

**REQUEST FOR PROPOSAL ("RFP") FOR
INFORMATION TECHNOLOGY INFRASTRUCTURE SERVICES**

TARGET MARKET PROGRAM

**Responses Restricted to City of Chicago or Cook County Minority Business Enterprises (MBE)
and Women Business Enterprises (WBE) Certified Within the Service Area Specified**

Specification No. 416117

Required for use by:

**CITY OF CHICAGO
(Department of Innovation and Technology)**



This RFP distributed by:

**CITY OF CHICAGO
(Department of Procurement Services)**

All proposals and other communications must be addressed and returned to:

Jamie L. Rhee, Chief Procurement Officer
Attention: Joseph Chan Senior Procurement Specialist
joseph.chan@cityofchicago.org
312 -744-7659
Department of Procurement Services
Bid & Bond Room - Room 103, City Hall
121 North LaSalle Street
Chicago, Illinois 60602

A Pre-Proposal Conference will be held on February 22, 2018 at 11:00 am Central Time,
City Hall, 11th Floor, Conference Room # 1103,
121 North LaSalle Street, Chicago, Illinois 60602.
Attendance is Non-Mandatory, but encouraged.

**PROPOSALS MUST BE RECEIVED NO LATER THAN 4:00 P.M., CENTRAL TIME, ON
March 30, 2018**

**RAHM EMANUEL
MAYOR**

**JAMIE L. RHEE
CHIEF PROCUREMENT OFFICER**



DEPARTMENT OF PROCUREMENT SERVICES

CITY OF CHICAGO

Dear Vendor:

Under the leadership of Mayor Rahm Emanuel, the City continues to identify ways contractors can be good corporate citizens, enhance the City's business community, and improve small businesses' chances of being successful City contractors. The City has several bid incentives and programs designed to benefit local businesses, small businesses and utilization thereof, and reward corporate responsibility and community awareness, including bid incentives for apprentice utilization, city-based businesses, city-based manufacturers, project-area subcontractors, veteran/small business joint ventures, and the use of alternatively powered vehicles, as well as the diversity credit program. Information about all of the City's programs and incentives can be found at www.cityofchicago.org/city/en/depts/dps/provdrs/comp.html.

One program that you may not be aware of is the City's Mentor-Protégé Program ("Program"). Under this Program, a prime contractor mentor is eligible to receive (1) a 1% bid incentive; and (2) an additional 0.5 percent participation credit for every one percent of the value of the contract performed by a subcontractor MBE/WBE protégé (in addition, instead of being mentored by the prime, can be mentored by a first-tier subcontractor), up to a maximum of five additional percentage points of utilization credit. The mentor and protégé must enter into a formal, written agreement that must be approved by the Chief Procurement Officer and that describes how the mentor-protégé relationship will develop the capacity of the MBE/WBE protégé firm to become self-sufficient, competitive, and profitable.

The Mentor-Protégé Program thus embodies two of the City's most important goals: fostering economic development through the growth of small businesses, and connecting our communities to one another through lasting relationships that may not otherwise have formed. We encourage you to make connections at pre-bids and other networking events, contact the assist agencies¹ for vendors specializing in the area of work you are looking to subcontract, and search our MBE/WBE directory online, with the hope that you will take advantage of this Program.

Please also review the following additional reminders about bidding, contracting, and compliance.

Please read Instructions for Bidders, Requests for Proposals and Requests for Qualifications carefully. We understand that government solicitations for bids, proposals and qualifications contain a lot of information and may have mandatory forms to complete. However, errors and omissions in your bids, proposals and qualifications cost both you and the City time and money, since non-responsive bids

¹ For a list of assist agencies, visit www.cityofchicago.org/content/dam/city/depts/dps/ContractAdministration/Forms/AssistAgenciesJune2016.pdf.

must be rejected. Rejected bids may result in your firm not getting the contract and increase the cost of work to the City.

If you have a question, ask us. The telephone number and e-mail address of the individual from DPS who is responsible for each solicitation is stated on the cover page of that solicitation. Call or write us – we are here to assist you. However, please keep in mind that in regards to bid solicitations, we must communicate answers to anything but the most general questions to all firms in the vendor pool. This is usually done via an addendum.

The City remains committed to the development and utilization of small, minority, women and disadvantaged owned businesses. In each bid solicitation, you receive a list of the City's registered assist agencies. As you plan for meeting your MBE/WBE goals, remember to contact the assist agencies. They have members holding certification in a variety of disciplines. Please utilize them whenever you have contracting needs. In fact, contacting these agencies *well in advance of the bid opening date* is a requirement for demonstrating good faith efforts to obtain MBE/WBE participation if you request a reduction or waiver of goals.

All subcontractors must be approved by the Chief Procurement Officer. A contractor may not make any substitution for a previously approved subcontractor unless the substitution is acceptable to the Chief Procurement Officer. All requests to substitute subcontractors must be submitted on the appropriate form.

You must pay all subcontractors and suppliers within seven days of your receiving payment for that portion of the work from the City. Failure to pay your subcontractors within the seven-day time period may subject you to fines or other penalties.

Vendors are required to report payments to all subcontractors and suppliers in C2. The City's Certification and Compliance Management system, C2, allows prime contractors to report M/W/DBE utilization quickly and efficiently through a web-based format while simultaneously allowing subcontractors the ability to confirm payment activity.

EDSs must be kept up to date. Vendors are required to fill out an Economic Disclosure Statement ("EDS") prior to award of a contract. Until final completion of the project, you must provide, without need for request by the City, an updated EDS if there is any change in ownership or change in any other circumstance that would render the EDS then currently on file inaccurate or obsolete. Failure to provide an updated EDS when required is an event of default.

Persons who lobby City government are required to register as a lobbyist with the Board of Ethics and submit activity reports every quarter. For more information regarding this requirement, please contact the City of Chicago Board of Ethics. Information about the Board may be found at www.cityofchicago.org/ethics.

Check the Debarred Vendor List. Prior to submitting a bid, or for existing contracts, a request for approval of subcontractors, you must check the list of debarred vendors to make sure that you are not proposing the use of a firm that is ineligible to do business with the City. The list of vendors ineligible to do business with the City may be found at www.cityofchicago.org/city/en/depts/dps/provdrs/debarred_firms_list.html.

Comply with prevailing wage and minimum wage requirements. Pursuant to the Illinois Prevailing Wage Act, (or Davis Bacon Act for federally funded contracts), contractors and subcontractors must pay laborers, workers and mechanics performing services on public works projects no less than the current "prevailing rate of wages" (hourly cash wages plus amount for fringe benefits) in the county where the work is performed and, no later than the tenth day of each calendar month, file a certified payroll for

the immediately preceding month with the public body in charge of the project. Additionally, pursuant to Mayoral Executive Order 2014-1, the minimum wage* must be paid to all employees regularly performing work on City property or at a City jobsite, and all employees whose regular work entails performing a service for the City under a City contract. For more information about the prevailing wage, visit www.illinois.gov/idol/Laws-Rules/CONMED/Pages/prevailing-wage-rates.aspx. For a copy of Mayoral Executive Order 2014-1 regarding minimum wage, visit www.cityofchicago.org/content/dam/city/depts/dps/RulesRegulations/ExecutiveOrderNo2014-1.pdf.

Comply with the United States Department of Labor Occupational Safety & Health Administration ("OSHA") laws and regulations. Under the Occupational Safety and Health Act, employers are responsible for providing a safe and healthful workplace. OSHA's mission is to assure safe and healthful workplaces by setting and enforcing standards, and by providing training, outreach, education and assistance. Employers must comply with all applicable OSHA standards. Employers must also comply with the General Duty Clause of the OSH Act, which requires employers to keep their workplace free of serious recognized hazards. For more information, visit www.osha.gov/law-regs.html.

Comply with the Multi-Project Labor Agreement ("PLA"). The City is a signatory to the PLA, which applies to all contractors and subcontractors of any tier performing construction work, including construction, demolition, rehabilitation, maintenance, and/or renovation of real property located in Chicago. See the relevant sections of the bid specification for more information.

Assistance in meeting the City's requirements for project area labor is available through the Chicago Cook Workforce Partnership. On construction projects of \$100,000 or more, at least 50% of the total hours worked must be provided by City residents, and at least 7.5% of the hours worked must be provided by residents of the project area. The City and Cook County have partnered to provide job training and collaborate with unions, among other workforce development initiatives. For more information and to request assistance with complying with Chicago residency and project area residency requirements, visit www.workforceboard.org/businesses or call (312) 603-7066.

Schedule Cs must reflect the agreement between the subcontractor and the prime contractor. A subcontractor's signature on the Schedule C means it has agreed to the scope and price of work that is described therein. We strongly caution against subcontractors signing and sending blank Schedule Cs to prime contractors.

Pay at least the applicable wage rate, and note the requirements of the paid sick leave ordinance. On December 2, 2014, the City Council of the City of Chicago passed a new chapter of the Municipal Code, 1-24, specifying a minimum wage to be paid to all workers within the City of Chicago – not just employees of City contractors – effective July 1, 2015. For work performed on City contracts, a Contractor must pay the highest of (1) prevailing wage/Davis-Bacon rate, if applicable; (2) minimum wage specified by Mayoral Executive Order 2014-1*; (3) "Living Wage" rate specified by MCC Sect. 2-92-610; (4) Chicago Minimum Wage rate specified by MCC Chapter 1-24*; or (5) the highest applicable State or Federal minimum wage. In addition, § 1-24-045, Paid Sick Leave, which was passed in 2016, requires all employers of employees performing work in the City to provide paid sick leave, **effective July 1, 2017**.

Note that there are different types of waivers of lien. A *Conditional Waiver and Release Upon Progress Payment* is used when the claimant is required to sign a waiver and release in exchange for, or in order to, induce a progress payment, and the claimant has not yet been paid. A *Conditional Waiver and Release Upon Final Payment* is used when the claimant is required to sign a waiver and release in exchange for, or in order to induce a final payment, and the claimant has not yet been paid. Remember, any outstanding balance that is owed to the claimant or retainage held should be noted in the balance section of the waiver of lien. An *Unconditional Waiver and Release Upon Progress Payment* is used when the claimant is required to sign a waiver and release in exchange for, or in order to, induce a

progress payment, and the claimant asserts in the waiver that he or she has received the progress payment. *An Unconditional Waiver and Release Upon Final Payment* is used when the claimant is required to sign a waiver and release in exchange for, or in order to, induce a final payment and the claimant asserts in the waiver that he or she has received the final payment.

Please take a moment to fill out the **optional** survey that follows this letter to help us gain a better understanding of your firm. Thank you for your attention to these important matters, and we look forward to partnering with you on future City contracts.

Sincerely,

A handwritten signature in blue ink, appearing to read 'Jamie L. Rhee', with a long horizontal flourish extending to the right.

Jamie L. Rhee
Chief Procurement Officer

PLEASE NOTE: Do **not** return this survey with your bid, as it is optional and does not affect the evaluation of your bid. If you choose to complete the survey, please fax it to 312-744-0010 or email it to dps.feedback@cityofchicago.org.

Vendor Name ("Vendor"): _____

Date: _____

(1) Does Vendor have a formal tracking and reporting system of energy/utility/waste/water usage to identify trends and unusual fluctuations and usage?

(2) Does Vendor have an awareness program for energy conservation that includes regular communication to employees about avoiding wasteful practices and encourages turning off lights and other devices when not in use?

If so, are reminder signs posted in appropriate locations?

(3) Has a policy or practice been adopted to avoid or prohibit the use of high energy-consuming outdoor advertising (such as LED billboards)?

(4) Are employees instructed to shut down personal computers at the end of each work period?

Are computers set to turn off monitor, hard drive, or go on standby after 30 minutes or less of inactive network/system controls used to minimize energy use in idle work stations?

(5) Are supplies and cleaning products chosen based on goal of minimizing harmful or hazardous contents? _____

(6) Is preference given whenever practicable to local suppliers and products locally or regionally?

