of delay, which can include wasted effort, missed schedules, and increased costs. We will modify this approach to meet the context and requirements of the project.

***Identifying and Resolving Challenges***

The initial steps in the challenge resolution process are to identify the challenge and to determine its level of risk and the impact it may have on the project's schedule, budget, or technical performance. The process of analyzing the challenge and assigning a level of risk is an important aspect of our project management approach.

Depending on the nature of the challenge, we will resolve the challenge or work with the client to resolve the challenge and provide feedback on resolution progress. All challenges will be monitored by the Project lead to ensure that they are moving forward through the challenge resolution procedure and that satisfactory progress is being made toward their resolution.

***Challenge Resolution***

Challenge resolution consists of determining the resources and corrective actions needed to resolve the challenge (Action Plan), applying the resources and actions to implement a solution, and monitoring the progress and final outcome to ensure customer satisfaction.

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### **Communication of Recommendations**

Our KM consulting model is to co-deliver results with our clients to the greatest extent possible. This ensures continuous communication throughout the project so that the outcomes are familiar when the final report is presented.

As you will note in the response to the next question, 7.4, our methodology ensures that at each phase of the approach to delivering the required implementation plan (**Figure 7-6, Proven Methodology for KM Strategy Assessment & Development**), both the Working Knowledge<sup>CSP</sup> Team and the client team have been continuously engaged in the development of the solution. There are phased deliverables, such as the Taxonomy Analysis, the KM Tools Analysis, and the Gap Analysis, all of which support the next phases of the effort. Client feedback is not only valuable, but also absolutely necessary. There neither should be surprises nor unanswered questions. (see "Communication During the Project" above). There is reporting at each phase so that client feedback is heard, understood, and incorporated.

### **Value of Co-delivery of the KM Solution**

Unlike other KM solution providers, we ensure that the solution is co-delivered with the client and supported with the relevant KM training to ensure that there is a smooth transition from consulting support to client led sustainment. The value of our co-delivery model is summarized below:

- The KM solution and supporting documentation can be written in the kind of language (and jargon and buzzwords) people in the organization understand
- It will include concepts, strategies, implementing practices and tools selected to meet the specific needs of the organization and the tools selected can be adapted and tailored to the client's organizational context.
- The concepts, strategies, implementing practices and tools can be tested on real organizational problems and the feedback obtained can be used to improve them and help communicate them more effectively.
- The concepts, strategies, implementing practices and tools can go through a quality review and sign off process that the organization understands and respects.
- The fact that the concepts, strategies, implementing practices and tools are developed and/or implemented together with internal as well as external expertise means that the client staff know with whom they can follow-up for advice and support on when and how to implement them.

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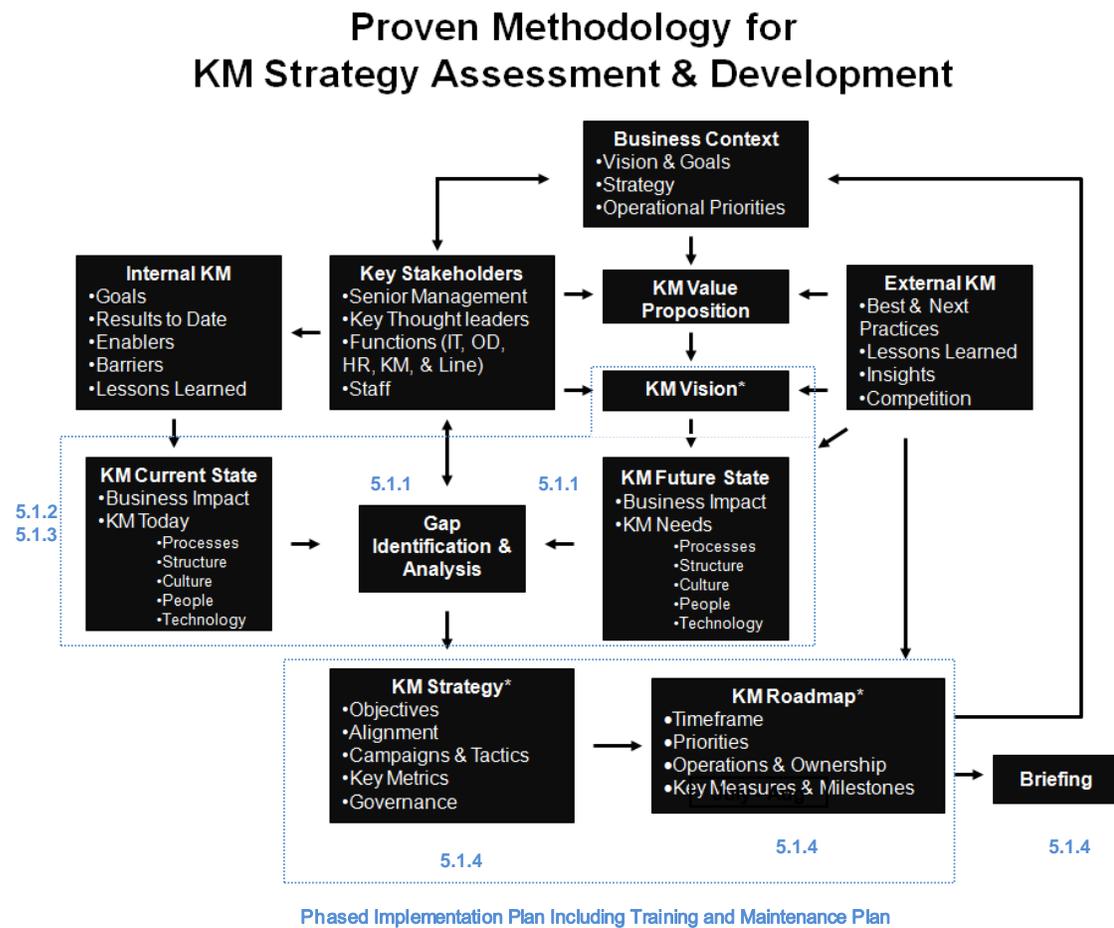
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**7.4 Describe in detail your approach to conducting a gap analysis for previous clients of a similar size and scope to this RFP similar to the requirements with Section 5.1.1. Provide two (2) examples of gap analysis reports your company has created for previous clients.**

**7.4 Response:** Conducting a gap analysis is a central milestone in developing the ETF KM Strategy and Recommended KM Implementation Plan. The approach we have taken with other clients will be the same approach we will execute for ETF, modified based on ETF's requirements. This overall approach, developed over many engagements in both the public and private sectors, is depicted in **Figure 7-6, Proven Methodology for KM Strategy Assessment & Development**. Note that the blue shaded text and lines align the Working Knowledge<sup>CSP</sup> methodology with the ETF required deliverables.

**Proven Methodology for KM Strategy Assessment & Development**  
Figure 7-6



Note: The blue dotted line boxes and blue numbers align our methodology to ETF required deliverables in **Table 7-2, Applying This Methodology to ETF Mandatory Requirements as Expressed in the RFP – Alignment of Deliverables**.

This approach will be particularly effective because the ETF desires the PMO to lead and deliver the implementation plan with KM coaching from the successful offeror. This approach incorporates the necessary skills and awareness training for the PMO to be able to implement the plan developed, early in the effort. The

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methodology described ensures successful completion of all deliverables required in Section 5 of the RFP, Contract Performance Deliverables. The **blue dotted lines** and **numbers** in **Figure 7-6, Proven Methodology for KM Strategy Assessment & Development**, show how the components of the methodology align with the ETF deliverables. This alignment is important to understand in order to better understand the pricing in Attachment C.

The following summary describes the disciplined and successful methodology depicted in **Figure 7-6, Proven Methodology for KM Strategy Assessment & Development** that we use to research, analyze, and assess the KM environment, develop a Gap Analysis, develop a KM Strategy, and then develop the recommendations and roadmap for a client's KM implementation and ongoing sustainment of this investment.

**Phase 1: Site Visit, Planning and Preparation**

One of the important outcomes of this phase is understanding the client's business context, who are the key stakeholders, and to begin to gain understanding of the state of KM in the organization to ensure effective and efficient project planning and execution. It includes the following:

- Initial discovery and team building activities with key stakeholders and other principals at whatever level they operate within the organization. Interviews to begin the research to understand the knowledge management environment (KME) can begin in this phase and often do.
- During this initial visit, we gain a basic understanding of the business and operational environment, corporate culture, and workforce dynamics. The visit also introduces the consultants and the client team who will be working together. This initial effort and resulting analysis will improve and accelerate the planning and proposed execution of the consulting engagement, thereby helping to ensure that outputs and outcomes meet and exceed expectations.
- Develop a project plan that aligns with client operations not only to ensure access to key stakeholders and other relevant parties, but also to minimize distractions or impacts to business operations.
- Very often, when it adds value, a "knowledge flow and use survey" is developed with the client and delivered for client completion before the Phase 2 visit. Responses are distilled and used to build a baseline for the interviews and follow up with specific individuals or groups.

Key tasks and activities in this phase include:

1. Understand the client business context;
2. Review documents relating to client organizational structure, vision, objectives, strategy and operational priorities;
3. Develop a communication strategy and communiqué that describes the intent of the project and what people will experience;
4. Identify a relevant number of key stakeholders to interview at critical locations and levels of the organization;
5. Create a schedule for engaging the key stakeholders and other relevant parties that maximizes access to the right people while minimizing distraction to operations;
6. Perform a brief stakeholder analysis to optimize engagement experiences and information gathering.

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Typical Phase 1 Deliverables: (1) Brief communiqué describing the project (when required); (2) List of key stakeholders and agreed schedule of engagement sessions and site visits subject to client schedule approval and visit dates; and (3) Stakeholder analysis in the form of an MS Excel spreadsheet.

### **Phase 2. Engagement & Data Gathering**

The purpose of this phase is to continue the work begun in Phase 1 to gather the relevant information and understanding necessary for grounding and framing the KM assessment and development work. Key stakeholders and other relevant parties will be engaged and interviewed to understand their needs, specific opportunities, issues and expectations for KM. Information will also continue to be gathered about current KM capabilities, including processes and practices, content, culture and enabling technologies. A unique aspect of our approach in this phase is to continue leveraging the engagements to create a new level of internal awareness about KM possibilities for the client.

