

TRANSMITTAL LETTER



November 16, 2023

Re: C/CAG Strategic Plan

Attn: Sean Charpentier, Executive Director

City/County Association of Governments of San Mateo County

555 County Center, 5th Floor, Redwood City, CA 94063

Subject: Proposal for C/CAG Strategic Plan Development

Dear Mr. Charpentier:

We are pleased to submit this proposal to provide the City/County Association of Governments of San Mateo County (C/CAG) with strategic planning services. Our focus has always been to help local government and utility clients solve their financial, organizational, and technology challenges. We believe our firm offers C/CAG some distinct advantages for this project:

- **A workable and insightful approach:** Our team's approach specifically addresses your needs and will help develop a best practice-level strategic planning process and resultant plan. Our proven methods of engagement and facilitation lead to a sustainable plan that will provide C/CAG with a vision, mission, and measurable goals.
- **Use of unique and innovative tools and techniques:** We are passionate about strategic planning, which drives us to use innovation and creativity throughout the project, from engagement to the preparation of the final plan. We encourage future-focused discussions and action-oriented approaches to building C/CAG's new plan. Our deliverables are useful and engaging, and unique and creative graphics are used to keep documents concise with a focus on internal and external communication. Our visual facilitator will transform conversations into graphic form live, before participants leave the room.
- **Personal service from senior-level consultants:** You appreciate it when deadlines are met, phone calls are returned, and your challenges are given in-depth, out-of-the-box thinking. While some firms may assign your business to junior-level people, we offer exceptional service from senior-level consultants.

We have had significant success working with community members, elected officials, department leadership teams, and staff to identify priorities for an organization or a community and achieve consensus. We are confident our approach will provide C/CAG with the direction it seeks for the future of the San Mateo County community. We look forward to the opportunity to serve C/CAG. Please contact me should you have any questions. We have the ability to complete the proposed tasks in the referenced timeframes and to commence work immediately upon issuance of a Notice to Proceed. There are no conflicts of interest, actual or apparent, that would limit Raftelis' ability to provide the requested services. No addenda were released or received during the preparation of this proposal. Our proposal is a firm offer for a period of 120 days from the due date.

Sincerely,

A handwritten signature in black ink, appearing to read 'Julia Novak'.

Julia Novak, *Executive Vice President*

445 South Figueroa Street, Suite 1925, Los Angeles, CA 90071 / 513.221.0500 / jnovak@raftelis.com

Firm Name: Raftelis Financial Consultants, Inc.
Contact Person: Julia Novak, Executive Vice President
445 S. Figueroa Street, Suite 1925, Los Angeles, CA 90071
P: 513.221.0500 / E: jnovak@raftelis.com

City/County Association of Governments of San Mateo County

C/CAG Strategic Plan Development

Proposal / November 16, 2023





The Raftelis Charitable Gift Fund allocates profits, encourages employee contributions, and recognizes time to charitable organizations that support:

- Access to clean water and conservation
- Affordability
- Science, technology, and leadership

Raftelis is investing in improved telecommunication technologies to reduce the firm’s number one source of carbon emissions—travel.



We are committed to doing our part to fight prejudice, racism, and discrimination by becoming more informed, disengaging with business partners that do not share this commitment, and encouraging our employees to use their skills to work toward a more just society that has no barriers to opportunity.

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EXECUTIVE SUMMARY AND PROJECT APPROACH

Executive Summary

RAFTELIS AND THE NOVAK CONSULTING GROUP, HELPING LOCAL GOVERNMENTS AND UTILITIES THRIVE

Local government and utility leaders partner with Raftelis to transform their organizations by enhancing performance, planning for the future, identifying top talent, improving their financial condition, and telling their story. We've helped more than 600 organizations in the last year alone. We provide trusted advice, and our experts include former municipal and utility leaders with decades of hands-on experience running successful organizations. People who lead local governments and utilities are innovators—constantly seeking ways to provide better service to the communities that rely on them. Raftelis provides management consulting expertise and insights that help bring about the change that our clients seek.

TNCG is Now Raftelis

The Novak Consulting Group (TNCG) and Raftelis have always shared a focus on delivering lasting solutions for local government agencies. In January 2020, TNCG joined Raftelis. Today, we provide our clients with wide-ranging capabilities and resources in financial, management, technology, and communications consulting for all areas of local government. Our clients now have the expertise of more than 160 of the country's leading local government and utility consultants, who have decades of experience. We know that our combined capabilities and resources will provide added value to our clients, and we're excited about what we can accomplish together.

We believe that Raftelis is the *right fit* for this project. We provide several key factors that will benefit C/CAG and help to make this project a success.

RESOURCES & EXPERTISE: Our project team is passionate about strategic planning and organizational optimization. Each member of our team specializes in strategic planning and has devoted their careers to assisting with local government strategic planning.

DECADES OF COLLECTIVE EXPERIENCE: Our associates and subject matter experts have decades of experience in strengthening local municipalities and utilities. They've served in a wide range of positions, from city manager to utility director, and they have led dozens of strategic planning initiatives for utilities across the country.

NICHE EXPERTISE: Our expertise lies in strengthening public-sector organizations. We're consulting specialists rather than generalists, focusing our strengths to do a highly effective job for a specific group of clients.

PROVEN PROCESS: We will implement a proven and unique facilitation process that engages internal and external stakeholders, links strategy to performance, and sets the organization up for effective implementation. We will use several techniques, some of which are innovative and others that are more classic approaches.

Project Approach

We understand that C/CAG seeks to develop a new three to five-year strategic plan to guide its membership and prioritize its broad activities. At its best, strategic planning engages individuals and strengthens a sense of community that undergirds strong civic engagement.

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

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

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

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

- What do we know to be true? – *Who are we?*
- What do we hope will be true in the future? – *Where are we going?*
- What must go well in order to make it so? – *How are we going to achieve it?*

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



WORK PLAN

Work Plan

THE FOLLOWING OUTLINES OUR PROPOSED SCOPE OF WORK FOR DEVELOPING A STRATEGIC PLAN WITH C/CAG.

Activity 1: Project Administration

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

At the start of this engagement, we will conduct a project kick-off meeting with C/CAG's project team to review the expectations of this effort, steps, and to finalize the project timeline. In this discussion, we will gain a clear picture of what C/CAG hopes to accomplish from this process. We will develop a project charter with the team and discuss communication and engagement strategies for the project. We want to ensure that we have a shared understanding of how to develop the strategic plan and successfully integrate the learnings from C/CAG's previous planning efforts.