(7) What percentage of Vendor's full-time employees identify as:

- a. White _____
- b. Black or African-American _____
- c. Hispanic _____
- d. Asian _____
- e. Other _____

(8) What percentage of Vendor's full-time employees identify as:

- a. Male _____ %
- b. Female _____ %

TABLE OF CONTENTS

Contents

I. GENERAL INVITATION	1
A. Purpose of the Request for Proposal	1
B. Background	2
C. Internet Access to this RFP	5
II. DEFINITIONS	6
III. SCOPE OF SERVICES	7
A. Description of Services	7
B. Contract Term	7
IV. GENERAL INFORMATION AND GUIDELINES	7
A. Communications Between the City of Chicago and Respondents	7
1. Submission of Questions or Requests for Clarifications	7
2. Pre-Proposal Conference	7
B. Deadline and Procedures for Submitting Proposals	8
C. RFP Information Resources	9
D. Procurement Timetable	9
E. Transparency Website: Trade Secrets	9
V. PREPARING PROPOSALS: REQUIRED INFORMATION	10
A. Format of Proposals	10
B. Required Contents of Proposal	10
1. Cover Letter	11
2. Executive Summary	11
3. Professional Qualifications and Specialized Experience of Respondent and Team Members Committed to the Services	12
4. Professional Qualifications, Specialized Experience and Local Availability of Key Personnel who will be dedicated to the Services described in this RFP.	14
5. Implementation and Management Plan	15
6. Dedicated Resources	16
7. Response to Scope of Services	16
8. Response to Cost Proposal/Benchmark Exceptions	20
9. Cost Proposal / Schedule of Compensation	23
10. Minority and Women Business Enterprises Commitment	23
11. Financial Statements	24
12. Economic Disclosure Statement and Affidavit ("EDS") and Attachment A: Online EDS Acknowledgement.	24
13. Legal Actions	25
14. Insurance	25
VI. EVALUATING PROPOSALS	25
A. Evaluation Process	25
B. Evaluation Criteria	26
VII. SELECTION PROCESS	28
VIII. ADDITIONAL DETAILS OF THE RFP PROCESS	29
A. Addenda	29
B. City's Rights to Reject Proposals	30
C. No Liability for Costs	30

D.	Prohibition on Certain Contributions.- Mayoral Executive Order No. 2011-4	30
E.	False Statements	31
EXHIBIT 1 – SCOPE OF SERVICES		33
Section 1: Current Information Technology Infrastructure Servicesand IT Service Environment		36
Section 1.1:	Current IT Services Outsourcing Contract	36
Section 1.2:	Data Center Services	36
Section 1.3:	End User Computing Services.....	37
Section 1.4:	Data Network Services	37
Section 1.5:	Helpdesk Services	38
Section 1.6:	Cross-functional Services	38
Section 1.7:	Projects Services	39
Section 2: Approach to Meeting Goals & Objectives		40
Section 2.1:	Overall Understanding of the Project.....	40
Section 2.2:	Service Delivery	40
Section 2.3:	Service Levels	41
Section 2.4:	Documentation	41
Section 2.5:	Training & Knowledge Management.....	41
Section 2.6:	Continuous Improvement	42
Section 2.7:	Innovation & Value Differentiation	42
Section 3: Response to Scope of Services		42
Section 4: Detailed Scope of Services		43
Section 4.1	General Services.....	42
Section 4.2	Transition Plans.....	46
Section 4.3	Exit Transition Plans.....	50
Section 4.4	Data Center Services	53
Section 4.5	End User Computing Services.....	73
Section 4.6	Data Network Services.....	87
Section 4.7	Help Desk Services	102
Section 4.8	Cross-functional Services	119
Section 4.9	Projects.....	165
Section 4.10	Relationship Management Services.....	173
EXHIBIT 2 COMPENSATION		189
Section 5.0: COST PROPOSAL / COMPENSATION SCHEDULE		189
Section 5.1	Financial Requirements	190
Section 5.2	Baseline Work Volumes	190
Section 5.3	Compensation Model	191
Section 5.4	Fees	193
Section 5.5	Tiered Compensation	195
Section 5.6	Service Credits and Earn Back.....	196
Section 5.7	Benchmarking.....	197
EXHIBIT 3 COMPANY PROFILE INFORMATION		200
EXHIBIT 4 COMPANY REFERENCES/CLIENT PROFILE INFORMATION		201
EXHIBIT 5 ECONOMIC DISCLOSURE STATEMENT AFFIDAVIT AND ATTACHMENT A.....		202
ATTACHMENT A – ONLINE EDS ACKNOWLEDGEMENT.....		209
EXHIBIT 6 MBE/WBE SPECIAL CONDITIONS		210
ATTACHMENT B - SAMPLE FORMAT FOR REQUESTING ASSIST AGENCY COMMENTS ON BIDDER’S REQUEST FOR REDUCTION OR WAIVER OF MBE/WBE GOALS		219
Schedule B	Affidavit of Joint Venture (MBE/WBE)	220

ATTACHMENT C – ASSIST AGENCIES	225
EXHIBIT 7 CONTRACT INSURANCE REQUIREMENTS	234
EXHIBIT 8 CONTRACTUAL REQUIREMENTS RELATING TO HIPAA	238
EXHIBIT 9 DATA POLICY WITH CONTRACTOR	239
EXHIBIT 10 LOCAL AND OTHER PREFERENCES	243
EXHIBIT 11 SAMPLE PROFESSIONAL SERVICES AGREEMENT	253
EXHIBIT 12 NON DISCLOSURE AGREEMENT (NDA).....	253
ATTACHMENT D – CITY OF CHICAGO (COC) AND AGENCIES HARDWARE LIST.....	254
ATTACHMENT E -CITY OF CHICAGO SYSTEMS.....	258
ATTACHMENT F - DESKTOP IMAGES	261
ATTACHMENT G - MICROSOFT SQL SERVER LIST	262
ATTACHMENT H - DATA CENTER MIDDLEWARE LIST	263
ATTACHMENT I - LOCATION LIST	264
ATTACHMENT J- DATA CENTER AGREEMENTS AND LICENSES	272
ATTACHMENT K - DATA CENTER WORK IN PROGRESS	273
ATTACHMENT L - CITY OF CHICAGO INFORMATION SECURITY AND TECHNOLOGY POLICIES.....	274
ATTACHMENT M - DATA NETWORK AGREEMENTS AND LICENSES	276
ATTACHMENT N - DATA NETWORK WORK IN PROGRESS.....	277
ATTACHMENT O - CITY AND AGENCIES HELP DESK VOLUME.....	278
ATTACHMENT P - DEFINITIONS	279
ATTACHMENT Q - ACRONYMS	291
ATTACHMENT R - SPARE PARTS BUDGET	293
ATTACHMENT S - OUT OF WARRANTY EQUIPMENT	294
ATTACHMENT T - REQUIRED STAFFING	295
ATTACHMENT U - AGENCIES IN SCOPE	298
ATTACHMENT V - AUDIO AND VIDEO SUPPORT	299
APPENDIX 5.1 - SLR WEIGHTINGS (REFER TO SPREADSHEET)	
APPENDIX 5.2 - COMPENSATION SCHEDULE-BASELINEDATA (REFER TO SPREADSHEET)	

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for
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Responses Restricted to City of Chicago or Cook County Minority Business Enterprises (MBE)
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Specification No. 416117

I. GENERAL INVITATION

A. Purpose of the Request for Proposal

The City of Chicago ("City"), acting through its Department of Innovation and Technology ("DoIT"), invites the submission of proposals to obtain services from a firm with expertise and experience in providing Information Technology Infrastructure Services ("IT Services") for the following:

- Data Center Services
- End User Computing Services (includes End-user hardware / software deployment, maintenance and management)
- Data Network Services (including on-going infrastructure upgrades and deployment);
- Help Desk Services
- Cross-Functional Services
- Projects

Companies with demonstrated experience in delivering high-quality IT Services while maintaining high levels of customer satisfaction at market-based Compensation levels in these areas, and with an interest in making these IT Services available to the City, are invited to respond to this RFP.

The purpose is to find a qualified company to provide services identified in this RFP and to improve overall efficiency and effectiveness.

The work contemplated is professional in nature. It is understood that the Contractor acting as an individual, partnership, corporation or other legal entity, is of professional status, licensed to perform in the State of Illinois and licensed for all applicable professional discipline(s) requiring licensing and will be governed by the professional ethics in its relationship to the City. It is also understood that all reports, information, or data prepared or assembled by the Contractor under a contract awarded pursuant to this RFP are confidential in nature and will not be made available to any individual or organization, except the City, without the prior written approval from the City. Any contract resulting from this document will require the Contractor to execute a statement of confidentiality.

The Contractor shall be financially solvent and each of its members, if a joint venture, its employees, agents or subcontractors of any tier shall be competent to perform the services required under this RFP document.

B. Background

Current IT Services Contract

The City currently receives a number of IT Services from Unisys Corporation; Program Management Office, Service Desk, Deskside Support, Local Area Network (LAN) Administration, Wide Area Network (WAN) Administration, UNIX Administration, Remote Network Administration, and Project Services. This contract currently covers all of these services for the City of Chicago and a subset of these services for the Chicago Police Department, Office of Emergency Management and Communication, and the Department of Aviation. The City desires to enter into IT Services contract with one Prime Contractor for the Scope of Services in Exhibit 1.

Data Center Services

Activities associated with the deployment and day-to-day management of existing and future Data Center storage and data environment, providing a stable supporting infrastructure, and effectively and efficiently performing procedures for services including:

Server and Storage Deployment

- Planning and deploying server and storage equipment per City specifications.
- Maintaining disaster recovery capabilities for compute and storage services.
- Maintaining high speed, high bandwidth, low latency communications path to the Internet and providing or allowing for communications path to the City network.
- Support hybrid on premise-cloud environment

Server and Storage Support

- Managing and maintaining server and storage platform operating systems, drivers and firmware.
- Ensuring all critical patches are applied to systems within one week of release. All non-critical patches must be applied within two weeks of release.
- Managing file servers and associated folders and shares including creation and permissions management.
- Maintaining server and storage management and reporting systems.
- Deploying hardware and software asset tracking and utilization services.
- Managing equipment removal services including the removal of stored data.
- Managing and maintaining file and print servers.
- Managing and maintaining Windows Active Directory domain environments.
- Managing and maintaining Citrix environments.

- Managing and providing maintenance support for all platforms.
- Providing troubleshooting and remediation services for the all platforms.
- Managing and maintaining backup, recovery and archive systems and facilitate recovery requests.
- Managing and maintaining user identity and access management systems and user databases such as LDAP and Active Directory.

End User Computing Services

Services and activities to provide and support the City's desktop and laptop/notebook computing hardware devices and associated system software, and tablets devices. Services include:

End User Hardware Deployment Services

- Deploying end user systems per City specifications including loading the requested platform and department City image, if required.
- Managing equipment removal services including following proper disposition policies and processes, the destruction of stored data resulting in certificates that are tracked and managed, and recycling of equipment.

End User Hardware Management and Maintenance

- Maintaining end user equipment and reporting systems including software deployment systems.
- Ensuring all critical patches are applied to systems within two weeks of release. All non-critical patches must be applied within one month of release.
- Testing to ensure application integration with standard and specialized City OS images.
- Deploying hardware and software asset tracking and utilization services.
- Planning and executing relocation of end user equipment for employee moves.
- Providing troubleshooting and remediation services for the PC environment.

Data Network Services

The life cycle management (e.g., requirements, engineering, design, implementation, testing), service deployment, security, administration and troubleshooting and proactive service management (e.g., Availability and Capacity Management, Performance, Incident and Problem Management) of the City's network environment, including:

- Deploying data communications equipment per City specifications.
- Managing and maintaining data communications equipment operating systems and firmware.
- Maintaining data communication equipment management and reporting systems.
- Providing hardware and software asset tracking and utilization services.

- Managing private and leased voice and data communication circuits including vendor management and problem identification, remediation and escalation.
- Providing equipment removal services including the removal of stored data.
- Providing remote and local penetration testing and reporting.
- Providing ethical hack services.