KM Training is often initiated in this phase, depending on client op tempo and availability, starting with KM project management and engagement skills. This helps to ensure that the recommendations are effectively understood, implemented, and later sustained within the client organization.

Key tasks and activities in this phase include<sup>3</sup>:

1. Perform scheduled stakeholder engagement sessions as agreed to and scheduled with the client;
2. Gather and summarize relevant information, including:
  - a. Current state of KM
  - b. Value and expectations
  - c. Critical barriers and enablers
  - d. High potential opportunities and pilot projects (for implementation) for KM impact and immediate visibility;
3. Create awareness about KM and new possibilities for the client.
4. Customize and deliver KM project management and business engagement training to selected, internal staff, when required.

Typical Phase 2 Deliverables: (1) Summary of key findings in MS PowerPoint and/or Word formats, and (2) KM awareness and skills training class and associated materials.

### **Phase 3. Analysis and Assessment**

The purpose of this phase is to analyze the research performed in Phase 1 and Phase 2 and work with a sub-set of key client stakeholders to define what the vision and future of KM (KM Visioning) looks like for the client. Importantly, this will require participation from selected leaders and other key stakeholders in a 4-hour workshop to craft the client KM Vision, future state in order to perform an initial gap analysis. **Figure 7-7, KM Gap Analysis and Assessment** depicts our approach to Gap Analysis.

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<sup>3</sup> In Phase 2, as part of researching, analyzing and assessing the current state of the KME, Taxonomy Analysis (5.1.2) and Assessment of Knowledge Sharing Software, Tools, and Methods (5.1.3) activities are ongoing.

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The future KM state will then be compared to the current KM state, this "gap" will be analyzed and assessed in collaboration with the client to identify the priority gaps to close as part of implementation.

Additionally, in collaboration with client, we address the ongoing culture change and the necessary knowledge needed to stay ahead of and to mitigate the impact of the change in performance that typically occurs when an organization begins its KM journey.

KM skills transfer will continue in this phase with training on proven team learning and knowledge transfer techniques.

Key tasks and activities in this phase include:

1. Validate current state description with key stakeholders;
2. Deliver, discuss analysis deliverables, and integrate into future state description (e.g. Taxonomy, Technology, others per client)
3. Hold visioning and future state workshop with select key stakeholders;
4. Develop and agree on KM vision and future state description;
5. Identify, select and prioritize gaps for closure (Gap Analysis);
6. Customize and deliver training on team learning and knowledge transfer techniques.

Typical Phase 3 Deliverables: (1) KM Vision and Future State descriptions; (2) Deliverables requiring analysis and reporting (e.g. Taxonomy Analysis and KM Tools and Software Analysis), (3) Gap Analysis, list of priority gaps to close, and reasoning behind them, and (4) KM training class and associated materials.

#### **Phase 4. Design and Development**

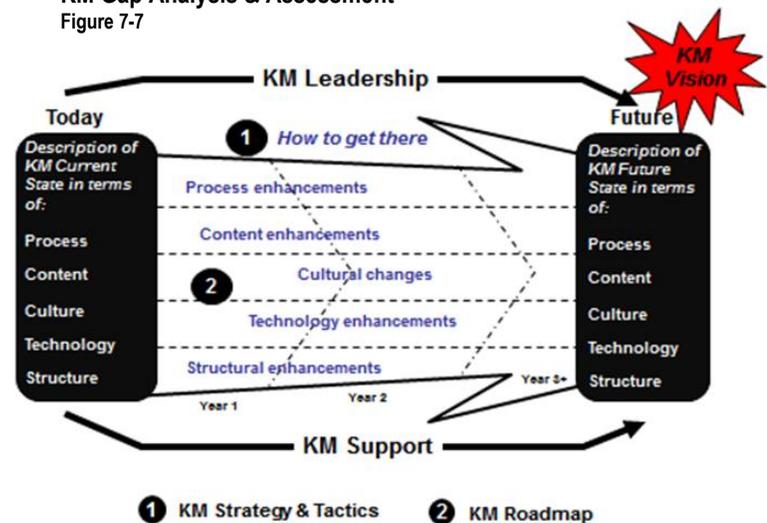
The purpose of this phase is to develop a set of recommended, results-oriented KM strategies and tactics, and a meaningful and realistic roadmap to guide follow-on implementation and sustainment (maintenance). Transfer of the KM skills necessary for the organization to initiate and follow through on the implementation plan will be completed in this phase with training on Communities of Practice and Knowledge Capture and Distillation.

Key tasks and activities in this phase include:

1. Design, develop and recommend KM strategies and tactics, including operating structure and governance;
2. Build and recommend a realistic, time phased KM roadmap and timeline (Phased Implementation Plan) reflecting sequencing of priority pilot projects, programs and other

### **KM Gap Analysis & Assessment**

Figure 7-7



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changes across KM culture, processes and practices, content, organizational structure, and technologies essential to the program's success; and

3. Brief key stakeholders on recommendations and the way forward; integrate client feedback and other insights.
4. Customize and deliver, if needed, additional training on Communities of Practice and Knowledge Capture and Distillation.

Typical Phase 4 Deliverables: (1) KM strategies & tactics; (2) KM strategy and roadmap (Phased implementation Plan, (3) Management briefing in MS PowerPoint format that describes items (1) and (2), and KM training class and associated materials.

**Examples of Gap Analysis Reports**

**Note:** Both government and private sector organizations routinely require signature of a Non-Disclosure Agreement (NDAs) not only to maintain control of the work we accomplish for them, but also to protect confidential and proprietary information represented in the solution. Consequently, it is not possible to provide the actual reports. We believe that the manner in which we have answered this and other questions in Section 7 provides the depth and detail necessary to gauge the content and value of the deliverables we provide to our clients with respect to Gap Analysis and Implementation (See also Tab 5, Assumptions and Exceptions).

**Example 1 Redacted Client**

This example is a deliverable for a client of approximately 175 people including leadership and workforce. They have a national mission supporting a subsection of a major US Department. They had no KM Framework, no Taxonomy and limited enabling technology.

The redacted deliverable is at Appendix 1, Example 1, KM Gap Analysis

**Example 2 Redacted Client**

This example is part of a comprehensive deliverable where the Gap Analysis is part of the overall implementation plan deliverable, and not a separate analysis report. This KM effort reflected support for a manufacturing organization of several thousand people with no KM framework, Taxonomy, and limited enabling technology. In addition, a primary concern for this organization was the ongoing and accelerating challenge of workforce turnover and knowledge loss due to both retirement and the evolution to more automation.

A redacted excerpt of the deliverable is below at Section 7.6, **Figure 7-10, Example of KM Strategy and Roadmap**, since the Gap Analysis was integrated into and presented with this deliverable.

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**7.5 ETF requires the Vendor to provide expertise, guidance, and training on proven successful taxonomy procedures, tailored to ETF's business culture. ETF requires the Vendor to offer strategies for implementing and maintaining those procedures. Potential topics of guidance might include: best practices; lessons learned and common mistakes; and tools for training staff. In your response, include two (2) examples and describe your approaches to this type of taxonomy. For each example, describe how your company incorporated strategies for implementing and maintaining those procedures.**

**7.5 Response:** Two different examples of projects incorporating Taxonomies as part of a KM solution are provided. Both follow a disciplined and proven approach for design, development, implementation, and sustainment (governance). Example 1 represents taxonomy development from an entirely manual development and implementation approach with sustainment achieved through a manual governance and configuration control. Example 2 represents taxonomy development using Commercial Off the Shelf (COTS) software as a large part of the solution both for development and sustainment.

***Example 1: Department of Veteran Affairs Acquisition Academy (VAAA)(Delivered)***

The VA Acquisition Academy (VAAA) was created to address the growing acquisition workforce challenge facing the Department of Veterans Affairs and the Federal Government overall. The VAAA, through its five schools, provides acquisition training in professional studies and leadership with the goal of improving the business of acquisition across the federal government.

The taxonomy requirement involved the manual and facilitated development of a VAAA-specific taxonomy for naming, tagging, and storing VAAA organizational knowledge as part of the requirements and solution for a Next Generation KM Framework for the VAAA. It supports the creation of metadata lists and tagged content and is designed to ensure that VAAA knowledge can be stored, found and reused when needed. It also supports a VAAA workforce ability to contribute knowledge anytime through an internal database/repository and have it end up in a "fit for purpose" location depending on the subject area.

Our approach with the VAAA was based on client co-development of a "Business Taxonomy and was focused on:

- Simple, consistent, and intuitive browse access to all content;
- Complementary functionality to restrict search results to certain areas of the taxonomy; and
- Discovery of content based on topics, regardless of intended audience, locale, or document type.

The "Business Taxonomy" in place is characterized by:

- Simpler terminology, avoiding jargon or technical complexity that would confuse potential users;
- Looser adherence to traditional taxonomy rules, overruling pure categorization in the interest of usability when necessary;
- A flatter structure with less granularity, designed to minimize the number of "clicks" between the users and their desired content and also minimize the administrative burden of sorting content into the taxonomy; and
- More flexibility, ensuring a dynamic taxonomy that will adapt to changing user needs and content.

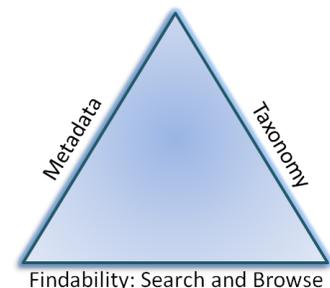
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- A simple "Governance" model that is driven by representation from across the VAAA organization ensuring a commonality of terms at the organization level with specific focus at the unique levels within each part of the organization.
- "Train the trainers" to familiarize each part of the organization with tagging and taxonomy characteristics and implementation as part of day to day business operations.

Supporting this core taxonomy (for site navigation and storage of content), the Working Knowledge<sup>CSP</sup> Team focused on the definition of supporting metadata fields that could help a user refine their search or populate site lists from a document library. Additionally, since our VAAA solution used a faceted taxonomy, these additional metadata fields are designed to work in perfect concert with the established approach.