Throughout the project, Raftelis will plan and facilitate weekly project management meetings to discuss project status and upcoming action items. We will submit monthly invoices with accompanying progress reports.

DELIVERABLES:

- Project kick-off meeting agenda
- Draft and final project timeline
- Monthly invoices and progress reports

Activity 2: Background Review and Situation Analysis

In this activity, our team will conduct a comprehensive background review of C/CAG activities. We will prepare and submit a formal document/data request to C/CAG and request and review all relevant documents and demographic information. We will discuss relevant trends in the region which could impact future initiatives.

Based upon our review of background information and prior discussions, Raftelis will prepare a preliminary strengths, weaknesses, opportunities, and threats (SWOT) summary for review with C/CAG. We will work collaboratively with C/CAG to provide helpful background information about the current state of C/CAG and potential future impacts. As part of this process, we will conduct individual interviews with an executive committee of the C/CAG Board of Directors to hear their perspective about the strategic plan and to develop an understanding of C/CAG's processes, operations, and prior planning efforts. We will ask all other members of the Board to respond to a questionnaire in order to learn their perceptions and gain their input. Based upon feedback received, we will conduct any additional follow-up research necessary and finalize the SWOT summary.

DELIVERABLES:

- Data/document request
- Draft and final SWOT summary



A sample of the work of our visual facilitator and an overview of the strategic planning process

Activity 3: Draft Vision, Strategic Priorities, and Project List

Based on our conversations with C/CAG, we will plan and facilitate a Visioning Workshop with C/CAG agency staff in order to develop a draft vision statement, values, goals, and potential priorities for the strategic plan. During the Visioning Workshop, we will evaluate all priorities and prepare a preliminary list of projects to achieve each priority goal area.

The session will include activities with the entire group as well as small group breakout sessions that will allow everyone to actively participate and engage in the process. During the session, the primary role of the facilitator is to ensure that the environment is respectful and conducive to open and constructive dialogue so that the established objectives are ultimately met. While the agenda provides the structure to accomplish the tasks, we also know how important it is to pay attention to the group and make sure that conversations that need to happen actually happen, so we are flexible and in tune with the group during the process.

We will provide a summary of the session.

DELIVERABLES:

- Draft Vision Statement
- Draft Strategic Priorities

Activity 4: Priority Setting Retreat

Our team will meet with agency staff to prepare for a Priority Setting Workshop with the Board Members. We will develop and administer an online survey to gather Board Member input on all preliminary strategic plan goals and priorities, and we will analyze and summarize the results.

Based on our conversations with C/CAG, we will prepare a draft agenda for the Priority Setting Workshop to be reviewed by C/CAG. We will then facilitate the strategic planning session with C/CAG Board Members and key staff to articulate a desired future for the community. The environmental scan will be reviewed to provide context for the vision and goals. The organizational mission and values will also be reviewed and affirmed, and priorities of goals will be determined.

Our team will summarize all Workshop outcomes.

DELIVERABLES:

- Draft agenda for Priority Setting Workshop
- Priority Setting Workshop outcomes summary

Activity 5: Develop Strategic Plan

Having gained consensus on C/CAG values, goals, and priorities for the strategic plan, Raftelis will prepare a comprehensive strategic plan document and deliverable that includes our methodology and the results of the process. This will be an attractive and easy-to-read graphic document to share the new plan with the members and the public. We will include measurable goals and timetables for their achievement.

Once drafted, we will meet with C/CAG staff to review the draft strategic plan document and, based upon any feedback received, finalize the plan.

DELIVERABLES:

- Draft and final strategic plan

Activity 6: C/CAG Board of Directors Work Session and Approval

Upon request, Raftelis will support staff in their presentation of C/CAG's new strategic plan to various standing committees and support its adoption by, and presentation to, the Board.

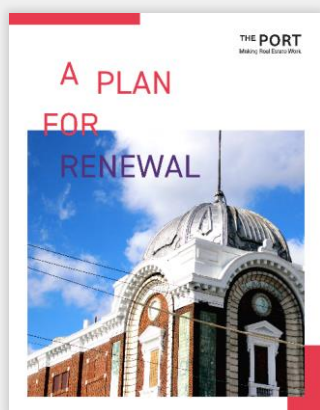
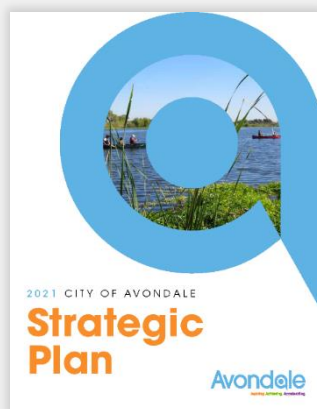
DELIVERABLES:

- Up to two presentations to the C/CAG Board of Directors



Activity 7: Optional Tasks

With the C/CAG's project manager request and approval, Raftelis will be available and happy to assist with implementation of Strategic Plan recommendations. We would discuss and review the scope with the Project Manager before preparing a price proposal.