Helpdesk Services

A 24-hours a day, 7 days a week, 365 days a year single point of contact (SPOC) service desk for all end-users to report incidents, resolve problems and request status on existing service requests. This is a vital day-to-day contact point between the City, Users, DoIT services and third-party support organizations. Another function of the Help Desk is to facilitate the restoration of normal operational service with minimal business impact on the Customer within agreed service levels and business priorities. Includes:

Level 1 Helpdesk includes:

- Leverage and support the City's ticketing system, including integration with other vendors' tracking and alerting systems.
- Caller ID system to pre-populate caller information in ticketing system and display existing tickets.
- Web portal and IVR system allowing users to open tickets, check ticket status and request escalation.
- An automated survey mechanism for each closed ticket.
- A scripting system with standard troubleshooting tools. The system should be available to end users via a website.
- A capability to extend first level helpdesk beyond internal IT services.

Level 2 Helpdesk includes:

- Support for City applications and services based on scripts and information provided by the City.
- Resolving software or OS issues via remote access for both fixed and mobile user systems.
- Referring issues that cannot be resolved via the available scripts, help files, blogs and histories to the application, service, hardware or other appropriate support level.

Cross-Functional Services

IT Service Management and Lifecycle Services are considered within the scope of each Service Area and consists of the following categories of services:

- IT Life Cycle
- Service Delivery
- Service Support

- IT Systems Reporting
- Enterprise architecture services

These “cross-functional” Services will ensure that the Respondent supports all of the City’s IT environments and Service Areas with a common and consistent set of life cycle Services and processes based on the Information Technology Infrastructure Library (ITIL)/IT Service Management (ITSM).

Projects Services

From time to time, the Contractor may be requested to execute projects related to major changes to the City’s IT infrastructure. As such, the Contractor will provide project management services to ensure the successful implementation of such projects. Projects will be defined in terms of the six domains of change:

- Technology
- Applications
- Data
- Process
- Organization
- Location

C. Internet Access to this RFP

All materials related to the RFP will be available on the internet at:
www.cityofchicago.org/bids.

This is a technology RFP and the City expects Respondents to have full access to technology. The City also intends to cut its costs while adhering to environmentally conscious practices; therefore, the City will not provide hardcopies of this RFP, Clarifications and/or Addenda.

All Respondents are responsible for obtaining all RFP materials. If Respondent chooses to download and print an RFP document, the Respondent must contact the City of Chicago, Department of Procurement Services, Bid & Bond Room by emailing BidandBond@cityofchicago.org to register Respondent’s company as an RFP document holder, which will enable the Respondent to receive any future clarifications and/or addendum related to this RFP.

A Respondent who chooses to download an RFP solicitation will be responsible for checking the aforementioned web site for clarifications and/or addenda, if any. Failure to obtain clarifications and/or addenda from the web site shall not relieve Respondent from being bound by any additional terms and conditions in the clarifications and/or addenda, or from considering additional information contained therein in preparing your Proposal. Note, there may be multiple clarifications and/or addenda. Any harm to the Respondent resulting from such failure shall not be valid grounds for a protest against award(s) made under the solicitation.

The City accepts no responsibility for the timely delivery of materials or for alerting Respondents on posting to the DPS website information related to this RFP.

II. DEFINITIONS

The following defined terms have the meanings specified below.

NOTE: If a defined term is used only once, then it may be defined within the context in which it appears in that paragraph or section.

“Agreement” means the City of Chicago’s Professional Services Agreement, including all exhibits attached to it and incorporated in it by reference, and all amendments, modifications, or revisions made in accordance with its terms, as attached in this RFP in Exhibit 11.

“Chief Procurement Officer” or **“CPO”** means the Chief Procurement Officer of the City of Chicago and any representative duly authorized in writing to act on her behalf.

“Commissioner” or **“CIO”** means the Chief Information Officer of the City of Chicago Department of Innovation and Technology, and any representative authorized in writing to act on the City Commissioner’s behalf.

“Contractor” means the Respondent awarded a contract pursuant to this RFP process.

“Department” or **“DoIT”** means the City of Chicago Department of Innovation and Technology and other participating City departments.

“EC” means the Evaluation Committee appointed to review and assess all Proposals and make its recommendations to the Commissioner concerning its evaluations.

“Proposal” is the written content and documents submitted by a Respondent in response to this RFP.

“Respondent” means the primary entity which submits a Proposal in response to this RFP and may include subcontractors and other affiliates.

“Selected Respondent” means the awardee of the contract.

“Services” means performance of all tasks, activities and deliverables as described in detail in Exhibit 1, Scope of Services and performed by qualified and licensed personnel of the selected Contractor from this RFP.

III. SCOPE OF SERVICES

A. Description of Services

The services that the City seeks to acquire are described in detail in the Scope of Services, Exhibit 1.

B. Contract Term

Any contract awarded pursuant to this RFP solicitation shall be for a base contract period of five (5) years plus options of up to two (2) 1-year extensions at the City's unilateral option.

IV. GENERAL INFORMATION AND GUIDELINES

A. Communications Between the City of Chicago and Respondents

1. Submission of Questions or Requests for Clarifications

Respondents must communicate only with the Department of Procurement Services.

All questions or requests for clarification must be in writing, sent by e-mail, and directed to the attention of Joseph Chan, joseph.chan@cityofchicago.org, Department of Procurement Services, Room 806, City Hall and must be received no later than 4:00 p.m. Central Time, on February 26, 2018. Respondents are encouraged, but not required, to submit questions prior to the scheduled Pre-Proposal Conference.

All questions and requests for clarification must be submitted via e-mail." The subject line of the email must clearly indicate that the contents are "Questions and Request for Clarification" about the RFP and are "Not a Proposal" and must refer to "Request for Proposal ("RFP") for Information Technology Infrastructure Services, Specification No. 416117." No telephone calls will be accepted unless the questions are general in nature.

2. Pre-Proposal Conference

The City will hold a Pre-Proposal Conference at City Hall, 11th Floor, Room #1103, 121 North LaSalle Street Chicago, Illinois 60602 at 11:00 am Central Time on February 22, 2018. All parties interested in responding to this RFP are urged to attend in person. The City requests that all parties planning on attending the Pre-Proposal Conference notify Joseph Chan prior to the Pre-Proposal Conference. The e-mail communication shall include the names, titles, e-mail address and phone number of each attendee and indicate whether the attendee is participating in person.

The City will answer questions and clarify the terms of the RFP at the Pre-Proposal Conference. The City may respond both to questions posed on the day of the conference and to questions e-mailed prior to conference. Anything stated at this Pre-Proposal Conference is not intended to change the solicitation document. Any changes will be in writing in the form of an addendum issued by the Department of Procurement Services.

B. Deadline and Procedures for Submitting Proposals

1. To be assured of consideration, Proposals must be received by the City of Chicago in the City's Bid & Bond Room (Room 103, City Hall) no later than 4:00 P.M. Central Time on March 30, 2018. The Bid & Bond Room can be reached at telephone number 312-744-9773.

2. The City may but is not required to accept Proposals that are not received by the date and time set forth in Section IV.B.1 above. Only the Chief Procurement Officer is empowered to determine whether to accept or return late Proposals.

Failure by a messenger delivery service or printing service to meet the deadline will not excuse the Respondent from the deadline requirement. Hand-carried Proposals must be placed in the depository located in the Bid & Bond Room located in Room 103, City Hall. The time of the receipt of all Proposals to this RFP will be determined solely by the clock located in the Bid & Bond Room of City Hall. It is Respondent's sole responsibility to ensure that the Proposal is received as required.

3. Proposals must be delivered to the following address:

Jamie L. Rhee, Chief Procurement Officer
City of Chicago
Department of Procurement Services
Bid & Bond Room
Room 103, City Hall
121 North LaSalle Street
Chicago, Illinois 60602

4. Respondent must submit 1 hardcopy original, and 8 individual electronic copies of the original in one searchable pdf format, and a separate redacted copy of the entire Proposal or submission in one .pdf format file with Compensation/Cost Proposal completed in Excel, all on a USB drive or CD-ROM. The original hardcopy must be clearly marked as "ORIGINAL" and must bear the original signature of an authorized officer on all documents requiring a signature. Copies must be exact duplicates of the ORIGINAL. Respondent must enclose all documents in sealed envelopes or boxes.
5. The outside of each sealed envelope or box must be labeled as follows:

Proposal Enclosed
Request for Proposal (RFP) for Information Technology Infrastructure
Services
Specification No. 416117
Due: March 30, 2018 4:00 p.m. Central Time,
Submitted by: (Name of Respondent)
Package ____ of ____

6. The City's opening of Respondent's sealed envelope(s) or package(s) containing a Proposal shall neither be deemed nor constitute acceptance by the City of Respondent's Proposal. The City reserves the right to open and inspect all such sealed envelope(s) or package(s), regardless if the same were submitted by the due date and time specified herein, for any purpose, including without limitation, determining the particular RFP to

which Respondent has responded, or determining if a Proposal was submitted by the date and time specified herein.

C. RFP Information Resources

Respondents are solely responsible for acquiring the necessary information or materials. Information for preparing a response to this RFP can be located in the following areas of the City's website: www.cityofchicago.org/Procurement:

- Search MBE/WBE Directory Database
- Pre-Bid/Proposal Conference Attendees
- Addenda and Exhibits, if any.

The City will provide Respondents with additional detail regarding network topology, software, hardware, and Data Center technologies during the Discovery Phase of the solicitation. During the "Discovery Phase," which commences when the Respondent(s) request and signs the Non-Disclosure Agreement (NDA) in Exhibit 12 with the City, the Respondent(s) will be provided with such additional information. Exhibit 1 Scope of Services identifies the additional information that will be made available to Respondents during the Discovery Phase.

D. Procurement Timetable

The timetable for the RFP solicitation is summarized below. Note that these are target dates and are subject to change by the City.

Key Activity	Target Date
City Issues RFP	February 2, 2018
Non-Mandatory Pre-Proposal Conference	February 22, 2018
Proposal Questions Due	February 26, 2018
Proposals Due	March 30, 2018

E. Transparency Website: Trade Secrets

Consistent with the City's practice of making available all information submitted in response to a public procurement, all proposals, any information and documentation contained therein, any additional information or documentation submitted to the City as part of this solicitation, and any information or documentation presented to City as part of negotiation of a contract or other agreement may be made publicly available through the City's Internet website.

However, Respondents may designate those portions of the Proposal, which contain trade secrets or other proprietary data ("Data") which Respondents desires remain confidential.

To designate portions of the Proposal as confidential, Respondent must:

1. Mark the cover page as follows: "This Proposal includes trade secrets or other proprietary data."
2. Mark each sheet or Data to be restricted with the following legend: "Confidential: Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this RFP."
3. **Provide a CD-ROM with a redacted copy of the entire Proposal or Submission as one .pdf format file for posting on the City's website. Respondent is responsible for properly and adequately redacting any Data, which Respondent desires remain confidential. If entire pages or sections are removed, they must be represented by a page indicating that the page or section has been redacted. Failure to provide a CD-ROM with a redacted copy may result in the posting of an un-redacted copy.**

Indiscriminate labeling of material as "Confidential" may be grounds for deeming a Proposal as non-responsive.

All Proposals submitted to the City are subject to the Freedom of Information Act. The City will make the final determination as to whether information, even if marked "confidential," will be disclosed pursuant to a request under the Freedom of Information Act or valid subpoena. Respondent agrees not to pursue any cause of action against the City with regard to disclosure of information.

V. PREPARING PROPOSALS: REQUIRED INFORMATION

Each Proposal must contain all of the following documents and must conform to the following requirements.

A. Format of Proposals

Proposal hardcopy original must be prepared on 8 ½" X 11" letter size paper (preferably recycled), printed double-sided, and bound on the long side. The City encourages using reusable, recycled, recyclable and chlorine free printed materials for bids, proposal, reports and other documents prepared in connection with this solicitation. Expensive papers and bindings are discouraged, as no materials will be returned.

Sections should be separated by labeled tabs and organized in accordance with subject matter sequence as set forth in Section V.B. Each page of the Proposal must be numbered in a manner so as to be uniquely identified.

Electronic versions of the original proposal shall be word-searchable and mirror images of the original hardcopy.