Our overall taxonomy methodology is presented below and was effectively tailored to satisfy the VAAA's unique requirements.

The primary steps within the design process were:

1. Review all pertinent documentation, including potential content sources for inclusion in the taxonomy.
2. Interview key stakeholders and end users to understand key business drivers and other usability requirements.
3. Schedule and conduct Taxonomy Workshop(s). The primary goals of the workshop are to educate participants and define the starter taxonomy (top level) and accompanying metadata fields.
4. Review taxonomy progress against project requirements. Review requirements and documentation for metadata and navigation issues.
5. Qualify taxonomy progress against actual documents. Validate that documents can easily be "sorted" into a primary topic area within the taxonomy.
6. Conduct initial card-sorting tests (virtually) to validate categorization and intuitive design of taxonomy and metadata.
7. Convene focus groups as necessary to provide additional second-level detail as well as to refine the metadata strategy. Each focus group is led by a member or members of the Taxonomy Team and should be comprised of additional end users. The Taxonomy Team should continue to meet to coordinate these focus group activities.
8. Review the Taxonomy and Metadata scheme against all project requirements and usability drivers.
9. Provide training on Taxonomy governance and establish a charter and structure for Governance through a Taxonomy Configuration Control Board (TCCB).
10. Provide tagging training and taxonomy sustainment training.
11. Incorporate relevant client IT support from the beginning of the project to ensure a best fit within the existing IT infrastructure.

Taxonomy Sustainment is as important as the taxonomy development and implementation. We developed and delivered with the VAAA the required governance, maintenance practices, tools, and techniques to ensure the continued relevance of the taxonomy and metadata fields. The purpose of a Governance Plan was to present a simple taxonomy governance model that was easy to implement,

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enforce, and communicate to stakeholders and end users while aligning with the VAAA's organizational structure, organizational culture, content management requirements, and business needs.

The Governance Plan had the following primary sections:

- Value Statement: Explanation of the reason for the taxonomy and the governance plan described within this document.
- Roles and Responsibilities: A listing of the key roles in relation to the identified policies and procedures.
- Policies and Procedures: Policies and procedures mapped out for the maintenance of the taxonomy and metadata schemas.

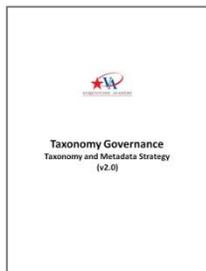
This document described the roles and responsibilities as well as policies and procedures necessary to effectively and sustainably handle the creation, modification and deletion/archiving of taxonomy nodes and metadata fields and values. If implemented and followed, these guidelines support the overall management of the VAAA taxonomy and its SharePoint environment. In addition, this plan will support the use of the taxonomies and metadata in other applications within VAAA's overall Knowledge Management framework.

The VAAA enterprise taxonomy and metadata Value Statement is provided below:

*"To allow for relevant and current categorization of documents, simple uploading, searching and retrieval of documents, a standardized taxonomy structure for the VAAA organization, and the flexibility to adapt to new content as VAAA's activities evolve."*

By focusing not only upon the content within the structure, but also upon the usability needs of the VAAA end users, the taxonomy solution leverages both a top-down and bottom-up taxonomy design. This approach enabled the VAAA to quickly progress in creating the taxonomy site while ensuring it had a structure that would be sustainable and intuitive for end users.

### **Department of Veteran Affairs Acquisition Academy -- Taxonomy Maintenance and Governance**



This is an excerpt of the Table of Contents for the Taxonomy Governance Plan delivered to and accepted by the VAAA.

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Final Note of Taxonomy at the VAAA: B3 Group, along with the Taxonomy subject matter expert subcontractor, led the execution of this effort including business owners, IT administrators, KM governance team members, resulting in a successful set up of this KM environment:

- Provided template documents to business owners to facilitate migration and tagging of metadata

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- Provided training for end users in how to make use of technology and KM functions
- Provided training for system administrators for ongoing operations and maintenance, including desk side training, CBTs, quick reference guides, and more

**Example 2: The Wildland Fire Lessons Learned Center (WFLLC)(Delivered)**

The Wildland Fire Lessons Learned Center (LLC) represents a core group of US Government interagency staff members who are dedicated to promoting firefighter safety in all wildland fire management activities through capturing and sharing safe and effective wildland firefighter work practices and improving wildland firefighters’ learning and training networks to further enhance their knowledge and skills.

In 2010, Working Knowledge<sup>CSP</sup>, and other team members, won a competition to provide KM solutions and consulting to the LLC. We completed a KM assessment and found serious mission challenges with the LLC KM framework. Among the many challenges we documented and addressed, the challenges relevant to the State of Wisconsin taxonomy requirements, included:

- Documents uploaded could not be found
- Critical knowledge could not effectively be found, accessed, or reused
- Enterprise architecture and configuration documentation did not exist making understanding and IT problem solving extremely difficult
- Mission challenges with knowledge capture, cross team collaboration and fire management community connection
- Access to critical knowledge essential for fire management planning and training was marginalized since it was not effectively usable to update annual training and certification.

One of the critical areas we addressed for the LLC was taxonomy. We designed a taxonomy and a comprehensive set of metadata; collaborated with the LLC staff to assign the appropriate metadata tags to the LLC’s content based on their experience and expertise; and designed for implementation a content repository to store the documents and their associated metatags.

What was unique in the LLC situation, different from the VAAA above, was the use of a commercial off-the-shelf (COTS) taxonomy management tool. In discussions with LLC executive management, we agreed that we should purchase for the LLC, at their expense, a packaged software application to both help to develop and to manage the LLC’s fire-related taxonomy.

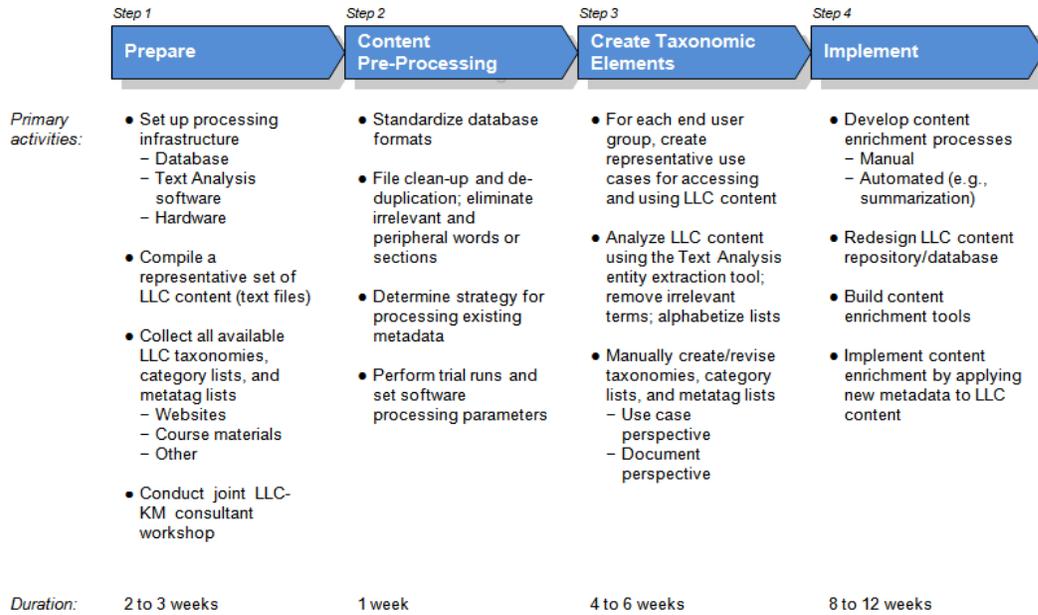
This enterprise semantic platform augmented information management applications like search, content management, and business workflow by adding advanced content classification, metadata and navigation capabilities. This tool enabled the user (LLC) to easily modify and edit the taxonomy over time without the need to always involve a supporting KM consultant. The LLC approach and timeline is shown in **Figure 7-8, Taxonomy Development at the LLC**. Please note that this figure may neither be a relevant solution nor timeline for the ETF.

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**Taxonomy Development at the LLC**  
Figure 7-8



Taxonomy sustainment (Governance) for the LLC involved training on the COTS tool (automated taxonomy management), tagging basics, and regular review of taxonomy changes by subject matter experts on the LLC staff, with ongoing coaching from the consulting team as requested.

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**7.6 The Vendor is expected to create a knowledge management phased implementation plan as outlined in Section 5.1.4. Provide two (2) examples where your company provided a phased implementation plan for previous clients of a similar size and scope to this RFP. Identify the steps necessary to assess, prepare, plan and implement the plan of client's current practices and approaches.**

**7.6 Response** The first two tasks in section 5.1.4 Phased Implementation Plan "Initial On Site Planning and Preparation with ETF" and "Conduct Follow-Up Meetings As Needed With ETF For Information Gathering" are part of the initial research and information gathering described and depicted in **Figure 7-6, Proven Methodology for KM Strategy Assessment & Development.**

The task "Provide a Phased Implementation Plan Report to ETF" is also described and depicted in **Figure 7-6, Proven Methodology for KM Strategy Assessment & Development.**

The "gap remediation plan, divided into clear and defined phases of implementation," along with the ETF KM Vision workshop (part of our suggested methodology), will form the baseline for the phased implementation plan in our methodology. This is also described and depicted in **Figure 7-6, Proven Methodology for KM Strategy Assessment & Development.**

The phased implementation plan will be tailored so that the ETF PMO can effectively use the plan to lead the implementation. The plan will be co-developed with the ETF PMO to ensure relevance, context, op tempo, and other considerations are all considered in its development and planned execution.

The phased implementation plan contents will incorporate and include any current ETF KM practices and approaches that remain relevant to the delivered implementation plan and that still align with the ETF KM vision. The implementation plan will include all research driven topics as well as ETF PMO relevant and requested topics derived from the ongoing collaboration necessary to deliver the phased implementation plan. Of particular note is the development of meaningful and relevant measures of performance (and/or success )(measures/metrics) and the integration of training (as described in the Section 7.7 Response). These will be co-developed as part of the effort.