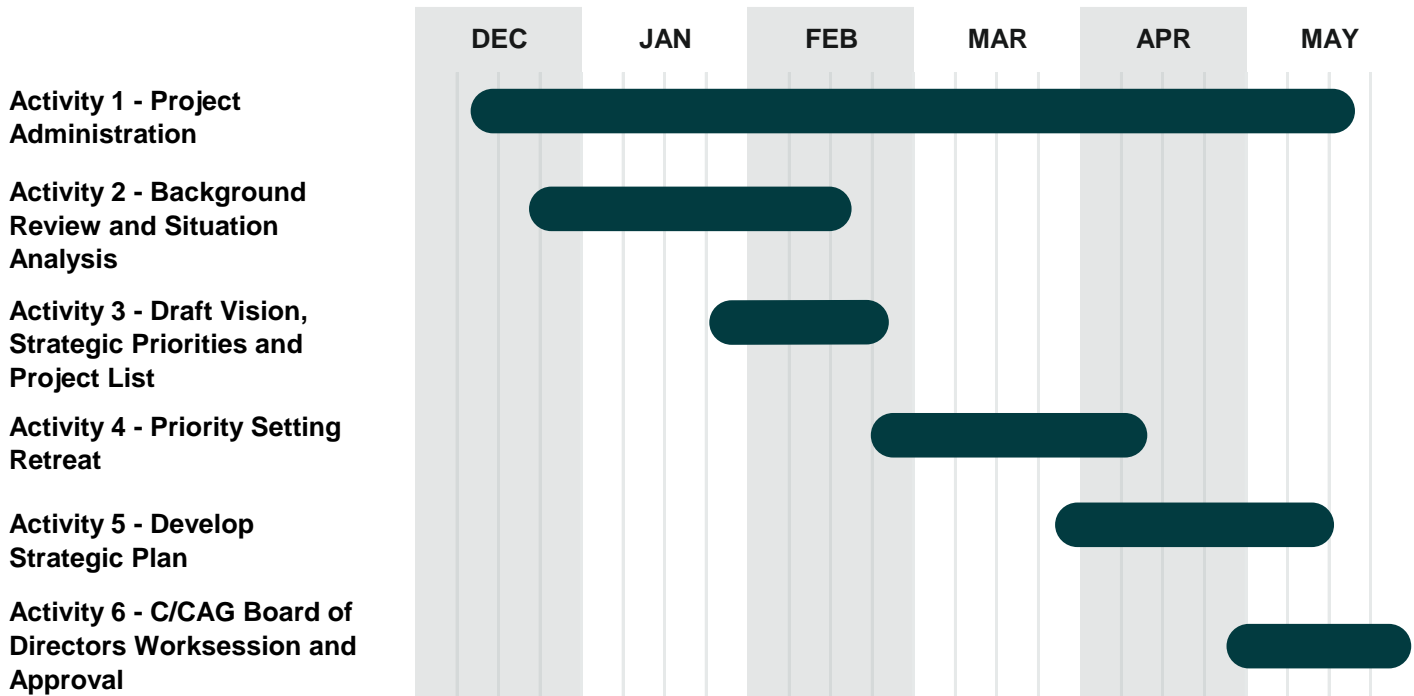
The strategic plan that we will develop for C/CAG won't be just another report to sit on your shelf. Our team of strategic planning experts and graphic designers develop plans that serve as tools to graphically communicate the organization's vision to both internal and external stakeholders.

Shown here are the front covers of several strategic plans that Raftelis has recently developed and designed.

SCHEDULE OF WORK

Schedule of Work

A draft timeline is provided below. We expect to refine and finalize this with C/CAG during Activity 1.



COST PROPOSAL

Cost Proposal

The total fixed fee to complete the scope of work outlined in this proposal is \$124,500, which includes all professional fees and expenses. Details on this cost proposal are provided on the following pages.

Hourly rates by team member classification are provided below. Rates will be held firm for the initial contract term and any annual rate escalation shall not exceed 3%.

Main Contact: Julia Novak
 Firm Name: Raftelis
 Firm Address: 445 S. Figueroa Street, Suite 1925
 Los Angeles, CA 90071
 Procurement Title: C/CAG Strategic Plan Development

Appendix 1 Summary TOTAL PROJECT COST

TOTAL PROJECT COST (without Optional Tasks)	\$124,500
Subtotal of Optional Tasks	TBD
TOTAL PROJECT COST (with Optional Tasks)	\$124,500.00

* Please refer to Section IV. Proposal Requirements, 7. Cost Proposal in the RFP for instructions.

POSITION	HOURLY BILLING RATE
Executive Vice President	\$400
Vice President	\$360
Senior Consultant	\$255
Visual Facilitator	\$255

C/CAG will be billed monthly upon work completed.

Main Contact: Julia Novak

Firm Name: Raftelis

Firm Address: 445 S. Figueroa Street, Suite 1925, Los Angeles, CA 90071

Procurement Title: C/CAG Strategic Plan Development

Appendix B
Cost Proposal

TASK/ DELIVERABLE	DIRECT LABOR						DIRECT EXPENSES (See itemized description at the bottom of this form)	TOTAL COST
	Raftelis	Raftelis	Raftelis	Raftelis	TOTAL HOURS	SUBTOTAL DIRECT LABOR		
	Executive Vice President	Vice President	Senior Consultant	Visual Facilitator				
	Julia Novak	Jan Perkins	Ashley Garcia	Julie Gieseke				
	\$400	\$360.00	\$255	\$255				
Task 1 - Project Administration								
1.a - Project Kick-off Meeting	4	4	4	0	12	\$4,060	\$2,868	\$6,928
1.b - Develop project charter	1	1	2	0	4	\$1,270	\$32.00	\$1,302
1.c - Plan and facilitate weekly project management meetings	0	8	24	0	32	\$9,000	\$ 256.00	\$9,256
Task Subtotal	5	13	30	0	48	\$14,330	\$ 3,156.00	\$17,486
Task 2 - Background Review and Situation Analysis								
2.a - Conduct comprehensive background review of relevant documents and relevant demographic information	4	4	12	0	20	\$6,100	\$160	\$6,260
2.b - Analyze trends	4	4	24	0	32	\$9,160	\$256	\$9,416
2.c - Prepare and review preliminary SWOT with the agency	4	4	4	0	14	\$4,060	\$312	\$4,372
2.d - Conduct follow-up research	0	2	8	0	10	\$2,760	\$80	\$2,840
2.e - Prepare final SWOT	0	2	4	0	8	\$1,740	\$264	\$2,004
Task Subtotal	12	16	52	0	80	\$23,820	\$1,072	\$24,892
Task 3 - Draft Vision Statement, Strategic Priorities and Project List								
3.a - Plan and facilitate workshop with agency staff to develop draft vision, values, goals, and potential priorities	0	12	12	8	32	\$9,420	\$3,964	\$13,384

Main Contact: Julia Novak
Firm Name: Raftelis
Firm Address: 445 S. Figueroa Street, Suite 1925, Los Angeles, CA 90071
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Appendix B
Cost Proposal