B. Required Contents of Proposal

Proposal content must be clear, concise and well organized. Respondent is strongly discouraged from including marketing or promotional materials not related specifically to the focus of this RFP. Respondents are advised to adhere to the submittal requirements of the RFP. Failure to comply with the instructions of this RFP may be cause for rejection of the non-compliant Proposal. Respondent must provide information in the appropriate areas throughout the RFP. By submitting a response to this RFP, you are acknowledging that if your Proposal is accepted by the City, your Proposal and related submittals may become part of the contract. While the City recognizes that Respondents provide costs in varying formats, compliance with the enclosed Compensation Schedule in Exhibit 2 is required to facilitate equitable comparisons.

At a minimum, the Proposal must include the following items:

1. Cover Letter

Respondent must submit a cover letter signed by an authorized representative of the entity committing Respondent to provide the Services as described in this RFP in accordance with the terms and conditions of any contract awarded pursuant to the RFP process. The cover letter must:

- a) Indicate the number of years the company/organization has been in business and provide an overview of the experience and background of the company/organization and its key personnel committed to this project.
- b) Identify the legal name of the company/organization, its headquarters address, its principal place of business, its legal form (i.e., corporation, joint venture, limited liability company or partnership, etc.), and the names of its principals or partners and authority to do business in Illinois with the most recent documents filed with and obtained from the Secretary of State.
- c) Indicate the name, telephone number(s) and e-mail address of the principal contact for this proposal, oral presentation or negotiations.
- d) Summary of Respondent's commitment to comply with the MBE/WBE requirements as stated in the Target Market Special Conditions Regarding Minority Business Enterprise (MBE) and Women Business Enterprise (WBE) Commitment as stipulated in Exhibit 6 of this RFP.
- e) Include statement of any objections or comments, to the City of Chicago's standard contract terms and conditions as stipulated in the Sample Professional Services Agreement in Exhibit 11 of this RFP.
- f) Include statement of any objections or comments, to the Contractual Requirements Related to HIPAA in Exhibit 8 and the Data Policy / Data with Contractor in Exhibit 9 of this RFP.
- g) Acknowledge receipt of Addendum issued by the City, if any.

2. Executive Summary

Respondent must provide an executive summary which explains its understanding of the City's intent and objectives and how their Proposal would achieve those objectives. The summary must discuss Respondent's strategy and methodology for successfully

implementing and managing the Services for the City of Chicago; capacity to perform, and approach to project management, satisfying the scope of services in the RFP and any additional factors for the City's consideration.

The summary should outline the Respondent's overall plan from the initial contract award (or pre-award meetings) phase, to post-initial and on-going operations of contract; general approach to project management and expected deliverables and reports,

3. Professional Qualifications and Specialized Experience of Respondent and Team Members Committed to the Services

If Respondent proposes that major portions of the work will be performed or provided by different team members (e.g., joint venture partners, suppliers, subcontractors, etc.), Respondent must provide the required information as described below for each such team member.

a) Company Profile Information (See Form in Exhibit 3)

Identify participants in Respondent's "Team." For example, if Respondent is a business entity that is comprised of more than one legal participant (e.g., Respondent is a general partnership, joint venture, etc.), then Respondent must identify or cause to be identified all participants involved, their respective ownership percentages, and summarize the role, degree of involvement, and experience of each participant separately.

If Respondent has a prime contractor/subcontractor relationship instead, this information regarding role, involvement and experience is also required for any subcontractor that is proposed to provide a significant portion of the work.

Provide a chronological history of all mergers and/or acquisitions involving the Respondent team members, including all present and former subsidiaries or divisions and any material restructuring activities, if applicable. Include any such forthcoming actions, if such disclosure has already been made generally available to the public and is permitted by law.

If Respondent is a joint venture, attach a copy of the joint venture agreement signed by an authorized officer of each joint venture partner. Each partner must execute:

- (i) Schedule B as shown in Exhibit 6, if joint venture includes City of Chicago or Cook County certified MBE/WBE firms(s), as applicable.
- (ii) Separate Economic Disclosure Statement and Affidavit ("EDS") completed by each partner and one in the name of the joint venture as shown in Exhibit 5.
- (iii) Insurance certificate in the name of the joint venture business entity as shown in Exhibit 7.

b) Company References/Client Profile Information (See Form in Exhibit 4)

Respondent must provide at least three (3) references preferably from a municipality or government agency related to a contract of similar scope and magnitude as

described in this RFP. Experience will not be considered unless complete reference data is provided. At a minimum, the following information should be included for each client reference:

- Client name, address, contact person name, telephone and email address.
- Description of Services provided similar to the Services outlined in Exhibit 1 of this RFP.
- The date when the Service was implemented.
- The location of the project.
- Nature and extent of Respondent's involvement as the prime Contractor (also indicate area of secondary responsibility, if applicable) Identify Services, if any, subcontracted, and to what other company.
- Contract term (Start and End date, or indicate if currently providing services)
- The total dollar value of the Contract.

Describe the general scope provided by the Respondent in terms of the IT Services delivered to any referenced municipalities or clients.

Explain any differences, if any, from the requirements set forth in this RFP, or proposed in response to this RFP, compared to the deliverables provided to any referenced cities or clients.

All client reference information must be supported and verified. Reference contacts must be aware that they are being used and agreeable to City interview for follow-up.

The City may solicit from previous clients, including the City of Chicago, or any available sources, relevant information concerning Respondent's record of past performance.

c) Capacity to Perform City Services

Describe how any uncompleted projects and/or contractual commitments to other clients will affect your ability to deliver services, capacity to perform within City's timeline and affect dedicated resources committed to the City's Project. Respondent must provide a summary of current and future projects and commitments and include projected completion dates. Identify what percentage of the IT Services will be performed utilizing your own workforce, equipment and facilities. What percentage of the work will be subcontracted?

d) Business License/Authority to do Business in Illinois

Respondent must provide copies of appropriate licenses or certifications required of any individual or entity performing the Services described in this RFP in the City of Chicago, County of Cook and State of Illinois, for itself, its partners and its subcontractors, including evidence that Respondent is authorized by the Secretary of State to do business in the State of Illinois.

If Respondent is not currently “doing business” in Illinois at the time of submission, it is not required to show corporate good standing in Illinois with the proposal; Respondent should so indicate and provide evidence of good standing for its state of organization, and primary state of operation, if different. Corporate good standing in Illinois will be required for award of any contract. Provide copies with the Proposal submission.

These requirements will vary depending upon the circumstances of each Respondent. See the Department of Business Affairs and Consumer Protection (BACP) website for additional information: www.cityofchicago.org/businessaffairs.

If required by law, Respondents are required to have an Illinois Business License. See the State of Illinois, Department of Business Services website for additional information: (<http://www.cyberdriveillinois.com/>).

Additionally, visit the State of Illinois’ Division of Professional Regulation for information regarding the State of Illinois’ Professional Certifications: <http://www.idfpr.com/DPR/>.

4. Professional Qualifications, Specialized Experience and Local Availability of Key Personnel who will be dedicated to the Services described in this RFP.

Respondent must provide a summary of individuals who will be dedicated to the Services described in this RFP. For each key person identified, Respondent must provide the following information:

- a) Summary of the key personnel who will be dedicated to the Services as proposed and consistent with Staffing Plan per Section V.B.6 b.
- b) Key personnel areas of expertise and areas for prime responsibility for various tasks or aspects of the IT Services.
- c) Resumes or corporate personnel profiles with past experience for each of the key personnel, including a description of their roles and responsibilities on recent projects of similar type, scope, and magnitude relating to the Scope of Services as described in this RFP. Respondent must provide the following information:
 - Title and reporting responsibility.
 - Proposed role in this Services, including the functions and tasks for which they will have prime responsibility (also indicate areas of secondary responsibility, if appropriate)
 - Pertinent areas of expertise and past experience
 - Base location (local facility, as applicable)
 - Resumes or corporate personnel profiles which describe their overall experience and expertise.

For each proposed key personnel, describe previous related experience and provide references including: name, address, and telephone number of contact person, and brief description of work history. The City reserves the right to conduct background checks on any personnel within the scope of this engagement.

In addition to resumes, Respondent must provide a detailed description of the roles and responsibilities by job titles (service staff, supervisors, executive managers, etc.). Add any other types of staff/personnel whom the Respondent is proposing.

5. Implementation and Management Plan

Respondent must provide a comprehensive and detailed IT Services implementation and management plan, which addresses requirements as outlined in Exhibit 1, Scope of Services, and provide the narrative description requested in Section 2 of Exhibit 1, of this RFP. The plan must demonstrate Respondent's capacity to successfully implement and manage the Services and ability to comply with the scope of service and requirements as described in this RFP. The management plan must address, but not be limited to, the following areas:

a) Approach to Implementing Services

Describe your methodology, policies and procedures for transitioning and managing Data Center Services; End User Computing Services (includes end-user hardware / software deployment, maintenance and management); Data Network Services (including on-going infrastructure upgrades and deployment); Help Desk Services; Cross-functional Services and Projects.

Describe your reporting/recommendation services, including your approach to training/knowledge transfer services and overcoming obstacles, if any, and troubleshooting to resolve problems.

b) Service Delivery

The Proposal must provide a detailed and comprehensive response to all aspects of services delivery proposed related to Deliverables for IT Services outlined in Exhibit 1, Scope of Services.

c) Organization Chart

Submit an organization chart that clearly illustrates the team structure comprising all firms (joint venture partners, if any, subcontractors); their relationship in terms of proposed Services; and key personnel involved and the following information:

- Respondent should provide an organization chart that identifies not only the proposed organizational structure, but also key personnel by name and title. Staffing levels of each organizational unit should be estimated. The specific role of each of the firms/organizations in a team or joint venture for each task/work activity must be described.
- Respondent must describe the specific role of each of the firms in a team or joint venture for each task/work activity.
- Respondent should provide an organization chart identifying and showing the relationships between the Respondent and subcontractors. The generic titles and responsibilities of key personnel to be assigned to this Project by the Respondent and by any subcontractor must be identified.

6. Dedicated Resources

a) Facilities, Equipment, and Personnel

Describe facilities, equipment, support personnel, communication technologies, and other resources available for implementing the proposed Services.

Respondents are encouraged to locate call centers in Chicago, but in no event may the call center be located outside the continental United States. Respondents must include in their proposals a detailed description of their proposed call centers.

Given the nature of the Services, certain components will require a local presence for the Contractor's operations.

b) Staffing Plan

Provide an assessment of staffing needs for each major activity area by job title and function correlated with Exhibit 1, Scope of Services. Respondent should identify each primary team member (e.g., Executive Sponsor, Engagement Manager, etc.) working on staff with Respondent, as well as those working in a subcontracting capacity. Provide an assessment of staffing needs for each major activity area by job title and function. The assessment should include full-time equivalents for professional staff and supervisors committed to the City of Chicago project including team structure, numbers and team management plans to achieve requirements for transition, implementation and services.

Submit resumes for key personnel that will be committed to this engagement. Correlate team members to the tasks they will be performing during implementation/transition and on-going operations. For each proposed key personnel, describe previous related experience and provide references including: name, address, and telephone number of contact person, and brief description of work history. The City reserves the right to conduct background checks on any personnel within the scope of this engagement.

Respondents are encouraged to hire a workforce that is comprised of City residents and that is reflective of the City's diversity. Respondents are encouraged to engage individuals that have graduated from the Chicago Public Schools or have participated in information technology training programs administered by the City Colleges of Chicago, or have participated in other, local information technology training programs.

7. Response to Scope of Services

In this section, Respondent is expected to describe, in detail, how they will meet each of the service requirements described in Scope of Services. This section includes the Section Narrative. In the Section Narrative, the Respondent is expected to provide a concise narrative response that explains exactly how the Respondent plans to meet the requirements listed in the section. Where applicable, Respondent is encouraged to provide examples of how and where similar requirements are being met (or have been met previously) on other

projects. Respondent should use illustrations, diagrams, and/or attached sample materials in an appendix to provide additional clarity. Each section and subsection in Section 4 includes as to what the narrative response should include and/or address. The Respondent should use this narrative response as an opportunity to convey their understanding of the requirement and how their solutions has been designed to best meet it.