The Maintenance Plan for sustaining and enhancing KM content, structures, policies, and technology will also be developed in collaboration with the ETF PMO and be based on the outcome of our research and analysis of the integrated KM solution for the ETF. It will dovetail with the execution of the phased implementation plan although there will be some activities that are begun prior to completion of the phased implementation plan.

**Note on Examples: Because of Non-disclosure agreements (NDAs) with the example 1 organization, linking these examples and their content to this specific client is not permissible.**

**Example 1 Redacted Client**

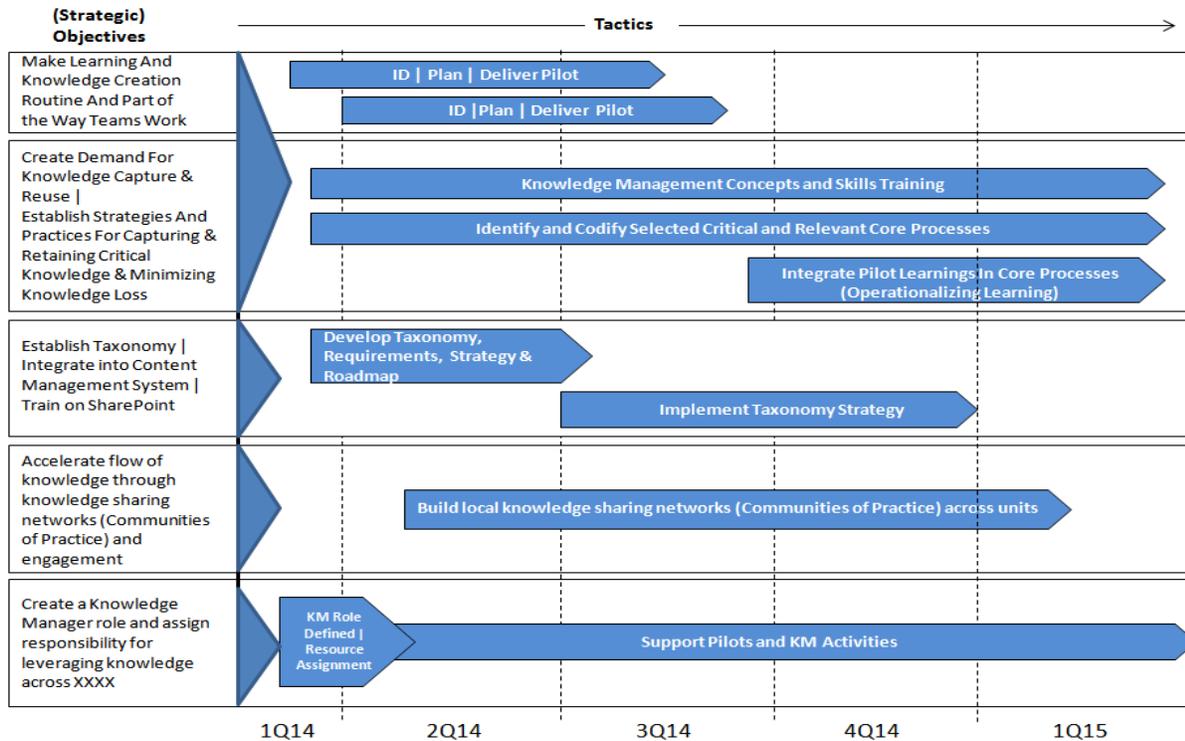
In this example, for this particular client, **Figure 7-9, Example of Client Implementation Plan**, shows their implementation roadmap and how their five major strategic objectives are delivered (tactics).

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**Example of Client Implementation Plan**  
Figure 7-9



Note: xxxx = redacted

**Figure 7-10, Example of KM Strategy and Roadmap**, shows the detailed implementation and tactics required to deliver each objective, the gap is reflected in the "Challenge Addressed," and the specific methodology to deliver the solution. Again, note that this format and its contents are specific and tailored to this client and its report requirements.

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## Example of KM Strategy and Roadmap Figure 7-10

### KM Strategy and Roadmap

This roadmap integrates the Part 1 and Part 2 research activities and the relationships between this research and the strategies and tactics necessary to deliver the business value highlighted in Figure 4, XXXXXXXXXXXXXXXXXXXX.

Overall Strategy	(Strategic) Objectives	Challenge Addressed	Tactics
<p><b>Strategy Recommendation 1:</b> Over time, and in the context of its business and operational objectives and operating culture, XXXX needs to embrace a KM framework that enables an improved ability to “connect, collect, and collaborate” across the XXXX at both the leadership/management and workforce level. This encompasses (1) an improved and broadly deployed ability to capture, adapt, transfer, and reuse the learned lessons from business and plant operations and (2) broadly embraced knowledge sharing behaviors across the XXXX to continuously improve performance and ensure business and operational objectives are achieved.</p>	<p><b>(KM-2A) Begin a consistent and disciplined knowledge capture and retention effort.</b> The purpose of this activity is to identify and capture Lubrizol's highest value and most relevant knowledge. The knowledge will be in the form of information and experience (see Figure 1). This activity is intended to be and can be an easy-to-follow, culturally-sensitive process which will enable the XX workforce to submit knowledge at any time and from any location. This effort will be part of a pilot project. (related task KM-2B, KM-3A, KM-3B)</p> <p><b>(KM-2B) Knowledge Management concepts and skills training.</b> The outcome of this activity delivers a practical understanding of KM concepts, principles, processes, and techniques at the individual, team, and organization level. The context-relevant training will create KM awareness and provide comprehensive KM skills to XX workforce. The goal of the training is to begin to change behavior and make learning lessons an integral part of how XX works (related task KM-2A, KM-3A, KM-3B).</p> <p><b>(KM-3B) Integrate the LZ Knowledge Capture, Flow, and Reuse Model into Business and Plant Operations.</b> Figure 8, XX Knowledge Capture, Flow and Reuse Model depicts this model. This model integrates the individual KM concepts and recommendations previously presented, depicting an XX operating model for continuously performing and learning. It is discussed in more detail in Appendix 6, XXX Knowledge Capture, Flow and Reuse Model (related tasks KM-1, KM-2A, KM-2B, KM-3A, KM-6, KM-7)</p> <p><b>(KM-6) Begin to document (analysis and mapping) XXX most critical core business and operational processes to understand the required knowledge inputs and the primary outputs.</b> “Knowledge Enabled Process Analysis and Mapping” will enable XXX to visualize and communicate the operational building blocks of the organization based on how work actually gets done. This process baseline will be the foundation for measuring performance improvement from KM investments. This is a necessary step in “Operationalizing Learning” and aligning process, execution, and training for improved performance. (related tasks KM-2A, KM-3B, KM-9)</p> <p><b>(KM-9A) Embed the Concept of Operationalizing Learning to Align Process, Execution, and Training for Improved Performance.</b> Figure 9, Operationalizing Learning depicts this concept. Once you have documented and mapped a core process, then aligning the process steps with the execution of the process and the training on the process is essential to ensure that the most current “know-how and know-why” of process execution is always part of the training so those completing training enter an operational environment aligned with and knowledgeable about the way you actually do the work. (related tasks KM-2A; KM-3A, KM-3B, KM-7)</p>	<p><b>People/Culture</b></p> <ul style="list-style-type: none"> <li>• Cross XXX awareness of the value of more effective knowledge sharing needs improvement; workload, resource and time constraints are reasons for not “sharing”</li> <li>• Established behavior of “communication across boundaries”; Behaviors are neither embedded nor broadly demonstrated in XX business or operational processes</li> <li>• Knowledge resides primarily in people’s heads which limits access to the knowledge on a consistent and continual basis if you can’t locate it</li> <li>• As the XX Workforce turns over, the ability to “know who knows what” due to this workforce turnover and how to connect with those who know will become more difficult; boundary challenges will increase due to changes in relationships (connections)</li> </ul> <p><b>Process</b></p> <ul style="list-style-type: none"> <li>• Codified business and operational processes: Process standardization (including process analysis and process mapping) across the XXX. Value as a baseline for standardization of core processes, performance improvement and risk mitigation for workforce turnover and knowledge loss</li> <li>• Knowledge Capture Processes: Learning before, during, and after routinely embedded in work flow; Identifiable and disciplined processes for consistently capturing, adapting, transferring, and reusing knowledge (information and experience – reference Figure 1) from the execution of business operations.</li> <li>• Measuring the value of the XX investment in KM is critical to demonstrate measurable value from this investment.</li> </ul>	<ul style="list-style-type: none"> <li>• Embed Learning Before, Learning During, and Learning After behavior through use of peer assists, action reviews, and retrospects at every level and every function → Begin with Action Reviews as they are quick, powerful, and easily demonstrate the value of the time it takes (not long) to do these</li> <li>• Pilot (2 pilots) at highly visible leverage points where value can be demonstrated clearly</li> <li>• Begin KM training at two levels: Level 1 to provide everyone a basic awareness and understanding of KM in the XXX; Level 2 to provide deeper concept and implementation training to the KM Team supporting Framework delivery and implementation within XXX</li> <li>• Begin to codify business and operational processes to (1) create a baseline for continuous performance improvement through knowledge capture and reuse; (2) use process maps to link relevant learned lessons and insight on “how and why” of doing to process steps → Make part of pilot projects to demo KM value</li> <li>• Embed KM value and awareness training into training curriculum to “sow seeds” for KM appreciation in future managers and implementation across the XXXXs</li> <li>• Enable and foster “communities of practice” within XX to help move knowledge across schools and boundaries</li> <li>• Integrate KM awareness in OnBoarding</li> </ul>

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**Example 2: Department of Veteran Affairs Acquisition Academy**

Example 2 depicts a similar but in some cases different approach and report out. The methodology to achieve the solution result we applied is the same as depicted in **Figure 7-6, Proven Methodology for KM Strategy Assessment & Development** and **Figure 7-7, KM Gap Analysis & Assessment**.

**Figure 7-11, Gap Analysis Report** shows a summary of the key gaps for this client and the applicable, aligned strategy to mitigate the gaps.