3.b - Evaluate priorities	0	0	8	0	8	\$2,040	\$64	\$2,104
3.c - Prepare preliminary list of projects organized by priority area	0	2	4	0	6	\$1,740	\$600	\$2,340
Task Subtotal	0	14	24	8	46	\$13,200	\$4,628	\$17,828
Task 4 - Priority Setting Retreat with C/CAG Board of Directors								
4.a - Interview board members	0	8	8	0	16	\$4,920	\$1,976	\$6,896
4.b - Meet with agency staff to prepare for workshop	0	4	4	0	8	\$2,460	\$912	\$3,372
4.c - Survey Board Members to gather input on goals and priorities	0	2	12	0	14	\$3,780	\$112	\$3,892
4.d - Prepare workshop presentation	0	4	8	0	12	\$3,480	\$96	\$3,576
4.e - Facilitate workshop	0	8	8	8	24	\$6,960	\$3,476	\$10,436
4.f - Prepare workshop summary	0	2	4	0	6	\$1,740	\$600	\$2,340
Task Subtotal	0	28	44	8	80	\$23,340	\$ 7,172.00	\$30,512
Task 5 - Development of Strategic Plan								
5.a - Prepare comprehensive strategic plan document and implementation plans for each strategic	0	4	24	0	44	\$7,560	\$2,672	\$10,232
5.b - Meet with agency staff to review the plan	0	2	2	0	4	\$1,230	\$32	\$1,262
5.c - Prepare final plan	0	2	4	0	10	\$1,740	\$600	\$2,340
Task Subtotal	0	8	30	0	58	\$10,530	\$ 3,304.00	\$13,834
Task 6 - C/CAG Board of Directors Work Session and Approval								
6.a - Develop presentation	0	4	8	0	12	\$3,480	\$96	\$3,576
6.b - Present plan to standing committees	0	12	12	0	24	\$7,380	\$3,888	\$11,268

Main Contact: Julia Novak
 Firm Name: Raftelis
 Firm Address: 445 S. Figueroa Street, Suite 1925, Los Angeles, CA 90071
 Procurement Title: C/CAG Strategic Plan Development

Appendix B
 Cost Proposal

6.c - Support adoption by Board	0	4	4	0	8	\$2,460	\$2,644	\$5,104
Task Subtotal	0	20	24	0	44	\$13,320	\$ 6,628.00	\$19,948
TOTAL PROJECT COST (without Optional Tasks)								\$124,500
Subtotal of Optional Tasks								TBD
TOTAL PROJECT COST (with Optional Tasks)								\$124,500

ITEMIZATION OF DIRECT EXPENSES								
Activity 1: Airfare \$1,500, Hotel \$885, Per Diem \$237, Car Rental \$150, Office Costs (supplies, administrative/graphic support) \$384								
Activity 2: Office costs \$1,072								
Activity 3: Airfare \$1,000, Hotel \$1,770, Per Diem \$474, Car Rental \$300, Mileage \$164, Office Costs \$920								
Activity 4: Airfare \$2,000, Hotel \$2,655, Per Diem \$711, Car Rental \$450, Mileage \$164, Office Costs \$1,192								
Activity 5: Office Costs \$3,304								
Activity 6: Airfare \$3,000, Hotel \$1,770, Per Diem \$474, Car Rental \$300, Office Costs \$1,084								

OPTIONAL TASKS								
Task 7 - As-needed Tasks (Optional)								
To be determined								
Task Subtotal								TBD

APPENDIX A: SUPPLEMENTAL MATERIALS

Appendix A: Supplemental Materials

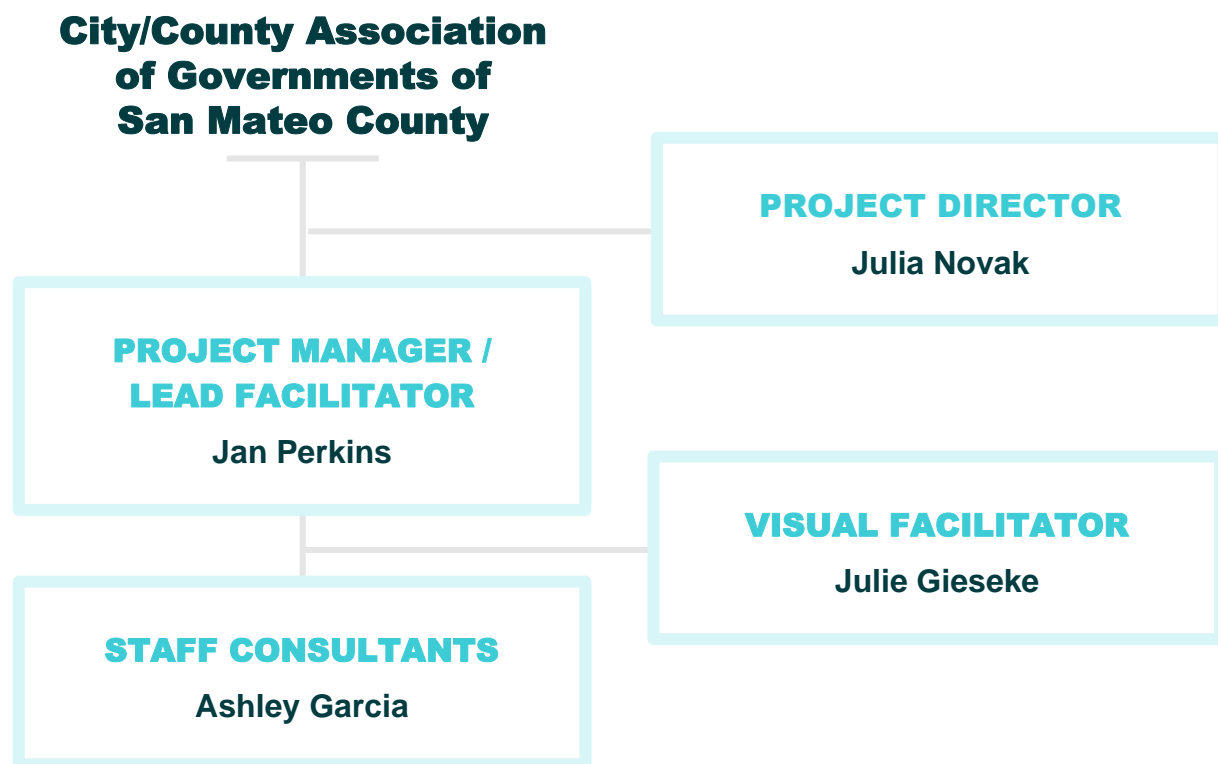


Qualifications

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

Our project team is made up of senior-level consultants with direct local government experience. What sets our project team apart is our ability to explore and relate to local community values while at the same time, investigating realistic approaches for cost-effective solutions.

An organizational chart of our project team is as follows. On the following pages, we have included resumes for each of our team members as well as a description of their role on the project.



Julia Novak

PROJECT DIRECTOR | Executive Vice President

ROLE: Julia will be responsible for overall project accountability and will be available to provide quality assurance and control, industry perspective, and insights into the project.