It is not sufficient to simply restate the requirements and that Responder understands and will comply.

Response to General Service Requirements

In this section, Respondent must provide a narrative response that addresses each of the requirements described in this RFP Section 4.1 General Service Requirements. Exceptions to the requirements outlined in this section should be described in the narrative response and included in the exception Table below.

Table V.B.1 General Service Requirement Exception

General Service Requirement Exceptions			
Item #	Reference #	Issue/Exception	Respondent Proposed Solution/Rationale and Benefits
1.			
2.			
3.			
End of Table			

Response to Transition Plan Requirements

In this section, Respondent must provide a narrative response that addresses each of the requirements described in this RFP Section 4.2 Transition Plan Requirements (Current Operations to Respondent). Exceptions to the requirements outlined in this section should be described in the narrative response and included in the exception Table below.

Table V.B.2 Transition Plan Requirement Exceptions

Transition Plan Requirement Exceptions			
Item #	Reference #	Issue/Exception	Respondent Proposed Solution/Rationale and Benefits
1.			
2.			
3.			
End of Table			

Response to Exit Transition Plan Requirements

In this section, Respondent must provide a narrative response that addresses each of the requirements described in this RFP Section 4.3 Exit Transition Plan Requirements. Exceptions to the requirements outlined in this section should be described in the narrative response and included in the exception Table below.

Table V.B.3 Exit Transition Plan Requirement Exceptions

Exit Transition Plan Requirement Exceptions			
Item #	Reference #	Issue/Exception	Respondent Proposed Solution/Rationale and Benefits
1.			
2.			
3.			
End of Table			

Data Center Services Requirements

In this section, Respondent must provide a narrative response that addresses each of the requirements described in this RFP Section 4.4 Data Center Services. Include Transformation Exceptions to the requirements outlines in this section should be described in the narrative response and included in the exception Table below.

Table V.B.4 Data Center Services Requirement Exception

Data Center Services Requirement Exceptions			
Item #	Reference #	Issue/Exception	Respondent Proposed Solution/Rationale and Benefits
1.			
2.			
3.			
End of Table			

End User Computing Requirements

In this section, Respondent must provide a narrative response that addresses each of the requirements described in this RFP Section 4.5 End User Computing. Exceptions to the requirements outlined in this section should be described in the narrative response and included in the exception Table below.

Table V.B.5 End-User Support Services Requirement Exception

End-User Support Services Requirement Exceptions			
Item #	Reference #	Issue/Exception	Respondent Proposed Solution/Rationale and Benefits
1.			
2.			
3.			
End of Table			

Data Network Services

In this section, Respondent must provide a narrative response that addresses each of the requirements described in this RFP Section 4.6 Data Network Services. Exceptions to the requirements outlined in this section should be described in the narrative response and included in the exception Table below.

Table V.B.6 Data Network Services Requirement Exception

Data Network Services Requirement Exceptions			
Item #	Reference #	Issue/Exception	Respondent Proposed Solution/Rationale and Benefits
1.			
2.			
3.			
End of Table			

Help Desk Service Requirements

In this section, Respondent must provide a narrative response that addresses each of the requirements described in this RFP Section 4.7 Help Desk Services. Exceptions to the requirements outlined in this section should be described in the narrative response and included in the exception Table below.

Table V.B.7 Help Desk Services Requirement Exception

Help Desk Services Requirement Exceptions			
Item #	Reference #	Issue/Exception	Respondent Proposed Solution/Rationale and Benefits
1.			
2.			
3.			
End of Table			

Cross-functional Services

In this section, Respondent must provide a narrative response that addresses each of the requirements described in this RFP Section 4.8 Cross-functional Services. Exceptions to the requirements outlines in this section should be described in the narrative response and included in the exception Table below.

Table V.B.8 Cross-functional Services Requirement Exception

Cross-functional Services Requirement Exceptions			
Item #	Reference #	Issue/Exception	Respondent Proposed Solution/Rationale and Benefits
1.			
2.			
3.			
End of Table			

Projects Services Requirements

In this section, Respondent must provide a narrative response that addresses each of the requirements described in this RFP Section 4.9 Projects Services. Exceptions to the requirements outlines in this section should be described in the narrative response and included in the exception Table below.

Table V.B.9 Projects Services Requirement Exception

Projects Services Requirement Exceptions			
Item #	Reference #	Issue/Exception	Respondent Proposed Solution/Rationale and Benefits
1.			
2.			
3.			
End of Table			

8. Response to Cost Proposal/Benchmark Exceptions

Financial Requirements

In this section, Respondent must provide a narrative response that addresses each of the requirements described in this RFP Part 5.1 Financial Requirements. Exceptions to the requirements outlines in this section should be described in the narrative response and included in the exception Table below.

Table V.B.10 Financial Requirements Exception

Financial Requirement Exceptions			
Item #	Reference #	Issue/Exception	Respondent Proposed Solution/Rationale and Benefits
1.			
2.			
3.			
End of Table			

Baseline Work Volume

In this section, Respondent must provide a narrative response that addresses each of the requirements described in this RFP Part 5.2 Baseline Work Volumes. Exceptions to the requirements outlines in this section should be described in the narrative response and included in the exception Table below.

Table V.B.11 Baseline Work Volume Requirements Exception

Baseline Work Volume Requirement Exceptions			
Item #	Reference #	Issue/Exception	Respondent Proposed Solution/Rationale and Benefits
1.			
2.			
3.			
End of Table			

Compensation Model

In this section, Respondent must provide a narrative response that addresses each of the requirements described in this RFP Part 5.3 Compensation Model. Exceptions to the requirements outlines in this section should be described in the narrative response and included in the exception Table below.

Table V.B.12 Compensation Model Requirements Exception

Pricing Model Requirement Exceptions			
Item #	Reference #	Issue/Exception	Respondent Proposed Solution/Rationale and Benefits
1.			
2.			
3.			
End of Table			

Fees

In this section, Respondent must provide a narrative response that addresses each of the requirements described in this RFP Part 5.4 Fees. Exceptions to the requirements outlines in this section should be described in the narrative response and included in the exception Table below.

Table V.B.13 Fees Requirements Exception

Fees Requirement Exceptions			
Item #	Reference #	Issue/Exception	Respondent Proposed Solution/Rationale and Benefits
1.			
2.			
3.			
End of Table			

Service Credits and Earn Back

In this section, Respondent must provide a narrative response that addresses each of the requirements described in this RFP Part 5.5 Service Credits and Earn Back. Exceptions to the requirements outlines in this section should be described in the narrative response and included in the exception Table below.

Table V.B.14 Service Credits and Earn Back Requirements Exception

Service Credits and Earn Back Requirement Exceptions			
Item #	Reference #	Issue/Exception	Respondent Proposed Solution/Rationale and Benefits
1.			
2.			
3.			
End of Table			

Benchmarking

In this section, Respondent must provide a narrative response that addresses each of the requirements described in this RFP Part 5.6 Benchmarking. Exceptions to the requirements outlines in this section should be described in the narrative response and included in the exception Table below.

Table V.B.15 Benchmarking Requirements Exception

Benchmarking Requirement Exceptions			
Item #	Reference #	Issue/Exception	Respondent Proposed Solution/Rationale and Benefits
1.			
2.			
3.			

Benchmarking Requirement Exceptions			
Item #	Reference #	Issue/Exception	Respondent Proposed Solution/Rationale and Benefits
End of Table			

9. Cost Proposal / Schedule of Compensation

The Respondent must provide Compensation in the format and content as outlined in Exhibit 2 in order for the Respondent's Proposal to be considered responsive to this section. Proposals that fail to include cost proposal information in Exhibit 2 will be rejected as incomplete and deemed non-responsive.

All costs must, at a minimum, be provided as requested in Exhibit 2. For purposes of comparing costs among Respondents, Respondent must not deviate from the format outlined in Exhibit 2. The City reserves the right to negotiate a final price, terms, and conditions with Selected Respondent.

The City is requesting detailed information regarding the compensation for Information Technology Infrastructure Services. All costs should be detailed for each year of the contract. (5 year, plus two 1-year extension options, at the City's unilateral option). For each of the cost elements described in the Cost Proposal spreadsheet (one sheet for each of the 5+2 years),

If Respondent would like the City to apply, in evaluating Respondent's Compensation, the (1) Preference for Chicago-based businesses, (2) Incentive for Alternatively Powered Vehicles, (3) Incentive for Veteran-Owned Small Local Business Enterprises and Eligible Joint Ventures, or (4) BEPD Commitment, Respondent must submit the applicable affidavit(s) with its proposal. A description of these preferences and affidavits may be found in Exhibit 10, Local and Other Preferences: Adjustments to the Cost Proposal and Affidavits.

10. Minority and Women Business Enterprises Commitment

Respondent must submit a copy of its current City of Chicago or Cook County MBE/WBE certification letter. Respondent must provide evidence of being a City of Chicago or Cook County certified MBE or WBE firm in the appropriate specialty area and perform at least 50% of the awarded contract amount with their own workforces.

Under the Target Market Program, a City of Chicago or Cook County certified MBE and/or WBE in the particular area of specialty of Information Technology Infrastructure Services satisfies the compliance requirement through its own certification and will not be required to identify another MBE or WBE, as applicable.

Any Respondent who is NOT currently certified with the City of Chicago or Cook County in the area of specialty related to the Information Technology Infrastructure Services will not be eligible for contract award under the Target Market program.

If Respondent chooses to partner or subcontract with another entity, Respondent must complete and submit the forms that are attached to this RFP in Exhibit 6 to evidence

Respondent's proposed MBE/WBE participation in some aspect of the contract. For purposes of your response to this RFP, Respondent must provide a fully executed Schedule D-2 that indicates the individual MBE/WBE percentage goals established for this project and obtain a separate Schedule C-2 completed and signed for each proposed MBE/WBE subcontractor describing the services to be provided.

With each Schedule C-2 form, Respondent should submit a current Letter of Certification issued by the City of Chicago or Cook County. The proposed MBE or WBE firm must be certified by the City of Chicago or Cook County at the time of Proposal submission. The City reserves the right to require Respondents to replace any proposed MBE/WBE that is not certified with the City of Chicago or Cook County.

Further, the percentage participation for each MBE or WBE firm on the individual Schedule C-2s should match the percentages for each MBE or WBE firm listed on the Schedule D-2. All schedules submitted must be original signature.

11. Financial Statements

Respondent must provide a copy of its audited financial statements for the last 3 years. Respondents that are comprised of more than one entity must include financial statements for each entity. The City will accept a complete set of financial statements on CD-ROM or USB drive instead of multiple copies, if voluminous for the period requested, but will not accept a web link. Respondents are required to provide required financial statements in sufficient detail for the City to assess its financial condition as part of their proposal submission. The City reserves the right to accept or reject any financial documentation other than the financial statements requested by this section.

If Respondent is unable to provide audited financial statements, state the reasons in your Proposal response and provide financial documentation in sufficient detail to enable the City to assess the financial condition of your company.

Sufficient alternate documentation would be un-audited financial statements from those Respondents not required to have their financial statements audited. At a minimum, the statements need to be the balance sheets and income statements (or equivalent) for the requested three years. Assets/liabilities and income/ expenses must be presented in adequate detail for the City to assess the financial condition of the Respondent.

12. Economic Disclosure Statement and Affidavit ("EDS") and Attachment A: Online EDS Acknowledgement.

Respondent shall complete an Economic Disclosure Statement and Affidavit, Attachment A: Online EDS Acknowledgement. See Online City of Chicago EDS Instructions and Attachment A: Online EDS Acknowledgement, in Exhibit 5. If Respondent is a business entity other than a corporation, then each member, partner, etc., of Respondent must complete an EDS, as applicable, per the instructions on the EDS form. In addition, any entity that has an interest in Respondent or in one or more of its members, partners, etc., and is required pursuant to the Municipal Purchasing Act for Cities of 500,000 or More Population (65 ILCS 5/8-10-8.5) or Chapter 2-154 of the Municipal Code of Chicago to provide a disclosure must submit a completed and executed EDS as an "entity holding an interest in an Applicant" as

described in the EDS. All affidavits must be notarized. Upon completion of Online EDS, **Respondent shall submit a copy of 2 documents with their Proposal: 1) Certificate of Filing printed from system and 2) hardcopy of the executed Attachment A, Online EDS Acknowledgement form.**

The Respondent submitting as the prime must submit the above referenced EDS documents with its Proposal. Subcontractors may be asked, at the City's discretion, to provide an EDS during the evaluation process.