**Gap Analysis Report Out**  
Figure 7-11

Gap	Strategy
People/Teams are not consistently or effectively learning and gaining knowledge from day-to-day operations	Make learning & knowledge creation routine and part of the way teams work
Critical knowledge is not being routinely retained, captured or re-used	Create demand for knowledge capture and re-use, and develop processes, competencies and tools for harvesting critical knowledge and minimizing knowledge loss
It's difficult, time consuming, and frustrating to store, find and access relevant content needed to perform work. Share Point is deployed but not broadly used.	Establish an Enterprise Content Management strategy to make it easy to store, find and access all VAAA content; develop a taxonomy to organize VAAA knowledge; optimize the use of Share Point; codify business processes and workflow to support content management
Actionable intelligence (insight) for the planning and delivery of curriculum and content is insufficient to optimize VAAA performance	Research, evaluate, and acquire an integrated performance management system
Cross VAAA awareness of value of more effective knowledge sharing needs improvement within current environment	Introduce KM Training into VAAA business operations and make it part of the curriculum within the schools
Accountability for leveraging the knowledge of the VAAA is required in order to embed, promote and sustain KM implementation	Create a Knowledge Manager role and assign responsibility for leveraging the knowledge of the VAAA and establishing a world-class KM capability

**Figure 7-12, Specific Strategy** shows the details associated with the recommended strategy to mitigate the gap (excerpt from slide presentation and outbrief).

**Specific Strategy**  
Figure 7-12

**Strategy:**

- ✓ Create demand for knowledge capture and re-use, and establish processes, competencies and tools for harvesting critical knowledge and minimizing knowledge loss

**Tactics:**

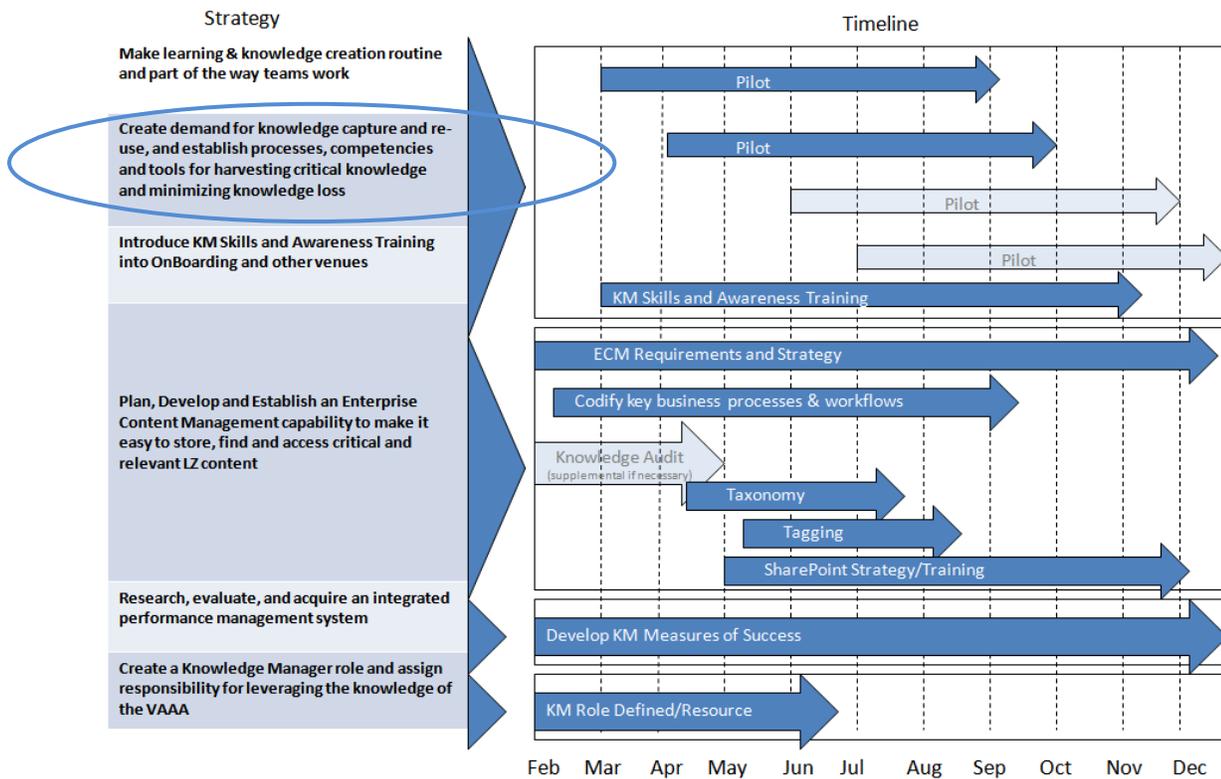
- Develop knowledge capture processes, competencies and tools
- Develop workflows to link relevant lessons learned, best practices and insights to common business processes at the point of need
- Pilot capture & retention of critical knowledge, learning and best practices in high-risk performance areas
  - identify where performance can be quickly improved through an ability to capture, adapt, transfer, and reuse the critical and relevant knowledge of these mission areas
  - identify leading practices within its mission areas that can be shared across boundaries within the VAAA to improve overall business and operational performance
- Establish/leverage communities and social networks to routinely identify, capture share, and transfer best practices, learning and experience across organizational boundaries

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Finally, **Figure 7-13, Implementation Plan Timeline** shows the overall phased implementation plan for this client.

**Implementation Plan Timeline**  
Figure 7-13



As you review these examples you may see similarities in the recommended solutions. It is common to find not only the same basic weaknesses and challenges in organizations, regardless of sector or mission, but also to make similar recommendations due to the success of the KM concepts strategies, and implementing practices delivered with clients. What is different is the application of these concepts, strategies, and implementing practices within each client organization based on unique differences in areas like culture, environment, leadership, and workforce dynamics, for example.

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**7.7 Describe in detail your approach to conducting training sessions for previous clients of a similar size and scope to this RFP. Provide two (2) examples of the types of training provided to these previous clients. Include the positions within the clients' organization for which such training has been issued including executives, managers, trainers, support staff, etc.**

**7.7 Response** Knowledge Management training is a fundamental part of enabling client implementation of a KM solution. We approach KM training from several dimensions based on the client, their operational tempo and work schedules, workforce culture, and intended outcomes.

For example, we very often provide training as part of the research, assessment, and analysis phase when the client has an existing or developing organization dedicated to KM implementation and sustainment. This is described in Section 7.4 above. It is important to do this since our delivery model is based on co-delivery with the client from the beginning of the effort. Therefore, it is essential that the client "KM personnel" are trained, coached, and guided on the skill sets necessary not only to understand how the implementation plan is developed, but also why the recommendations are the recommendations provided. This becomes increasingly important when the existing or evolving client KM team will be leading the implementation and sustainment activities, such as in the ETF.

Our integrated KM training approach transfers "just-in-time" KM knowledge to these "co-deliverers," but also to the leadership of the organization so that this capability is both supported and achieved. Specific training is scalable and customizable and can include a series of modules like the following:

- KM Skills and Awareness Training (F2F and/or online)
- Knowledge Capture with Individuals
- Knowledge Capture with Teams
- Knowledge Assets (Repository): Planning, Creation, and Sustainment
- Communities of Practice: Planning, Development, Creation, and Sustainment
- Creating a Knowledge Enabled Organization: Culture and Roles
- Knowledge Leadership Training for Executives
- Knowledge Distillation (Sense making from Captured Knowledge)
- Leveraging KM Enabling Technology.

Another example of our approach to KM training can apply when the client does not have an existing KM support organization and the client wishes to contract with us to support the organization as if we were their internal KM team. Usually, this is an interim support effort until the organization is ready to support an internal KM organization which is often developed and recommended as part of the phased implementation plan. In this instance, the focus is placed on KM training as part of KM implementation beginning with KM Skills and Awareness Training and Knowledge Leadership Training for both leadership and workforce. The former to introduce terminology, concepts, and value to the broader workforce and the latter to ensure that leadership understands the challenges of implementing KM in their organization and what they can do not only to support success during initial delivery, but also more importantly, to support success as part of sustaining the KM effort over time.

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A note on KM training as part of the engagement process during research, analysis, and assessment. We know that the research and analysis phases of a project like this are a unique opportunity to have a meaningful conversation with the members (workforce and leadership) of the client organization whom we will be interviewing or with whom we may have discussions about KM. We leverage these opportunities to discuss the value of KM as an investment for the organization and as an opportunity to begin to change the thinking about KM and the behavior necessary for KM to become a success within the organization. Implementing KM in any organization is also about behavior change. KM Training is but one part of the change management effort necessary for sustainable KM success.

**Example 1: Department of Veteran Affairs Acquisition Academy (Ongoing)**

The proposed training was designed to provide VAAA leaders and workforce (staff) with the KM concepts and skills needed to leverage the collective knowledge of the VAAA in order to maximize performance to meet and exceed VAAA strategic and operational objectives. In practice, this means they will be trained in the "core" people, process and technology aspects of KM. This will enable them to build and apply "effective and proven" practices and behaviors in their core business processes and day-to-day work.

The outcome and subsequent value of the staff training effort delivers a practical understanding of KM concepts, principles, processes, and techniques at the individual, team, and organization level. A significant goal of the training is to begin to change behavior and make learning lessons an integral part of how the VAAA operates.

All course modules delivered (1) clarify intended learning outcomes, (2) provide learning content in simple business language and (3) include exercises to help internalize new behaviors. The training program, defined by the VAAA, is a combination of e-learning and face to face (F2F) training comprised of 5 course modules (below) and support materials. Modules include:

1. Introduction to KM Concepts and Principles
2. Fast Learning and Knowledge Transfer
3. Knowledge Communities, Networking and Collaboration
4. Knowledge Capture and Content
5. Knowledge Leadership, Organization and Resources

The original assumptions for the VAAA:

- Each class would consist of these above 5 modules, typically delivered through e-learning and F2F comprising about 16 hours of time.
- Except for extenuating circumstances, participants will complete all modules.
- Optimum class size is 20 staff per class for F2F. Number can be adjusted.
- Each class will be delivered (*number determined by the client*) times during the initial year of the contract to embed and leverage critical KM skills early in the overall KM program to ensure coverage of the total staff population of approximately 100.

Each module group will include feedback from class participants so that real time changes can be made in course content and delivery as appropriate.