PROFILE: Julia's reputation and experience as a consultant who offers practical and implementable recommendations are grounded in more than 15 years of active service to local governments, including Fort Collins, Colorado; Lexington, Massachusetts; Rockville, Maryland; and as the city manager of Rye, New York. She is a practitioner first who has expanded her knowledge and expertise as a consultant for hundreds of organizations across the United States over the past twenty years. Julia has extensive experience as a facilitator and trainer. She has worked with both elected and appointed officials from jurisdictions throughout the United States to conduct goal setting, develop strategic plans, and prioritize service delivery. She has conducted training for elected officials as an individual trainer and through the National League of Cities.

Julia is an established thought leader in the areas of governance and administration. Public Management Magazine has published multiple articles that she authored and co-authored, including "Getting to Great: Defining the Roles of the Governing Body and Local Government Manager," "Preparing Councils for Their Work," "Permission to Manage" which discusses the importance of using data to manage local governments; "Dreams That Make a Difference" on the value of community based strategic planning; "Civility," "Using Data in Police Management," and, most recently "Getting to Great: Defining the Roles of the Governing Body and Local Government Manager."

Julia has been a speaker at national conferences for the ICMA, National League of Cities, and American Society of Public Administrators. She has been a featured speaker/trainer for many state associations and local government affiliate organizations throughout the United States. Julia earned a bachelor's degree in government and politics from George Mason University and a master's degree in public administration from the University of Kansas. Julia was in the first class of individuals certified by ICMA as Credentialed Local Government Managers and maintains that designation.



Professional History

- Raftelis: Executive Vice President (2020-present); President, The Novak Consultant Group (2009-2020)
- Vice President, Management Partners (2003 to 2009)
- City of Rye, New York: City Manager (2000-2003)
- City of Rockville, Maryland (1995-2000)
- Town of Lexington, Massachusetts (1992-1995)
- City of Fort Collins, Colorado (1987- 1992)

Education

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

Certifications

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

Professional Memberships

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

Jan Perkins ICMA CM

PROJECT MANAGER | Vice President

ROLE: Jan will manage the day-to-day aspects of the project ensuring it is within budget, on schedule, and effectively meets C/CAG's objectives. She will also lead the consulting staff in conducting analyses and preparing deliverables for the project. Jan will serve as C/CAG's main point of contact for the project.

PROFILE: Jan Perkins has over 30 years of management experience in local government. She served in several California and Michigan jurisdictions, including as City Manager in Fremont and Morgan Hill, California. She also served the cities of Santa Ana, California as Assistant City Manager; Grand Rapids, Michigan in various analyst roles and Deputy City Manager; and Adrian, Michigan as Community Development Director and Assistant City Administrator.

Jan is an expert facilitator and organization development consultant. She provides consulting assistance to government leaders in organizational analysis, leadership development, facilitation, strategic planning, teambuilding, executive performance evaluation, and policy board/staff effectiveness. Jan has held leadership positions in professional associations, is a frequent speaker at professional conferences and has received awards from professional and civic associations. In 2016, Jan was honored by ICMA with its Distinguished Service Award, received the Lifetime Achievement Award from Women Leading Government, and a Lifetime Achievement Award from her MPA alumni association, the KUCIMATs. She has authored a number of articles on leadership, executive performance evaluation, ethics and successful hiring strategies. Jan holds an undergraduate degree in sociology and a Master's of Public Administration from the University of Kansas. She completed the Program for Senior Executives in State and Local Government from Harvard University and is an ICMA Credentialed Manager. She is a founding board member of Women Leading Government, assisted in recruiting the women in public administration conferences at the University of Kansas, served on and chaired ICMA committees, was President of the Alameda County City Managers Association, is a Past President and current member of the California City Management Foundation, and is a Fellow with the National Academy for Public Administration.



Professional History

- Raftelis: Vice President (2023-present)
- Management Partners: Vice President, Senior Partner, Partner (2005-2022); Managing Director, Baker Tilly, through acquisition of Management Partners (2022-2023).
- City of Fremont, CA: City Manager/Acting City Manager (1993-2005)
- City of Morgan Hill, CA: City Manager (1990-1993)
- City of Santa Ana, CA: Assistant City Manager (1984-1990)
- City of Grand Rapids, MI: Deputy City Manager (1981-1984), Analyst (1975-1979)
- City of Adrian, MI: Community Development Director/Assistant City Administrator (1979-1981)

Education

- Master's Degree in Public Administration - University of Kansas (1976)
- Bachelor's Degree in Sociology - University of Kansas (1974)

Certifications

- Certificate from Harvard University's Program for Senior Executives in State and Local Government
- ICMA Credentialed Manager

Professional Memberships

- ICMA
- Women Leading Government, founding board member
- California City Management Foundation, Past President

Julie Gieseke

VISUAL FACILITATOR | Visual Facilitator

ROLE: Julie will use visual facilitation to capture participants' dialogue, discussion, and ideation by drawing large visual maps in real time, which helps connect ideas, track content, and synthesize their work.

PROFILE: Julie Gieseke is a visual facilitator, working in the realm of group facilitation, strategic planning and strategic communications for over fifteen years. She creates visuals that bring ideas and people together through image and story.

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

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

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



Professional History

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

Education

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

Certifications

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

Professional Memberships

- International Forum of Visual Practitioners

Ashley Garcia

STAFF CONSULTANT | Senior Consultant

ROLE: Ashley will work at the direction of Jan in conducting analyses and preparing deliverables for the project.

PROFILE: Ashley began consulting in 2020 after a decade of direct service to local governments in Southern California. Prior to joining Raftelis, Ashley spent nearly four years as a consultant conducting dozens of organizational assessments and strategic plan engagements. Through specifically tailored retreat planning and facilitation, she seeks input and consensus from elected officials, staff, and members of the community to help local governments establish collective priorities. The combination of practitioner and consulting experience enables her to effectively relate to client needs and provide appropriate solutions, rooted in industry best practices.

Ashley has assessed a wide variety of local government operations including development review, human resources, city clerk's office, fire department, library, public works, and municipal utilities. Her work helps local government organizations increase effectiveness and deploy resources efficiently to achieve community priorities. This work includes analysis of staffing and organizational structure, peer comparison analysis, creation of process maps, policy and procedure updates, and process improvement workshop facilitation. She has also used qualitative and quantitative methods to assess both employee and customer experiences and identify actionable recommendations for enhanced service delivery.

Ashley began her career in Orange County, California, where she served the cities of Villa Park, Huntington Beach, Laguna Niguel, and Costa Mesa in progressively responsible roles within the City Manager's Office. Ashley expanded her experience in organizational development at the City of Santa Maria, where she led an effort to align employee competencies and performance metrics to the city's mission and values.