13. Legal Actions

Respondent must provide a listing and a brief description of all material legal actions, together with any fines and penalties, for the past 5 years in which (i) Respondent or any division, subsidiary or parent entity of Respondent, or (ii) any member, partner, etc., of Respondent if Respondent is a business entity other than a corporation, has been:

- a) A debtor in bankruptcy; or
- b) A plaintiff or defendant in a legal action for deficient performance under a contract or violation of a statute or related to service reliability; or
- c) A respondent in an administrative action for deficient performance on a project or in violation of a statute or related to service reliability; or
- d) A defendant in any criminal action; or
- e) A named insured of an insurance policy for which the insured has paid a claim related to deficient performance under a contract or in violation of a statute or related to service reliability; or
- f) A principal of a bond for which a surety has provided contract performance or compensation to an obligee of the bond due to deficient performance under a contract or in violation of a statute or related to service reliability; or
- g) A defendant or respondent in a governmental inquiry or action regarding accuracy of preparation of financial statements or disclosure documents.

The City reserves the right to request similar legal action information from Respondent's team members during the evaluation process.

14. Insurance

Respondent should include a statement that they can comply with the City's insurance requirements. Prior to contract award, the Selected Respondent will be required to submit evidence of insurance in the amounts specified in the attached Exhibit 7.

VI. EVALUATING PROPOSALS

A. Evaluation Process

An Evaluation Committee, which will include the representatives from the Department of Innovation and Technology, the Department of Procurement Services and may include representatives of other departments of the City ("Evaluation Committee" or "EC") will review and evaluate the Proposals, as described below.

In evaluating Proposals, the EC will first consider the completeness and responsiveness of the Respondent's Proposal. The Proposal evaluation process is organized into three phases:

- Phase I - Preliminary Proposal Assessment
- Phase II - Proposal Evaluation
- Phase III - Site Visits and/or Oral Presentations (if necessary)

Phase I - Preliminary Proposal Assessment

Phase I will involve an assessment of the Respondent's compliance with and adherence to all submittal requirements requested in Section V. B, Required Content of the Proposal. Proposals which are incomplete and missing key components necessary to fully evaluate the Proposal may, at the discretion of the EC, be rejected from further consideration due to "non-responsiveness" and rated Non-Responsive. Proposals providing responses to all sections will be eligible for detailed analysis in Phase II, Proposal Evaluation.

Phase II - Proposal Evaluation

In Phase II, the EC will evaluate the extent to which a Respondent's Proposal meets the requirements set forth in the RFP. Phase II will include a detailed analysis of the Respondent's qualifications, experience, proposed implementation and management plan, cost proposal, and other factors based on the evaluation criteria outlined in Section VI. B, Evaluation Criteria.

As part of the evaluation process, the EC will review the information required by Section V, for each Proposal received. The EC may also review other information gained by checking references and by investigating the Respondent's financial condition.

The City reserves the right, after advertisement of the RFP, to refine the Scope of Services, with appropriate notice. Further, if, upon receipt of Proposals, the City wishes to make refinements to the Scope of Services, it may, depending upon the circumstances, provide the revision to all Respondents and invite revised proposals from the Respondents based upon the revised Scope of Services.

The City reserves the right to seek clarification of any information that is submitted by any Respondent in any portion of its Proposal or to request additional information at any time during the evaluation process. Any material misrepresentation made by a Respondent may void the Proposal and eliminate the Respondent from further consideration.

The City reserves the right to enlist independent consulting services to assist with the evaluation of all or any portion of the Proposal responses as it deems necessary.

B. Evaluation Criteria

In Phase II, the Evaluation Committee will review the Respondent's Proposal to determine overall responsiveness and completeness of the Proposal with respect to the components outlined in the RFP using the following criteria (not necessarily listed in order of importance) as applicable:

1. Professional and Technical Competence

- a) Ability to provide the Services described in the RFP, including capacity to perform the Scope of Services described in Exhibit 1 of this RFP.
- b) Professional Qualifications and Specialized Experience of Respondent and its Team on projects of similar scope and magnitude (e.g., specifically with respect to large organizations, and government agencies).
- c) Professional Qualifications and Specialized Experience of Respondent's Key Personnel (and Team Members) and Local Availability of Key Personnel committed to the City of Chicago.
- d) References / Past and Current Performance of the Respondent (and Team members) on other contracts in terms of quality of services, operating within budget and compliance with performance schedules. The Committee may solicit from current and/or previous clients including the City of Chicago, other government agencies, or any available sources, relevant information concerning the Respondent's record of performance.
- e) Response to all requested information in the Scope of Services in Exhibit 1

2. Quality, Comprehensiveness and Adequacy of the proposed Implementation and Management Plan

The EC will consider the quality, comprehensiveness and adequacy of the proposed implementation plan for implementing the Information Technology Infrastructure Services including the staffing plan, local availability and commitment of personnel who will manage and oversee the City of Chicago account.

The Evaluation Committee will review each Proposal for the Respondent's understanding of the objectives of the Services and how these objectives may be best accomplished. Each Respondent will be evaluated on their overall strategy, methodology and approach to meeting the City's service level needs.

3. Schedule of Compensation / Cost Proposal

The City will consider completeness and adequacy of cost as per the Compensation Schedule, Exhibit 2. In evaluating the reasonableness of proposed costs, the City may apply: (1) Preference for Chicago-based businesses, (2) Incentive for Alternatively Powered Vehicles, (3) Incentive for Veteran-Owned Small Local Business Enterprises and Eligible Joint Ventures, or (4) BEPD Commitment as applicable.

4. MBE/WBE Compliance Plan

Certification Letter from City of Chicago or Cook County confirming Respondent is currently certified with City of Chicago or Cook County as an MBE/WBE firm in the applicable area of specialty associated with Information Technology Services.

5. Legal Actions

The EC will consider any legal actions, if any, against Respondent and any division, subsidiary or parent company of Respondent, or against any member, partner, etc., of Respondent if Respondent is a business entity other than a corporation.

6. Financial Stability

The EC will consider the financial condition of Respondent. Respondent must be financially stable to ensure performance over the duration of the contract.

7. Compliance with Laws, Ordinances, and Statutes

The EC will consider Respondent's compliance with all laws, ordinances, and statutes governing the contract. See Online City of Chicago EDS Instructions and Attachment A, Online EDS Acknowledgement form in Exhibit 5.

8. Degree to which the Respondent accepts the City's Terms and Conditions

Respondent must indicate the degree to which it accepts the City's terms and conditions, including in the Scope of Services and in the City's Sample Professional Services Agreement in Exhibit 11. A Respondent that takes material objections to the City's terms and conditions may be found to be non-responsive and its Proposal may be rejected.

9. Conflict of Interest

The EC will consider any information regarding Respondent, including information contained in Respondent's Proposal, that may indicate any conflicts (or potential conflicts) of interest which might compromise Respondent's ability to satisfactorily perform the proposed Services or undermine the integrity of the competitive procurement process. If any Respondent has provided any services for the City in researching, consulting, advising, drafting, or reviewing of this RFP or any services related to this RFP, such Respondent may be disqualified from further consideration.

VII. SELECTION PROCESS

After the Evaluation Committee ("EC") completes its review of Proposals in Phase II, it may submit to the DoIT Commissioner and Chief Procurement Officer a recommended short list of Respondents (Phase III), or the EC may forego Phase III and submit a recommendation to select one Respondent, or a recommendation to reject any or all Proposals.

Phase III- Site Visit and/or Oral Presentations

If the EC submits a short list of Respondents for further review, then, in the sole discretion of the DoIT Commissioner and the Chief Procurement Officer, those short-listed Respondents may be subject to a site visit, and/or be invited to appear before the Evaluation Committee for an oral presentation to clarify in more detail information what was submitted in Respondent's Proposal; and/or to ask Respondent to respond to additional questions.

Following oral presentations, the Evaluation Committee will make a final evaluation of the Respondents and submit its recommendation to the DoIT Commissioner. Such recommendation

may be to enter into negotiations with only one Respondent or may be to enter into negotiations with more than one Respondent.

Upon receipt of the EC's recommendation, the DoIT Commissioner will submit a decision (concurrence or rejection of the EC's recommendation) to the Chief Procurement Officer. The Chief Procurement Officer shall then consider the DoIT Commissioner's recommendation and exercise her authority to either notify the Respondent(s) to enter into contract negotiations or reject the recommendation and offer alternate options.

The City will require the selected Respondent(s) to participate in contract negotiations. In order to award a contract that represents the best value to the City, as determined by the DoIT Commissioner and the Chief Procurement Officer, the City reserves the right to enter into concurrent competitive price negotiations with one or more qualified Respondent(s). The City's requirement that a selected Respondent negotiate is not a commitment by the City to award a contract.

The City reserves the right to terminate this RFP solicitation at any stage if the Chief Procurement Officer determines this action to be in the City's best interest. The receipt of Proposals or other documents will in no way obligate the City of Chicago to enter into any contract of any kind with any party.

VIII. ADDITIONAL DETAILS OF THE RFP PROCESS

A. Addenda

If it becomes necessary to revise or expand upon any part of this RFP, an addendum will be sent (electronically or by mail) to all of the prospective Respondents listed on the "Take Out Sheet" prior to the Proposal due date. A copy of addenda associated with this RFP specification number will also be posted on the City of Chicago Department of Procurement Services' website and may be downloaded in lieu of being sent the addendum. Prospective Respondents are listed on the Take Out Sheet when they pick-up a copy of the RFP package from the Bid & Bond Room and leave a business card, e-mail BidandBond@cityofchicago.org or call in to the Bid & Bond Room to register their company as having downloaded a copy of the RFP prior to the Proposal due date. Each addendum is incorporated as part of the RFP documents, and the prospective Respondent should acknowledge receipt.

Respondents are solely responsible for acquiring the necessary information or materials from the Bid and Bond room.

Copies of the take-out list, and any addenda, are available from the Department of Procurement Services Bid & Bond Room 103, City Hall, 121 North LaSalle Street, Monday-Friday, 8:30 a.m. - 4:30 p.m.; 312-744-9773; and via the Internet at the Department of Procurement Services website: www.cityofchicago.org/Procurement

An addendum may include, but will not be limited to, the following:

1. Responses to questions and requests for clarification sent to the Department of Procurement Services; or

2. Responses to questions and requests for clarification raised at the Pre-Proposal Conference; or
3. Responses to questions and requests for clarification which were sent in by the deadline for submission of questions; all in accordance with the provisions of Section IV A.1 herein.

B. City's Rights to Reject Proposals

The City of Chicago, acting through its Chief Procurement Officer, reserves the right to reject any and all Proposals that do not conform to the requirements set forth in this RFP; or that do not contain at least the information required by this RFP. If no Respondent is selected through this RFP process, then the Chief Procurement Officer may utilize any other procurement method available under the Municipal Purchasing Act and the Municipal Code of Chicago, to obtain the Services described in this RFP or as may otherwise be so required.

C. No Liability for Costs

The City is not responsible for costs or damages incurred by Respondents, member(s), partners, subcontractors, or other interested parties in connection with the RFP process, including but not limited to costs associated with preparing the Proposal and/or participating in any conferences, site visits, demonstrations, oral presentations or negotiations.