Practical Application in the VAAA: Note that the introduction course delivered included 15 hours and multiple sections addressing all of the subject areas above and is online and self-paced. Knowledge

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Communities (Communities of Practice) training is being delivered as CoPs are stood up. Finally, it is important to understand that training is always dependent in the VAAA on op tempo, staff availability, and workload.

We also conducted a pilot project to demonstrate out KM concepts, strategies, and implementing practices can be practically applied as part of the work process. We provided relevant training (F2F) to the pilot team on knowledge capture, sense making, and retention along with standing up and sustaining Communities of Practice.

**Example 2: Federal Emergency Management Agency (FEMA) Hazus Program (Delivered)**

The **Hazards U.S. Program (Hazus)** provides a nationally applicable standardized methodology that estimates potential losses from earthquakes, hurricane winds, and floods. Hazus produces loss estimates based on state-of-the-art scientific and engineering knowledge and software architecture (models). These estimating models are essential for decision-making at all levels of government and are a basis for developing mitigation plans and policies, emergency preparedness, and response and recovery planning at the federal, state, and local levels. The overall goal of the KM program was to capture the leaning and history of how the algorithms for Hazus were developed and implemented as well as how to continue to transfer learned lessons among the developers and users.

A primary KM area of focus, among others, for the Hazus program was the establishment of sustainable Communities of Practice (CoPs). These CoPs comprised program personnel, stakeholders, and geographically separated Hazus users who wished to develop the competence to contribute subject matter knowledge individually and collaboratively within their groups or teams as well as across the HAZUS program while focused on their individual state and local mission objectives.

These regionally and nationally facilitated and supported CoPs required CoP development, governance, and sustainment training for success. This example provides insight to the specific types of training detail that is characterized by the training modules.

The topics addressed for CoPs included:

- CoP Introduction
- Difference between CoPs and Teams
- Elements of CoPs
- CoP Lifecycle
- CoP Phases (Plan, Build, Implement, Sustain)
- CoP Charter Development
- CoP Roles
- CoP Governance

Working Knowledge<sup>CSP</sup> provided this training to the CoP Core Team and the Team Members were provided training by the Core Team.

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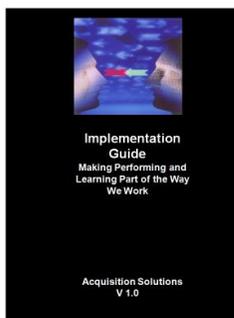
**7.8 ETF will require the Vendor to provide a maintenance plan for sustaining and enhancing knowledge management content, structures, policies, and technology, for use after the implementation of the knowledge management project. In your response, include at least two examples where your company issued a maintenance plan and continued the support of that plan of knowledge management structures.**

**7.8 Response** Delivery of an implementation plan is the relatively low risk part of the KM solution. The harder part, and the where the greater risk lies, *is in the implementation and the ongoing sustainment of the KM effort in the organization* (see Section 7.1 Response). The maintenance (sustainment) plan focuses on the components of the KM framework being developed and then implemented: people/culture, processes, enabling technology, content, and as a cross-cutting component, the context-relevant implementing practices.

Training is absolutely critical to implementation and then sustainment success (see Section 7.7 Response). The topics and content covered in our training provide the foundation for client implementation and sustainment success in the areas described above.

An effective practice that we have developed, that underpins sustainment and enhancement, is the creation of an "Implementation and Sustainment Guide" tailored to the client solution delivered. We develop it as a part of co-delivery of the KM solution (implementation) whether implementation is led by the KM consultant or, in the ETF instance, by the PMO and supported by the consultant. It addresses all aspects of the KM Solution, is aligned directly with the KM Training, and includes any additional sections driven by the client and that client's specific solution delivery. The guide becomes a baseline that is modified by the KM organization as the implementation of KM within that organization evolves around the KM Framework.

Maintenance and sustainment success of enabling technology begins with "fit for purpose" KM practices supported by relevant technology which is easily understood by an educated and trained user community. Effective application and use of IT enabled KM solutions supports ongoing collaboration and movement of knowledge across the organization. Ensuring technology is relevant, understood and usable – available and configured to reflect the KM implementing policies/practices -- is a key not only to initial adoption, but also to ongoing sustainment. It is also important to have the technical components of the solution integrated in a way that minimizes the redundancy of data while maximizing the availability of KM knowledge to end users. Finally, creating an IT foundation that is easily maintained by the existing staff ensures easy handoff and maintenance after implementation.



**Example 1: Acquisition Solutions**

This is an excerpt including the table of contents of the Implementation (Sustainment/Maintenance) Guide for Acquisitions Solutions. As the Chief Knowledge Officer for this company, I was able to craft and develop this guide for this company's specific culture and desired KM outcomes over a five year period. The guide implemented and provided the tools and insight necessary to sustain the KM Framework referenced in *Figure 7-3, Knowledge Management Framework and Figure 7-4, Knowledge Capture, Flow, and Reuse Model*.

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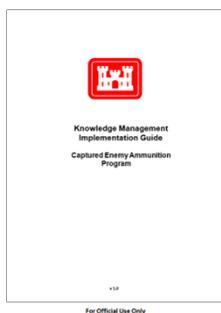
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### Example 2: US Army Corps of Engineers(USACE) - Captured Enemy Ammunition (CEA) Program



This is the cover page for US Army Corps of Engineers (USACE) KM Implementation Guide. The guide supported the KM program developed to support the USACE Captured Enemy Ammunition (CEA) program. The CEA program recognized the value of learning lessons and applied a knowledge management (KM) methodology to the captured enemy ammunition (CEA) mission in support of Operation Iraqi Freedom. Applying the KM methodology to this mission enabled the USACE to capture relevant lessons learned that could be leveraged in current and future operations.

The KM program we developed implemented a robust knowledge management process that was designed to yield near-term lessons learned and document the on-going activities of the CEA mission in such a way that the lessons could be applied in other environments such as Afghanistan. The strategic objectives of the project were:

- To improve CEA operations by implementing a knowledge process that will create better visibility of what worked in the past, what could work better in current practices, and explore what might be possible in the future.

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- To bring stakeholders in closer strategic alignment around the value proposition for innovative approaches for CEA operations. Applying KM will identify the value and leverage the knowledge of experts involved with daily CEA operations.
- To leverage the collective experience of those involved in CEA operations. The intent is to harvest their collective know-how and strengthen the existing network of experts in the ammunition/CEA community.
- To establish a structure and a process that can easily be transferred to other emerging mission areas.

The implementation guide was classified "For Official Use Only" since it addressed ongoing military operations. The cover is provided for reference since the contents are not releasable. The contents of this guide implemented a tailored plan for the USACE CEA program not only to sustain the current KM operations, but also to transfer this approach and its implementation to other theaters and missions since the mission participants were often the same people. The contents of the plan have similarities to the ASI guide/plan above. The guide implemented and provided the tools and insight necessary to sustain the KM Framework referenced in **Figure 7-3, Knowledge Management Framework** and **Figure 7-4, Knowledge Capture, Flow, and Reuse Model**.

Final Note: The Taxonomy Governance Plan delivered to the VAAA and described in Section 7.5 is another example of a sustainment and maintenance plan, and this case, specific to the Taxonomy.

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**7.9 The Vendor will be required to perform an assessment of existing knowledge management tools at the Department, and to provide advice on what tools or combination of tools will best meet the needs of the Department. Describe your experience analyzing existing knowledge management software tools and making recommendations about how best to utilize those tools. Also describe your experience providing recommendations on how to tailor tools, and specifically a collection of tools, for a client. List your expertise with specific products.**

**7.9 Response** Collaborating with stakeholders across the organization, we create a custom assessment and recommendation set that is based on the unique needs of the organization, our past experience, and existing and evolving industry leading practices. To understand how existing tools are utilized, we seek practical insight from various ETF stakeholders and users.

Understanding each stakeholder group (e.g. end users, advanced users, business owners, executives, IT support, IT administrators, etc.), being able to speak the language of each and understanding the role that each has in the overarching application of KM technology and the tools that support it, helps us to gain the necessary insight to develop our assessment. We conduct an initial onsite meeting(s), conduct interviews, view demos, conduct industry research, and other activities necessary to understand.

As we learn more about how each tool is used to support the KM activities by each stakeholder group, we are able to best assess and recommend the appropriate future use and configuration. This information is provided to the client in the form of an Assessment of Knowledge Sharing Software, Tools and Methods Report. We also provide this information to key KM personnel through a collaborative presentation – explaining our findings and welcoming discussion and feedback. Our report and presentation provides our expert insight to the client's existing tools, software and methods, including the strengths and weaknesses of each.

We recommend ways to maximize those strengths (leveraging what is already working for you as a customer) through tailoring/configuration that best meets the needs of the client. We will recommend additional tools that may be relevant and useful to mitigate existing weakness and address functional gaps. Recommendations always include a clear description of the tool or enabling technology, how it is utilized in support of KM activities, and the cost/benefit analysis for its use.

For example, ETF is currently meeting many of their KM needs through siloed products. This includes tools, local PC hard drives, network drives, hard copies of artifacts, and other information and artifacts located in web-based locations that are not easily leveraged for findability or access. Currently stored in these siloed locations, ETF is likely unable to search or access this information in a manner that supports evolving ETF needs. More effective would be to centrally store or to access these items in a manner that allows for successful leverage of KM features. Our team would assess what is in place, provide options for ETF mission success, include recommendations in the phased implementation plan.