Ashley earned a master's degree in public administration from University of Southern California and a bachelor's in human and organizational development with an emphasis in public policy from Vanderbilt University.



Professional History

- Raftelis: Senior Consultant (2023-present)
- Baker Tilly x Management Partners: Senior Manager, Consulting (2020-2023)
- City of Santa Maria, California: HR Projects Administrator (2019-2020)
- City of Costa Mesa, California: Management Analyst (2015-2018)
- City of Laguna Niguel, California: Management Analyst (2012-2015)
- City of Huntington Beach, California: Graduate Management Fellowship (2011-2012)
- City of Villa Park, California: Management Intern (2009-2010)

Education

- Master of Public Administration - University of Southern California (2012)
- Bachelor of Science in Human and Organizational Development - Vanderbilt University (2009)

Professional Memberships

- Municipal Management Association of Southern California (MMASC): Past President
- International City/County Management Association (ICMA)
- Women Leading Government (WLG)

Work Samples

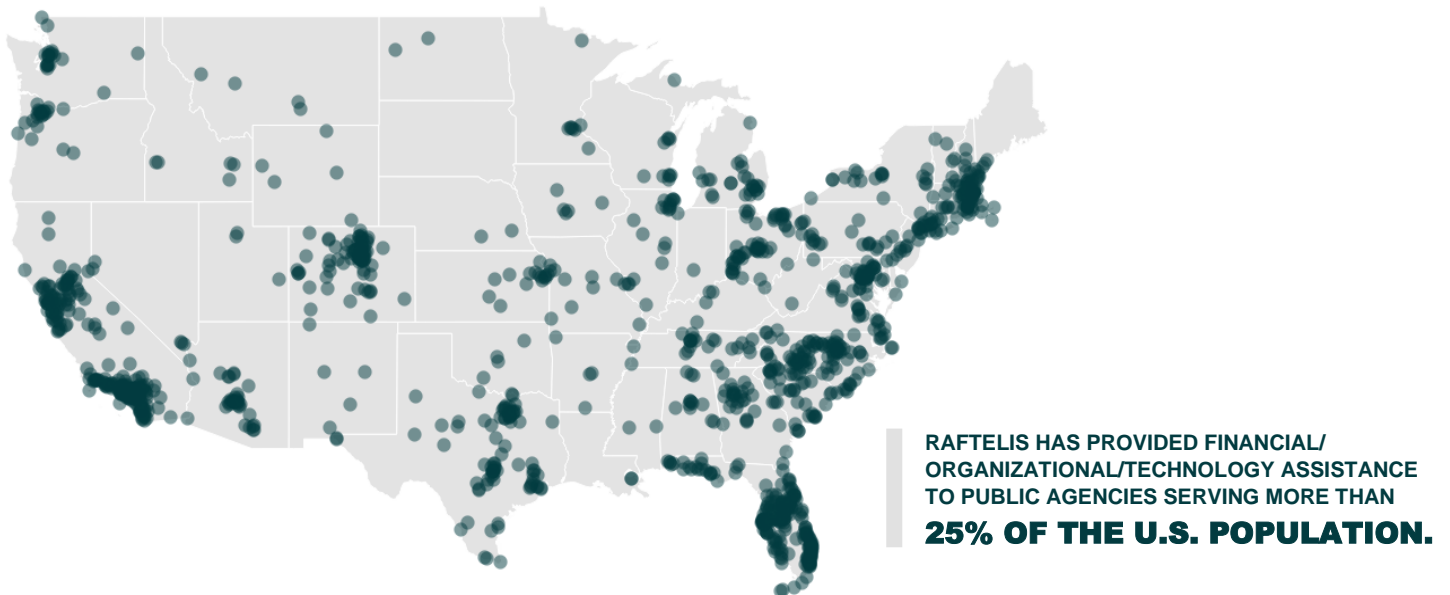
Below please find a few additional representative samples of strategic plans we have developed in cooperation with other public agencies.

- Strategic Plan Framework for The Steamship Authority, MA – <https://bit.ly/3FZHgep>
- 2022 Strategic Plan for Gaithersburg, MD – <https://bit.ly/40LFtDu>
- 2023 Strategic Plan for Long Beach Development Services, CA <https://bit.ly/3SFfdbK>

References

RAFTELIS HAS ONE OF THE MOST EXPERIENCED LOCAL GOVERNMENT FINANCIAL AND MANAGEMENT CONSULTING PRACTICES IN THE NATION.

Our staff has assisted more than 1,500 local government organizations across the U.S., including some of the largest and most complex agencies in the nation. In the past year alone, Raftelis worked on more than 1,200 strategic planning, financial, management, and/or technology consulting projects for over 600 public-sector agencies in 46 states, the District of Columbia, and Canada. Our team has extensive experience with strategic planning throughout the country. Our clients tell us we are more than just consultants—we are trusted advisors. We point to a strong repeat customer base as part of the evidence, as well as the many clients who have hired us numerous times to do vital work for their organizations. Other clients have told us that our contacts are “enthusiastic” when providing a reference to potential clients, and they point to actionable and practical solutions.



The Steamship Authority MA

Reference: Bob Davis, General Manager

P: 508.548.5011 ext. 200 / E: rdavis@steamshipauthority.com

The Steamship Authority (Authority) runs the largest ferry service to the islands of Martha's Vineyard and Nantucket from Cape Cod on the mainland of Massachusetts. In early 2023, the Authority engaged Raftelis to prepare its strategic plan. Our team reviewed documents, interviewed Board and Port Council members, held staff interviews and focus groups, surveyed all staff on mission and vision statements, and interviewed key stakeholders across the islands served by the Authority. Raftelis prepared an environmental scan and developed the draft framework in May 2023. Work is underway to solicit community input on the framework. Raftelis will facilitate additional workshops with the Board and staff to finalize the framework and will work with staff to identify specific implementation strategies by December.

City of Folsom CA

Reference: Elaine Andersen, City Manager

P: 916.461.6010 / E: eandersen@folsom.ca.us

Beginning in 2022, our Project Manager was the lead facilitator and project director for development of the City of Folsom's (City) first citywide [Strategic Plan](#), adopted in April 2023. The process involved gathering input from the City Council, community, and executive team. A survey of the business community was designed and administered. A gap analysis questionnaire was completed by City departments to provide key information about strengths, weaknesses, opportunities, and threats (SWOT) along with major projects and initiatives. A workshop was held with the executive team to review information gathered. A second workshop with the City Council and executive team obtained Council guidance on the strategic plan.