D. Prohibition on Certain Contributions - Mayoral Executive Order No. 2011-4

No Contractor or any person or entity who directly or indirectly has an ownership or beneficial interest in Contractor of more than 7.5% ("Owners"), spouses and domestic partners of such Owners, Contractor's Subcontractors, any person or entity who directly or indirectly has an ownership or beneficial interest in any Subcontractor of more than 7.5% ("Sub-owners") and spouses and domestic partners of such Sub-owners (Contractor and all the other preceding classes of persons and entities are together, the "Identified Parties"), shall make a contribution of any amount to the Mayor of the City of Chicago (the "Mayor") or to his political fundraising committee during (i) the bid or other solicitation process for this Contract or Other Contract, including while this Contract or Other Contract is executory, (ii) the term of this Contract or any Other Contract between City and Contractor, and/or (iii) any period in which an extension of this Contract or Other Contract with the City is being sought or negotiated.

Contractor represents and warrants that since the date of public advertisement of the specification, request for qualifications, request for proposals or request for information (or any combination of those requests) or, if not competitively procured, from the date the City approached the Contractor or the date the Contractor approached the City, as applicable, regarding the formulation of this Contract, no Identified Parties have made a contribution of any amount to the Mayor or to his political fundraising committee.

Contractor shall not: (a) coerce, compel or intimidate its employees to make a contribution of any amount to the Mayor or to the Mayor's political fundraising committee; (b) reimburse its employees for a contribution of any amount made to the Mayor or to the

Mayor's political fundraising committee; or (c) bundle or solicit others to bundle contributions to the Mayor or to his political fundraising committee.

The Identified Parties must not engage in any conduct whatsoever designed to intentionally violate this provision or Mayoral Executive Order No. 2011-4 or to entice, direct or solicit others to intentionally violate this provision or Mayoral Executive Order No. 2011-4.

Violation of, non-compliance with, misrepresentation with respect to, or breach of any covenant or warranty under this provision or violation of Mayoral Executive Order No. 2011-4 constitutes a breach and default under this Contract, and under any Other Contract for which no opportunity to cure will be granted. Such breach and default entitles the City to all remedies (including without limitation termination for default) under this Contract, under Other Contract, at law and in equity. This provision amends any Other Contract and supersedes any inconsistent provision contained therein.

If Contractor violates this provision or Mayoral Executive Order No. 2011-4 prior to award of the Contract resulting from this specification, the CPO may reject Contractor's bid.

For purposes of this provision:

"Other Contract" means any agreement entered into between the Contractor and the City that is (i) formed under the authority of MCC Ch. 2-92; (ii) for the purchase, sale or lease of real or personal property; or (iii) for materials, supplies, equipment or services which are approved and/or authorized by the City Council.

"Contribution" means a "political contribution" as defined in MCC Ch. 2-156, as amended.

"Political fundraising committee" means a "political fundraising committee" as defined in MCC Ch. 2-156, as amended.

E. False Statements

1. 1-21-010 False Statements

Any person who knowingly makes a false statement of material fact to the city in violation of any statute, ordinance or regulation, or who knowingly falsifies any statement of material fact made in connection with an application, report, affidavit, oath, or attestation, including a statement of material fact made in connection with a bid, proposal, contract or economic disclosure statement or affidavit, is liable to the city for a civil penalty of not less than \$500.00 and not more than \$1,000.00, plus up to three times the amount of damages which the city sustains because of the person's violation of this section. A person who violates this section shall also be liable for the city's litigation and collection costs and attorney's fees.

The penalties imposed by this section shall be in addition to any other penalty provided for in the municipal code. (Added Coun. J. 12-15-04, p. 39915, § 1)

2. 1-21-020 Aiding and Abetting

Any person who aids, abets, incites, compels or coerces the doing of any act prohibited by this chapter shall be liable to the city for the same penalties for the violation. (Added Coun. J. 12-15-04, p. 39915, § 1)

3. 1-21-030 Enforcement

In addition to any other means authorized by law, the corporation counsel may enforce this chapter by instituting an action with the department of administrative hearings. (Added Coun. J. 12-15-04, p. 39915, § 1)

F. Title VI Solicitation Notice

The City in accordance with the provisions of Title VI of the Civil Rights Act of 1964 (78 Stat. 252, 42 U.S.C. §§ 2000d to 2000d-4) and the Regulations, hereby notifies all Respondents that it will affirmatively ensure that any contract entered into pursuant to this advertisement, disadvantaged business enterprises will be afforded full and fair opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, or national origin in consideration for an award.

EXHIBIT 1 – SCOPE OF SERVICES

The primary drivers for this RFP are to 1) continuously improve the quality of IT Services, 2) reduce or manage the growth in costs for providing IT services, 3) develop agreements that support the City's future information technology needs, 4) provides flexibility in the provision of IT Services.

The following sections provide background information including an overview of the City of Chicago departments participating in this RFP, the scope of IT services sought, and information on the current IT computing environment.

City of Chicago Overview

The City of Chicago is the third largest city in the U.S., located in Cook County, Illinois, with approximately 2.7 million residents. Chicago is a municipal corporation with 37 operating departments and approximately 32,000 employees. A mayor and 50-person City Council, each serving four-year terms, govern the City and work to provide residents, businesses and visitors quality municipal services.

Chicago's Technology Plan establishes a vision for Chicago to be a City where technology fuels opportunity, inclusion, engagement, and innovation for all. Technology investments are intended to spur economic development and improve safety, service delivery, communications, and responsiveness. Core strategies to achieve this vision include the deployment of next-generation infrastructure, ensuring that every community is a smart community, effective and efficient government, encouraging civic innovation, and growing Chicago's technology sector. These strategies should be evident in the Contractor's response to this solicitation.

As with many large municipalities, Chicago is determined to standardize, rationalize and optimize purchasing practices to realize cost savings while still ensuring quality, modern service. As a result, Chicago seeks a Prime Contractor that can proactively collaborate with the Department of Innovation and Technology to meet its technology goals and stated business objectives, while providing best-in-class service delivery.

Additionally, Chicago has become a national leader in sustainability through the adoption of green building and business practices among other groundbreaking initiatives. Further, Executive Order 2017-1 commits Chicago to meeting the goal of reducing citywide greenhouse gas emissions to levels equivalent to or greater than the percentage reduction outlined in the United States' Nationally Determined Contribution submitted to the United Nations Framework Convention on Climate Change ("UNFCCC") dated March 9, 2016. This strategic direction, in turn, has implications for the delivery of IT Services, and likewise should be reflected in the Contractor's response to this solicitation.

City of Chicago's Department of Innovation and Technology

The awarded contract will be managed by the City's Department of Innovation & Technology (DoIT), whose mission is to enhance delivery of City services through easy, reliable, cost-effective, and secure access to information, and to promote Chicago's advancement through

technology. DoIT is the central information technology organization for the City and provides a number of technology services to 30 City departments, City Council, sister agencies, residents, businesses, and tourists.

DoIT provides for the maintenance of City computers, servers, networks, and telecommunications infrastructure, including telephones, voicemail, electronic mail, and other communications tools; develops and maintains technology standards and policies for the City; helps City departments access and protect data; and works with City departments to create innovative resident-centered services and processes. The City also provides locations where residents can access the internet for free. Public workstations are publicly available in Chicago Public Library branches, senior centers, City Colleges, CHA facilities, and community centers throughout Chicago.

The following City departments will require dedicated support services:

Chicago Police Department (CPD) Overview

The Chicago Police Department (CPD) is the principal law enforcement agency of Chicago, Illinois, and is under the jurisdiction of the Mayor of Chicago. It is the second largest local law enforcement agency in the United States behind the New York City Police Department. The CPD serves approximately 2.7 million residents in an area of 231.1 square miles. As of September 2011, the department had 13,857 members, including 12,244 sworn/exempt members (exempt members are high-level command staff). The department is led by the superintendent of police, who is appointed by the mayor. All department units fall under the command of two assistant superintendents, both of whom report directly to the superintendent. The two assistant superintendents oversee Operations and Administration, respectively. Operations and Administration are each composed of two bureaus. Within these bureaus are units that carry out the department's operational, training, investigative, staff support, and administrative activities.

Department of Aviation (CDA) Overview

The Chicago Department of Aviation (CDA) administers all aspects of two major airports – Chicago O'Hare and Midway International. The CDA is also charged with the management of the O'Hare Modernization Program (OMP), which will overhaul O'Hare's intersecting runway system into a parallel runway configuration.

The CDA's central purpose is to:

- Ensure safe and efficient travel through O'Hare and Midway International Airports;
- Successfully implement the O'Hare Modernization Program (OMP);
- Enhance economic activity and job creation of O'Hare and Midway International Airports;

- Manage airport tenant and concessions license agreements; ground transportation facilities; financial administration; research, planning and development activities;
- Integrate airport-specific, sustainable planning and practices in design, construction, operations, maintenance and daily airport functions.

The CDA is self-supporting, using no local or state tax dollars for operations or capital improvements at O'Hare and Midway International Airports. Together Chicago's airports generate more than \$45 billion in annual economic activity and create 540,000 jobs for the region.

Office of Emergency Management and Communications (OEMC) Overview

The Office of Emergency Management (OEM) prepares Chicago for emergencies, provides assistance to people and institutions for disaster recovery, mitigates the effects of these events, and, whenever possible, prevents emergencies and disasters from occurring or worsening. The OEM is also Chicago's liaison with the U.S. Department of Homeland Security, the Illinois Office of Emergency Management, as well as federal and state emergency management agencies.

Participation by Other Local Agencies

Respondents must be cognizant of the City's strategic goal to leverage contracts, wherever applicable, across multiple departments and sister agencies. To this end, over the term of the award, other local government agencies may decide to purchase against the contract(s) that will be awarded as a result of this RFP process, pursuant to the terms and conditions of said contract(s), if such agencies are authorized by law or their governing bodies to execute such purchases, and if authorization is allowed by the City of Chicago's Chief Procurement Officer, and if such purchases have no net adverse effect on the City of Chicago, and result in no diminished services from the Respondent(s) to the City's user departments and other existing participatory agencies.

Examples of such Local Government Agencies include: Board of Education, Chicago Park District, City Colleges of Chicago, Chicago Public Schools, Chicago Housing Authority, and Chicago Transit Authority.

Section 1: Current Information Technology Infrastructure Services and IT Service Environment

Section 1.1: Current IT Services Contract

The City currently receives a number of IT Services from Unisys Corporation, Program Management Office, Service Desk, Desktop Support, Local Area Network (LAN) Administration, Wide Area Network (WAN) Administration, UNIX Administration, Remote Network Administration, and Project Services.

The City desires to enter into a IT Services contract with one prime contractor for the scope of services that Unisys currently provides to the City as well as for additional / augmented services as described in Section 4, Scope of Services.

Section 1.2: Data Center Services

Activities associated with the deployment and day-to-day management of existing and future Data Center storage and data environment, providing a stable supporting infrastructure, and effectively and efficiently performing procedures for services including:

Server and Storage Deployment

- Deploying and administrating server and storage equipment per City specifications.
- Supporting disaster recovery capabilities for critical infrastructure and storage services.
- Supporting high speed, high bandwidth, low latency communications path to the Internet and providing or allowing for communications path to the City networks.

Server and Storage Support

- Managing and maintaining server and storage platform operating systems, drivers and firmware.
- Ensuring all critical patches are applied to systems within one week of release. All non-critical patches must be applied within two weeks of release.
- Managing file servers and associated folders and shares including creation and permissions management.
- Maintaining server and storage management and reporting systems.
- Providing hardware and software asset tracking and utilization services.
- Provide equipment removal services including the removal of stored data.
- Managing and maintaining file and print servers.
- Managing and maintaining Windows Active Directory domain environments.
- Managing and maintaining Citrix environments.
- Managing and providing maintenance support contracts for all platforms.
- Providing troubleshooting and remediation services for the all platforms.
- Managing and maintaining backup, recovery and archive systems and facilitate recovery requests.

- Managing and maintaining user identity and access management systems and user databases such as LDAP and Active Directory.

Section 1.3: End User Computing Services

Services and activities to provide and support the City's desktop, laptop and tablet computing devices and associated system software. Mobile phones are not included in this scope of services. Services include:

End User Hardware Deployment Services

- Planning and deploying end user systems per City specifications including loading the requested platform and department City image, if required.
- Providing equipment removal services including the destruction of stored data.