**Table 7-2, Enabling Technology Expertise** depicts KM and enabling software and tools in which our team has expertise in supporting our clients:

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Technology	Purpose/Utilization
<b>SharePoint</b>	<p>Purpose: Microsoft content and document management system, which include features for social media, automated workflows/forms, blogging, collaboration, and taxonomy.</p> <p>Utilization: SharePoint, especially 2010/2013 version, can be utilized for KM features and activities for organizations almost any size. It's out of the box functionality for document storage, databases, and taxonomy provide a strong foundation for KM, while also providing easy scalability as the organization grows or its content base grows. Provides seamless integration with Microsoft's office automation tools (Excel, Word, Project, Access), with a look and feel most users are familiar with.</p>
<b>Drupal</b>	<p>Purpose: Open source content management framework for functions such as website, taxonomy, KM, and more.</p> <p>Utilization: This tool may be organized by an organization as a cost effect alternative for a CMS. Adoption and maintenance typically call for more effort for an organization because it may not be an existing/known technology to the organization.</p>
<b>Office 365</b>	<p>Purpose: Cloud based version of many of Microsoft's most popular office automation products, including the cloud version of SharePoint called Sites.</p> <p>Utilization: Office 365 offers an alternative to SharePoint to those organizations that may not want to invest financially in a SharePoint farm environment. It does not offer the robust functionality of a hosted farm, but it still offers many of the most commonly used features necessary for KM.</p>
<b>Atlassian Confluence</b>	<p>Purpose: Enterprise knowledge management system including functionality for wiki, collaboration, etc. Can either be locally hosted, or cloud hosted.</p> <p>Utilization: Third party tool that can be used to address some required features for KM activities. May not have the full KM feature set required for enterprise wide KM program.</p>
<b>Movable Type</b>	<p>Purpose: A content management system (CMS) allowing for web manipulation in a user-friendly format.</p> <p>Utilization: Great tool for an organization to utilize for web content creation outside of IT developers. Still need to apply the same organization standards and procedures to this content. Does not provide a majority of the KM features required by most organizations.</p>
<b>Presto and Genie</b>	<p>Purpose: Tool to provide the ability to capture data from disparate data sources, allowing users to show that data collectively in various formats (documents, images, text, newsfeeds).</p> <p>Utilization: Very user-friendly tool offers an alternative to consolidating KM activities to a single platform/tool. May not address all the required features for an organization but a good alternative to address some of the more common ones.</p>
<b>SQL Reporting Services</b>	<p>Purpose: Database storage for large amounts of data, documents, or artifacts.</p> <p>Utilization: Used by organizations whose needs exceed the recommended out of the box storage. Allows for more robust reporting, dashboarding, data mining, building of data cubes and more. Also required more on site skill set to fully utilized the capabilities of SSRS and the data stored underneath.</p>
<b>Internet Sites</b>	<p>Purpose: Web based method of communicating information to individuals both within, and outside of your organization</p> <p>Utilization: Organizations utilized Internet sites to provide information and content to stakeholders both inside and outside the organization. Often requires some level of web development background to make updates or add new content. Not easily searched by KM tools.</p>
<b>Intranet Sites</b>	<p>Purpose: Web based method of communicating information to individuals within an organization.</p> <p>Utilization: Organizations utilized Internet sites to provide information and content to stakeholders inside the organization. Often requires some level of web development</p>

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	background to make updates or add new content. Not easily searched by KM tools.
<b>Jira</b>	<p>Purpose: Third party software providing fairly robust features set for agile project management, issue tracking, and more; available to be locally hosted or cloud hosted, very cost effective.</p> <p>Utilization: Can be used for collaboration and transparency for issue tracking and project management activities. Not necessary best tool for meeting KM required features.</p>
<b>Disparate Storage Locations (Outlook, client, shared drive)</b>	<p>Purpose: Common storage for documents and artifacts.</p> <p>Utilization: Many organizations utilize these locations and tools for ad hoc storage of documents. Can only be shared intentionally by the owner of the documents, and are not easily consumed by KM features.</p>
<b>COVEO</b>	<p>Purpose: Connect, consolidate, contextualize knowledge; taxonomy development, support and sustainment</p> <p>Utilization: Connect people to their knowledge when needed</p>
<b>CONFLUENCE</b>	<p>Purpose: To allow for web-based collaboration of team members, this third party tool allows users to share best practices, share files/links/calendars/tasks, centralize meeting notes, and ties into their other product Jira.</p> <p>Utilization: Good tool for mid size organizations to meet some KM needs; not an industry standard tool, but checks many of the standard functional boxes for KM.</p>

Note 1: B3 Group has a long standing relationship with Microsoft and is part of the Microsoft Certified Partner Network with reach back capability for all Microsoft products and applications.

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## Tab 5 Assumptions and Exceptions



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### Assumptions and Exceptions

Type	RFP Reference	Original Term or Condition	Assumption
RFP Assumption	2.9	Wisconsin Sales and Use Tax Registration	The exemption in this section satisfies this requirement.
RFP Assumption	7	Not specified	Actual schedule, visits and deliverable schedules will be coordinated and agreed to after award.
RFP Assumption	7.4	Examples of Gap Analysis Reports Created for Previous Clients	Our explanation of restricted sharing of client Gap Analysis and our workaround is in compliance with the RFP and with the answers in the Q&A Addendum #1 dated 10-10-2014
RFP Assumption	7.4	Not specified	Working Knowledge <sup>CSP</sup> Team will have access to all necessary sites, technology and personnel in order to deliver to the requirements of the RFP
RFP Assumption	9.1	Not specified	Since Attachment C and Section 9.1 do not direct milestone billing, billing by milestone means that no payments will be made to contractor until acceptance which is an extensive delay and big impact to cash flow for a small business. Working Knowledge <sup>CSP</sup> is proposing to bill invoices based on proposed Phases I-IV aligned with the methodology in Section 7.4.

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# State of Wisconsin • DEPARTMENT OF REVENUE

NEXUS UNIT • 2135 RIMROCK RD • MAIL STOP 3-107 • PO BOX 8906 • MADISON WI 53708-8906 • FAX (608)261-7049 • WEBSITE: revenue.wi.gov

## Affidavit of Exempt Sales

2003 Wisconsin Act 33 created a provision requiring the Secretary of Revenue to determine and periodically certify to the Secretary of Administration the names of persons and their affiliates, who make sales of tangible personal property or taxable services that are subject to Wisconsin sales or use tax, but who are not registered with the department to collect and remit such taxes, or if registered, do not collect and remit such taxes. The Department of Administration and certain designated purchasing agents, agencies, and authorities may not contract for the purchase of materials, supplies, equipment, or contractual services with a person or its affiliate who has been certified by the Secretary of Revenue as described above.

"Affiliate" means a person, as defined in sec. 77.51(10), Wis. Stats., that controls, is controlled by, or is under common control with another person. "Control" means to own, directly or indirectly, more than 10% of the interest in or voting securities of a business.

Any business that only makes sales that are not subject to sales or use tax under ch. 77, Wis. Stats., may complete the affidavit below. This is certification that all sales the business makes in Wisconsin are exempt from the Wisconsin sales and use tax. Examples of exempt sales are sales for resale, sales to governmental units, sales to exempt organizations and sales of non-taxable services. Exempt sales do not include sales of tangible personal property or taxable services on which a retailer does not collect tax solely because it does not have nexus with Wisconsin. Any business having only exempt sales will not be required to register for the collection of Wisconsin sales or use tax. Chapter 77, Wis. Stats., may be accessed at [www.legis.state.wi.us/rsb/stats.html](http://www.legis.state.wi.us/rsb/stats.html).

Legal name WORKING KNOWLEDGE CSP LLC

Business name (DBA) WORKING KNOWLEDGE CSP LLC

Mailing address 11107 COROBON LANE, GREAT FALLS, VA 22066-1403

Federal ID number 2 7 - 1 0 9 3 6 5 5

Type of property sold NOT APPLICABLE

Type of services sold PROFESSIONAL CONSULTING

WORKING KNOWLEDGE CSP LLC certifies that all Wisconsin sales of its property and services are exempt under ch. 77, Wis. Stats.  
Company Name

**I certify that, to the best of my knowledge, the above information is accurate and complete.**

WILLIAM S. KAPLAN  
Completed by (please type or print)

FOUNDER  
Title

Signature

09/22/2014  
Date

571.934.7408  
Telephone Number

NONE  
Fax Number

## Appendix 1      Gap Analysis Example





# Enterprise Knowledge Management System Gaps and Closure Strategies

**Working Knowledge**<sup>CSP</sup>

Concept | Strategy | Practice

a service disabled veteran owned small business



Gap	Strategy
People/Teams are not consistently or effectively learning and gaining knowledge from day-to-day operations	Make learning & knowledge creation routine and part of the way teams work
Critical knowledge is not being routinely retained, captured or re-used	Create demand for knowledge capture and re-use, and develop processes, competencies and tools for harvesting critical knowledge and minimizing knowledge loss
It's difficult, time consuming, and frustrating to store, find and access relevant content needed to perform work. Share Point is deployed but not broadly used.	Establish an Enterprise Content Management strategy to make it easy to store, find and access all XXXX content; develop a taxonomy to organize XXXX knowledge; optimize the use of Share Point; codify business processes and workflow to support content management
Actionable intelligence (insight) for the planning and delivery of curriculum and content is insufficient to optimize VAAA performance	Research, evaluate, and acquire an integrated performance management system
Cross XXXX awareness of value of more effective knowledge sharing needs improvement within current environment	Introduce KM Training into XXXX business operations and make it part of the curriculum within the schools
Accountability for leveraging the knowledge of the XXXX is required in order to embed, promote and sustain KM implementation	Create a Knowledge Manager role and assign responsibility for leveraging the knowledge of the XXXX and establishing a world-class KM capability

## High Priority KM Gaps & Closure Strategies



## Strategy:

- ✓ Make learning & knowledge creation routine and part of the way teams work

## Tactic:

- Embed fast and effective learning at every level and in every function
  - **Pilot at high leverage points where it can have the most impact and drive broader uptake:**



- **Introduce Action Reviews and Retrospects**

- Action Reviews during conduct of a class
- Retrospects at the completion of projects, events, or class development
- Involve students, course designers, and instructors
- Train and coach course owner to facilitate and execute these techniques

**Action Reviews** are based on the US Army's fast and highly effective After Action Review (AAR) : a simple, lean, team-based tool used at the end of meetings and activities to quickly identify critical learning from experience for immediate performance improvement actions; it also builds relationships and trust at the team level, and generates new knowledge for re-use by the team and others

**Retrospects are facilitated team discussions** at the completion of a project, phase of a project, or task to identify what was effective and what could be done differently. These shared conversations provide great insight to the what, how, and why of the activity. Actions carried forward from the retrospect are immediately reinvested to improve performance in the future while providing closure for the team.