City of Victorville CA

Reference: Keith Metzler, City Manager

P: 760.955.5029 / E: kmetzler@victorvilleca.gov

Beginning in 2020, our Project Manager was the lead facilitator and project director for development of the City of Victorville's (City) first citywide three-year strategic plan. The process involved gathering input from the City Council, community, and staff. Two City Council workshops were held, one of which focused on creating a set of Council norms. A staff leadership team session was also held. Each department completed a gap analysis questionnaire to provide key information about strengths, weaknesses, opportunities, and threats (SWOT) along with major projects and initiatives to be included in the strategic plan. Both a community survey and employee survey were designed and administered to gather input. City staff prepared an environmental scan which was presented at the Council workshop. In 2023, the City initiated a second three-year strategic planning process, which culminated in a City Council workshop held in July 2023 to achieve consensus on the proposed plan. The newly updated [Strategic Plan](#) was formally adopted by the City Council in August 2023.

City of Pleasanton CA

Reference: Gerry Beaudin, City Manager

P: 925.931.5002 / E: gbeaudin@cityofpleasanton.gov

Beginning in 2015, our Project Manager has been the lead facilitator and project director for several strategic plans. The City's first comprehensive Citywide Strategic Plan is nearly completed, with a City Council workshop to review the draft plan held in August 2023. The Citywide Strategic Plan process began with interviews with members of the City Council; an employee survey; a gap analysis administered to City departments; reviewing community survey information obtained through other sources; reviewing various City plans; guiding City staff on community engagement outreach, including focus groups; and a town hall event and pop ups at the Farmers' Market. Two workshops were facilitated, the first of which was with the executive team to review information gathered. The second workshop was with the City Council and executive team to obtain Council direction on the strategic plan. A third workshop is scheduled with staff following adoption to create an implementation action plan.

The prior strategic planning engagements began with the [Alviso Adobe Community Park](#), which involved a task force and multiple meetings. Other strategic plans included the [Livermore-Pleasanton Fire Department Strategic Plan](#), the [Library and Recreation Strategic Plan](#), the Operations Services Department Strategic Plan (first one in 2016 and second one in 2022), and the Community Development Department Strategic Plan.

City of Union City CA

Reference: Joan Malloy, City Manager

P: 510.675.5344 / E: joanm@unioncity.org

Since 2019, our Project Manager has been the lead facilitator and project director for strategic planning for the City of Union City. A five-year citywide strategic plan was developed in 2019 containing a new citywide vision and organizational vision, mission statement, and set of values. The strategic plan included five broad multi-year goals, each of which had strategies for achieving the goals. An implementation action plan was developed to accompany the strategic plan. Our associate then led the [Midpoint Update of the Strategic Plan](#) in 2021. Most recently, the final update of the five-year plan was completed in August 2023, to be formally adopted by the Council in September 2023.

APPENDIX B: ADDITIONAL PROPOSAL REQUIREMENTS

Appendix B: Additional Proposal Requirements



Litigation

Raftelis has been joined as a third-party defendant in a lawsuit filed by local developers against the Town of Fuquay-Varina, North Carolina. The subject of this currently pending litigation is development impact fees assessed by the town and developed by Raftelis. This is the only legal case in which Raftelis has been joined as a party in the history of our firm. Raftelis intends to vigorously defend the allegations and claim.

Contract Agreement

We request that C/CAG consider making the following modifications, shown in red below, to the Sample Agreement Template. Please contact us if you have any questions or concerns about these modifications.

1. **Services to be provided by Consultant.** In consideration of the payments hereinafter set forth, Consultant shall provide services described in Exhibit A, Scope of Work attached hereto (the “Services”).

In the performance of its services, Consultant represents that it has and will exercise the degree of professional care, skill, efficiency, and judgment of consultants with special expertise in providing such services, **as of the time and at the location the services are provided**, and Consultant represents that it carries and will maintain all applicable licenses, certificates, and registrations needed for the work in current and good standing. **Consultant may rely on all data and information provided by or on behalf of C/CAG without additional investigation.**

5. **Contract Materials.** At the end of this Agreement, or in the event of termination, all finished or unfinished documents, data, studies, maps, photographs, reports, and other written materials, **in each case to the extent intended as a deliverable hereunder and prepared by Consultant under this Agreement** (collectively referred to as “contract materials”) ~~prepared by Consultant under this Agreement~~ shall become the property of C/CAG and shall be promptly delivered to C/CAG. Upon termination, Consultant may make and retain a copy of such contract materials if permitted by law. **Notwithstanding the foregoing or anything else in this Agreement, nothing herein shall be deemed or construed as a waiver, release, divestiture, transfer or assignment by Consultant of any of its intellectual property, know-how or trade secrets.**

9. **Hold Harmless/Indemnity.**

a. *General.* Consultant shall indemnify and save harmless C/CAG and its officers, ~~agents~~, employees, and servants from all claims, suits, or actions of every name, kind, and description ~~resulting from this Agreement, the performance of any work or services required of Consultant under this Agreement, or payments made pursuant to this Agreement brought, for, or on account of, any of~~ the following: (A) injuries to or death of any person, including Consultant or its employees/officers/agents; (B) damage to any property of any kind whatsoever and to whomsoever belonging; (C) any sanctions, penalties, or claims of damages resulting from Consultant’s failure to comply, if applicable, with the requirements set forth in the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and all Federal regulations

promulgated thereunder, as amended; or (D) any other loss or cost, including but not limited to that caused by the concurrent active or passive negligence of C/CAG and/or its officers, agents, employees, or servants-, in each case to the extent caused by the negligent acts or omissions of Consultant in the performance of services hereunder. However, Consultant's duty to indemnify and save harmless under this Section shall not apply to injuries or damage for which C/CAG has been found in a court of competent jurisdiction to be liable by reason of its own negligence or willful misconduct. The duty of Consultant to indemnify and save harmless as set forth by this Section shall include the duty to defend as set forth in Section 2778 of the California Civil Code.

This indemnification provision will survive termination or expiration of this Agreement- for 36 months. Consultant shall have no obligation to indemnify C/CAG against liability for claims by a third party for failure to comply with its obligations under Article XIII D of the California Constitution (Proposition 218).


b. *Intellectual Property*. Consultant hereby certifies that it owns, controls, and/or licenses and retains all right, title, and/or interest in and to any intellectual property it uses in relation to this Agreement, including the design, look, feel, features, source code, content, and/or other technology relating to any part of the services it provides under this Agreement and including all related patents, inventions, trademarks, and copyrights, all applications therefor, and all trade names, service marks, know how, and trade secrets (collectively referred to as "IP Rights") except as otherwise noted by this Agreement.

Consultant warrants that the services it provides under this Agreement do not infringe, violate, trespass, or constitute the unauthorized use or misappropriation of any IP Rights of any third party. Consultant shall defend, indemnify, and hold harmless C/CAG from and against all liabilities, costs, damages, losses, and expenses (including reasonable attorney fees) arising out of or related to any claim by a third party ~~that to~~ the extent the services provided under this Agreement infringe or violate any third- party's IP Rights provided any such right is enforceable in the United States.

14. **Sole Property of C/CAG.** Work products of Consultant which are delivered under this Agreement ~~or which are developed, produced and paid for under this Agreement,~~ shall be and become the property of C/CAG in accordance with and subject to the provisions of Section 5. Consultant shall not be liable for C/CAG's use, modification or re-use of products without Consultant's participation or for purpose other than those specifically intended pursuant to this Agreement.

Insurance Provisions

Raftelis agrees to provide the required certificates of insurance providing verification of the minimum insurance requirements. On the following page, we have provided our current Certificate of Liability Insurance.

Signature: 

Date: November 15, 2023

Client#: 1722483

RAFTEFIN

ACORDTM
CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)

1/20/2023

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must have ADDITIONAL INSURED provisions or be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer any rights to the certificate holder in lieu of such endorsement(s).

PRODUCER USI Insurance Svcs, Charlotte 6100 Fairview Road Ste 1400 Charlotte, NC 28210 800 868-8834		CONTACT NAME: Brad Christensen PHONE (A/C, No, Ext): - FAX (A/C, No): E-MAIL ADDRESS: brad.christensen@usi.com	
INSURED Raftelis Financial Consultants, Inc. 227 West Trade Street, Ste. 1400 Charlotte, NC 28202		INSURER(S) AFFORDING COVERAGE INSURER A : National Fire Insurance Co. of Hartford	NAIC # 20478
		INSURER B : Continental Insurance Company	35289
		INSURER C : American Casualty Company of Reading PA	20427
		INSURER D : Continental Casualty Company	20443
		INSURER E : Travelers Casualty & Surety Co. of Amer	31194
		INSURER F : Beazley Insurance Company, Inc.	37540

COVERAGES
CERTIFICATE NUMBER:
REVISION NUMBER:


THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	ADDL SUBR INSR WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS
A	<input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR GEN'L AGGREGATE LIMIT APPLIES PER: <input checked="" type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC OTHER:		6076000011	01/21/2023	01/21/2024	EACH OCCURRENCE \$1,000,000 DAMAGE TO RENTED PREMISES (Ea occurrence) \$500,000 MED EXP (Any one person) \$15,000 PERSONAL & ADV INJURY \$1,000,000 GENERAL AGGREGATE \$2,000,000 PRODUCTS - COMP/OP AGG \$2,000,000 \$
D	AUTOMOBILE LIABILITY <input type="checkbox"/> ANY AUTO OWNED AUTOS ONLY <input type="checkbox"/> SCHEDULED AUTOS <input checked="" type="checkbox"/> HIRED AUTOS ONLY <input checked="" type="checkbox"/> NON-OWNED AUTOS ONLY		BAU6076000025	01/21/2023	01/21/2024	COMBINED SINGLE LIMIT (Ea accident) \$1,000,000 BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$ \$
B	<input checked="" type="checkbox"/> UMBRELLA LIAB <input checked="" type="checkbox"/> OCCUR <input type="checkbox"/> EXCESS LIAB <input type="checkbox"/> CLAIMS-MADE DED <input checked="" type="checkbox"/> RETENTION \$10000		CUE6076000039	01/21/2023	01/21/2024	EACH OCCURRENCE \$5,000,000 AGGREGATE \$5,000,000 \$
C	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below	Y/N N/A	WC676305637 WC676000042 - CA	01/21/2023 01/21/2023	01/21/2024 01/21/2024	<input checked="" type="checkbox"/> PER STATUTE <input type="checkbox"/> OTH-ER E.L. EACH ACCIDENT \$1,000,000 E.L. DISEASE - EA EMPLOYEE \$1,000,000 E.L. DISEASE - POLICY LIMIT \$1,000,000
D	Professional		652071235	01/21/2023	01/21/2024	\$5,000,000 Limit
E	Crime		107207373	01/21/2023	01/21/2024	\$1,000,000 Limit
F	Cyber		W314D6230201	01/21/2023	01/21/2024	\$5,000,000 Limit

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)

Certificate Holder is included as an Additional Insured with respect to General Liability, Automobile and Umbrella will follow form as per written contract. The coverage afforded to the Additional Insured is on a Primary and Non-Contributory basis for General Liability, Automobile and Umbrella if required by (See Attached Descriptions)

CERTIFICATE HOLDER
CANCELLATION

To Whom it May Concern	SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.
	AUTHORIZED REPRESENTATIVE 

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Form **W-9**
(Rev. October 2018)
Department of the Treasury
Internal Revenue Service

Request for Taxpayer Identification Number and Certification

► Go to www.irs.gov/FormW9 for instructions and the latest information.

Give Form to the
requester. Do not
send to the IRS.

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.
Raftelis Financial Consultants, Inc.

2 Business name/disregarded entity name, if different from above
Raftelis

3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only **one** of the following seven boxes.

☐ Individual/sole proprietor or single-member LLC

☐ C Corporation

☒ S Corporation

☐ Partnership

☐ Trust/estate

☐ Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ► _____

Note: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is not disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.

☐ Other (see instructions) ► _____

4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):

Exempt payee code (if any) _____

Exemption from FATCA reporting code (if any) _____

(Applies to accounts maintained outside the U.S.)

5 Address (number, street, and apt. or suite no.) See instructions.
227 West Trade St., Suite 1400

6 City, state, and ZIP code
Charlotte, NC 28202

7 List account number(s) here (optional)

Requester's name and address (optional)

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

Note: If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number

				-			-				
--	--	--	--	---	--	--	---	--	--	--	--

or

Employer identification number

2	0	-	1	0	5	4	0	6	9
---	---	---	---	---	---	---	---	---	---

Part II Certification

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
- I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
- I am a U.S. citizen or other U.S. person (defined below); and
- The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

Sign Here Signature of U.S. person ► *Christine McIntyre* Date ► *1/4/23*

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to www.irs.gov/FormW9.

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

- Form 1099-INT (interest earned or paid)

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.