## Tactics



## Strategy:

- ✓ Create demand for knowledge capture and re-use, and establish processes, competencies and tools for harvesting critical knowledge and minimizing knowledge loss

## Tactics:

- Develop knowledge capture processes, competencies and tools
- Develop workflows to link relevant lessons learned, best practices and insights to common business processes at the point of need
- Pilot capture & retention of critical knowledge, learning and best practices in high-risk performance areas
  - identify where performance can be quickly improved through an ability to capture, adapt, transfer, and reuse the critical and relevant knowledge of these mission areas
  - identify leading practices within its mission areas that can be shared across boundaries within the VAAA to improve overall business and operational performance
- Establish/leverage communities and social networks to routinely identify, capture share, and transfer best practices, learning and experience across organizational boundaries

## Tactics



## Strategy:

- ✓ Establish an Enterprise Content Management strategy to make it easy to store, find and access all XXXX content

## Tactic:

- Identify information & knowledge necessary for business operations
- Model and map key business processes and relevant information/knowledge flows
- Develop a XXXX context relevant taxonomy (knowledge architecture) to store, find, and access knowledge for reuse using practitioners and SMEs
- Make ‘tagging’ documents/artifacts a routine part of storing knowledge for reuse
- Establish content management & retention policies
- Leverage investment in Share Point as a content management system and means to improve the ability to “connect, collect, and collaborate”, through training and demonstration

## Tactics



## **Strategy:**

- ✓ Research, evaluate, and acquire an integrated performance management system

## **Tactic:**

- Research, assess, and acquire a context relevant Integrated performance measurement system provide actionable intelligence (insight) to XXXX performance in the planning and delivery of its curriculum and content to accelerate performance improvement and quality of curriculum and course delivery

**Tactics**



## Strategy:

- ✓ Introduce KM Training into XXXX business operations and make it part of the curriculum within the schools

## Tactic:

- Begin KM training at two levels:
  - Level 1 to provide every one a basic awareness and understanding of KM in the XXXX
  - Level 2 to provide deeper concept and implementation training to the KM Team within the XXXX
- Include “KM” as a module within each of the school's curriculum
  - Sew the seeds
  - Leverage by example
  - Involve students, course designers, and instructors

## Tactics



## Strategy:

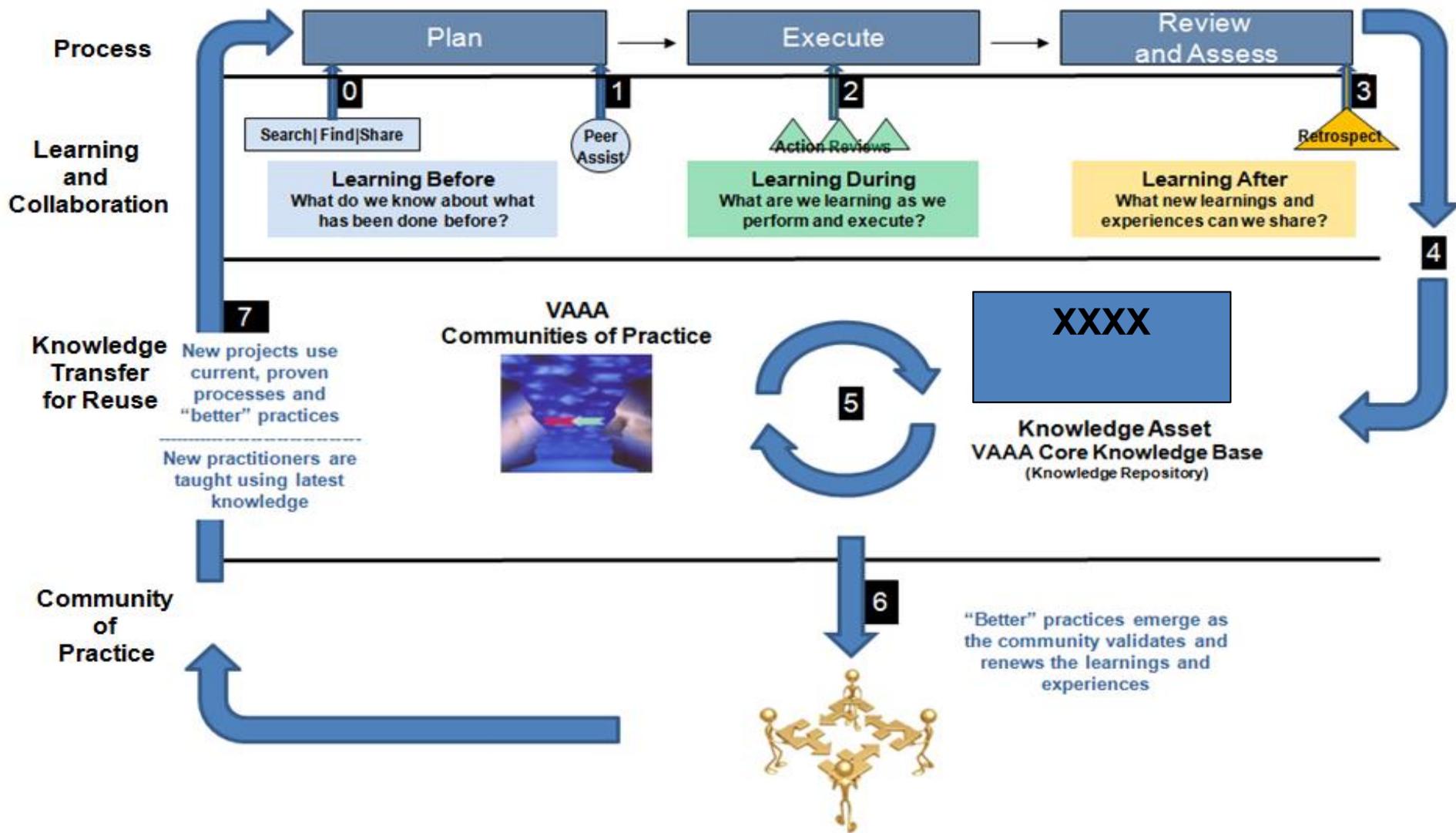
- ✓ Create a Knowledge Manager role and assign responsibility for leveraging the knowledge of the XXXX and establishing a world-class KM capability

## Tactic:

- Define roles and responsibilities for a Knowledge Manager and assign one
- Have this individual report to senior leadership to communicate value of this role and KM in the XXXX specifically
- Supplement this “function” with consultant support in the beginning and gradually shift responsibility through KM training and hands on experience to the XXXX Knowledge Manager
- Expand capability and resources as needed

## Tactics

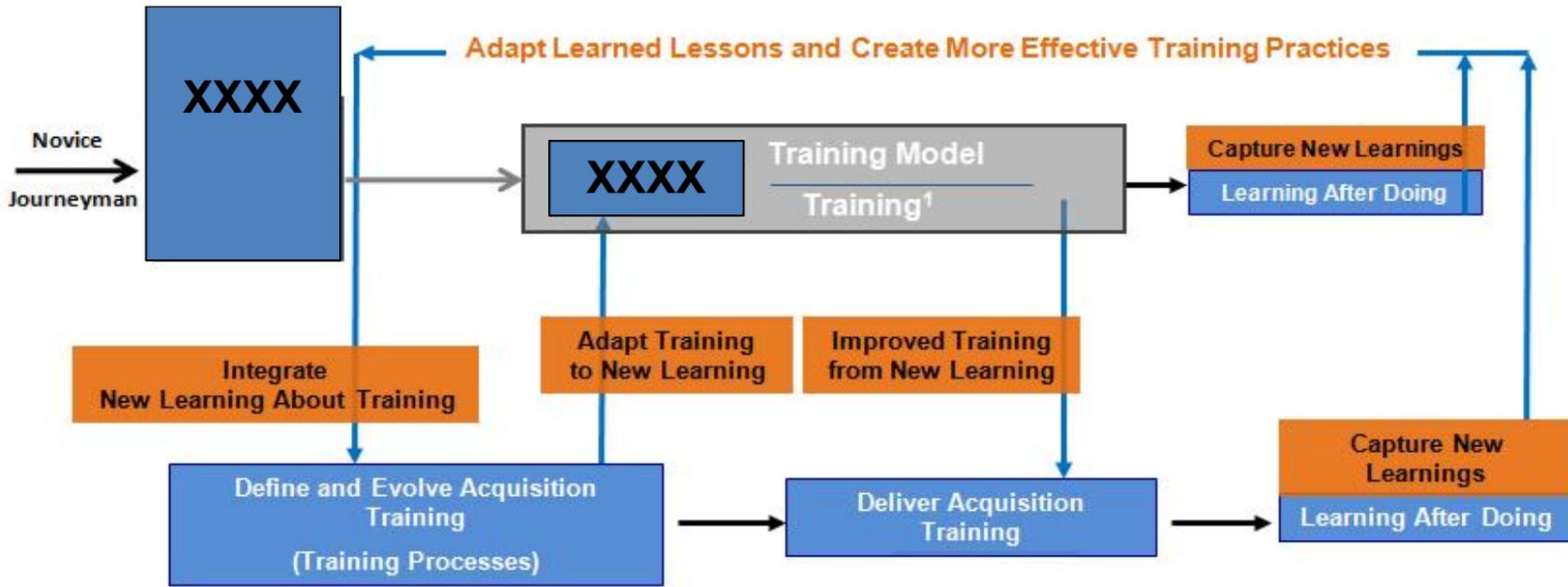




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# XXXX Knowledge Capture, Flow, and Reuse Model





Document and Evolve Process as it is Executed  
 Evolve and Store Practitioner/Process Knowledge and Experience

..... Continuous application of what we know and are learning to what we do .....

- Continuous performance improvement over the course of developing and delivering training (curricula and content)
- Operating faster than the “speed of change” – new or revised training processes meet the rapid pace of change
- Accelerates the ability to develop and implement training that is responsive to workforce needs
- Documents, describes, and validates the process and institutionalizes the approach
- Aligns practice execution with “training”– what we “know how to do” with “teaching how to do it”

<sup>1</sup> For training designed and delivered in [XXXX]

# Pilot Opportunity



## Strategy

## Timeline