End User Hardware Management and Maintenance

- Maintaining end station management and reporting systems including software deployment systems.
- Ensuring all critical patches are applied to systems within two weeks of release. All non-critical patches must be applied within one month of release.
- Testing and ensure application integration with standard and specialized City OS images.
- Providing hardware and software asset tracking and utilization services.
- Planning and executing relocation of end user equipment for employee moves.
- Providing troubleshooting and remediation services for the PC environment.

Section 1.4: Data Network Services

The life cycle management (e.g., requirements, engineering, replacement design, implementation, testing), service deployment, security, administration and troubleshooting and proactive service management (e.g., Availability and Capacity Management, Performance, Incident and Problem Management) of the City's network environment, including:

- Planning and deploying data communications equipment per City specifications.
- Managing and maintaining data communications equipment operating systems and firmware.
- Maintaining data communication equipment management and reporting systems.
- Providing hardware and software asset tracking and utilization services.
- Managing private and leased voice and data communication circuits including vendor management and problem identification, remediation and escalation.
- Providing equipment removal services including the removal of stored data.
- Providing remote and local penetration testing and reporting.
- Providing ethical hack services.
- Managing and maintaining the enterprise email system; including thick client access, web access, and mobile access.

Section 1.5: Helpdesk Services

A 24-hours a day, 7 days a week, 365 days a year single point of contact (SPOC) service desk for all end-users to report incidents, resolve problems and request status on existing service requests. This is a vital day-to-day contact point between the City, Users, DoIT services and third-party support organizations. Another function of the Help Desk is to facilitate the restoration of normal operational service with minimal business impact on the Customer within agreed service levels and business priorities. Includes:

Level 1 Helpdesk includes:

- Leverage and support the City's ticketing system, including integration with other vendors' tracking and alerting systems.
- CallerID system to pre-populate caller information in ticketing system and display existing tickets.
- Web portal and IVR system allowing users to open tickets, check ticket status and request escalation.
- An automated survey mechanism for each closed ticket.
- A scripting system with standard troubleshooting tools. The system should be available to end users via a website.
- A capability to extend first level helpdesk beyond internal IT services.

Level 2 Helpdesk includes:

- Support for City applications and services based on scripts and information provided by the City.
- Resolving software or OS issues via remote access for both fixed and mobile user systems.
- Referring issues that cannot be resolved via the available scripts, help files, blogs and histories to the application, service, hardware or other appropriate support level.

Section 1.6: Cross-functional Services

IT Service Management and Lifecycle Services are considered within the scope of each Service Area and consists of the following categories of services:

- IT Life Cycle
- Service Delivery
- Service Support
- IT Systems Reporting
- Enterprise architecture services

These "cross-functional" Services will ensure that the Respondent supports all of the City's IT environments and Service Areas with a common and consistent set of life cycle Services and processes based on the Information Technology Infrastructure Library (ITIL)/IT Service Management (ITSM).

All Respondents must provide the services enumerated in Section 4 Cross-Functional Services.

Section 1.7: Projects Services

From time to time, the City will require the selected respondent to plan, manage and execute substantive projects: one-time efforts with a scope to achieve specific objectives. Doing so may entail the temporary engagement of additional resources, such as a Project Manager, a Business Systems Analyst, a User Experience Designer, a Quality Assurance Tester, or other roles.

The City may require additional support coverage in future time periods, in order to have the elasticity and flexibility to respond to new initiatives, to urgent and time-sensitive needs, to opportunities that can leverage existing technology or software for new purposes, or to other circumstances. This need for additional resources may apply to new or existing applications and systems.

Any additional staffing and costs will be obtained in response to a Task Order with an applicable Statement of Work that describes the services needed and the deliverables to be produced. The City's Statement of Work will minimally include:

- Purpose: Why the work is needed.
- Scope of Work: A description of the work to be done, including relevant hardware and software, if applicable.
- Deliverables: What is to be produced.
- Constraints: Time, cost, technology or other constraints.
- Special Requirements: Any special hardware, software, staffing or other requirements.
- Response Requirements: The documentation to be supplied in response to the City's Task Order.

The selected Respondent is expected to respond with a Solution Proposal that includes all required documentation, and to have the capabilities to plan, manage and execute such projects with all necessary and appropriate resources, using methods and practices that are approved by the City and appropriate to the task.

The City, at its sole discretion, may accept or reject any Solution Proposal submitted by the Respondent, or any other proposals for changes that pertain to support coverage or project-specific services, as described in this section.

The Selected Respondent is expected to manage such projects in accordance with City policies and processes, which are based on the Project Management Institute's Project Management Body of Knowledge. The Selected Respondent will be expected to leverage the City's project portfolio management tool for tracking and reporting purposes.

Section 2: Approach to Meeting Goals & Objectives

In this section, Respondent should provide a narrative response that describes their approach and methodology for managing the maintenance and ongoing support of IT Services and the providing of IT and business process related services.

This section should provide the City with insight as to how the Respondent approaches large, complex projects such as this one and how the Respondent is uniquely qualified and/or positioned to provide these services, while meeting or exceeding the Service Levels set forth herein, in the most minimum, this section should address the following areas:

Section 2.1: Overall Understanding of the Engagement

This section should convey how well the Respondent understands the City's overall objectives and requirements. Describe the Respondent's overall understanding of the project including the nature, scope, and complexity of the work. Describe how Respondent's familiarity with and understanding of the work will be an advantage to the City.

Section 2.2: Service Delivery

In this section, Respondent should describe their overall approach to service delivery. At a minimum, this section should address the following:

Process Improvement

Describe how the Respondent will leverage their own experience to evaluate and improve the City's processes without service delivery interruptions and without increasing cost. Describe past experiences with improving the speed and efficiency of similar operations and provide examples or case studies. (Case studies can be included.)

Quality

Describe the control mechanisms that the Respondent will use to ensure quality is maintained for the duration of the engagement. Describe the Respondent's approach to quality assurance and the methods or tools used to monitor and control the quality of all service deliverables.

Technology Environment

Describe how the Respondent plans to evaluate the current technology environment and assess the readiness for transition.

Transformation of the Environment

Describe how the Respondent plans to evaluate the current environment, in particular assessing readiness for further adoption of cloud computing services or personal computing as a service.

Reporting

Reporting is critical to the ongoing operation. Describe the Respondent's overall approach to management reporting and how the Respondent will ensure that operations information is accurately captured and reports are sufficiently detailed and may be clearly understood by the recipient, and are delivered regularly as scheduled.

Section 2.3: Service Levels

In this section, Respondent should describe their overall understanding of Services Levels and approach to maintaining them. At a minimum, this section should address the following:

General Feedback

The Respondent should positively confirm that it understands and can meet each of the Service Level goals or identify and comment on any exceptions. For exceptions, Respondent should provide specific reasons for the exception and how they would address the exception in a way that is still able to meet the City's objectives. Exceptions to the SLRs should be described in detail in this section.

(Note: exceptions to other requirements should be described in the narrative response for that specific section and exceptions to the Compensation model should be described in the response to the Compensation section. Furthermore, exceptions taken may be cause for the Respondent's proposal to not be considered.)

Service Level Gaps

Based on the Respondent's experience and understanding of the City's objectives, describe any gaps that may exist in the City's SLRs and the impact that these gaps may have on overall service delivery. Respondent should include information/recommendations based on their experience providing similar services, about how potential gaps should be addressed.

Service Level Monitoring

How Does the Respondent propose monitoring and reporting against the SLRs? Provide sample executive level reports or dashboard capabilities on SLR performance.

Section 2.4: Documentation

The City expects the Contractor to develop and maintain all service-related documentation. This includes, but is not limited to:

- All user training manuals,
- Standards and Procedures Manuals,
- As well as detailed technical documentation of all system functions and enhancements.
- Detailed technology architecture diagrams that reflect all Infrastructure components in scope.

In this section, describe Respondent's overall approach to document development management. This section should include a description of how the Respondent's plans to inventory and assume control of all existing documentation and manage it going forward. Respondent should describe the tools, processes, and personnel that will be used to manage ongoing service documentation.

Section 2.5: Training & Knowledge Management

The City expects the Respondent to maintain a high quality of service with no service disruptions during the entire term due to loss of knowledge or lack of adequate training. The City expects continuous and ongoing improvement that enhances the City's knowledgebase

and optimizes service delivery. The City expects that training materials and programs and knowledge management systems will be continuously updated to reflect current operations.

In this section, Respondent should describe approach, methodology, and tools used for training its staff. This section should include a description of how the Respondent plans to develop training plans and provide ongoing training. Respondent should also describe strategy for assuming responsibility for existing training materials and maintaining the training materials; all without the City incurring extra costs.

Section 2.6: Continuous Improvement

This section should describe how the Respondent will implement a continuous improvement program. At a minimum, this section should address the following:

Continuous Cost Reduction

From time to time, a member of the City's staff or of the Respondent's staff may propose changes to the existing business processes or changes to the existing technology that are projected to result in an overall cost savings to the City. For example, cost controls or reductions in the printing or mailing processes, included changes to forms, notices, have resulted in significant savings to the City. The Respondent is expected to analyze and potentially implement such changes at the direction of the City.

Respondent should provide specific examples of the type and amount of savings the Respondent has achieving in providing similar services to public sector clients. *How were these savings passed on to the client?*

Quality Improvement

How has the Respondent achieved improvements in quality of services (e.g., reducing errors)? Provide specific examples.

Service Level Improvement

How has the Respondent achieved improvements in service levels (e.g., reducing resolution time)? Provide specific examples.

Productivity Improvement

How has the Respondent achieved improvements in productivity over time? Provide specific examples.

Section 2.7 Innovation & Value Differentiation

This section should describe how the Respondent's total solution represents the best value for the city of Chicago. Using specific examples, describe how the Respondent provides thought leadership and innovation and how that experience will directly benefit the City. This section should provide a clean and succinct case for why the Respondent is best suited for this work.

Section 3: Response to Scope of Services

The response to scope of services is in Section V.7 – Response to Scope of Services.

Section 4: Detailed Scope of Services

Section 4.1 General Services

The following are requirements for General Services.

Service

The City desires a model where the Respondent assumes full responsibility for performing all the required services outlined in Sections 4.4 – 4.9. In addition to the services being provided, the Respondent is required to maintain service levels for the duration of the contract for one fixed price per year. When available, the Respondent is expected to leverage the City's tool for specific functions. The City required separate line item for all respondent hardware and software tools used for the services of this contract.

Specific Retained Authority

Even though the Respondent is providing a service, the City expects to maintain certain controls and authority. In this section, Respondent shall describe how they will work with the City to ensure that the City maintains control over key operational areas. At a minimum, the narrative response should address the following:

Strategic Operational Planning

The City shall retain exclusive authority, discretion and rights of approval with respect to strategic and operational planning, which includes the following:

- Developing standards and planning guidelines pertaining to the development, acquisition, implementation, and oversight and management of service systems and payment processes;
- Identifying and implementing opportunities for reducing costs and considering alternatives suggested by Respondent;
- Defining and evaluating services, including service availability and minimum acceptable service levels; service specifications, standards, and benchmarking; approval of suppliers; security requirements; scheduling, prioritization, and service conflict resolution among End-Users and/or Customers; help desk rules; and general operational management guidelines; and;
- Respondent strategy, including approval of Subcontractors or alternate providers; specialized provider relationships; and quality assurance standards.

Service Design and Delivery

The City shall retain exclusive authority, discretion and rights of approval with respect to service design and delivery, which includes the following:

- Selecting designs of specific technologies and services from alternatives suggested by Respondent;
- Selecting specific technologies, hardware and software from alternatives suggested by Respondent for implementation of such designs;

- Selecting providers of specific technologies, hardware and software from alternatives suggested by Respondent; and
- Selecting implementation schedules and activities from alternatives suggested by Respondent

Moves, Adds and Changes

The City shall retain exclusive authority, discretion and rights of approval with respect to any proposed moves, adds or changes to technology or staffing levels and requirements.

Review and Acceptance

The City shall retain the right to review and accept or reject all services, components, deliverables and systems to be provided by Respondent, pursuant to a mutually agreed-upon methodology that includes, at a minimum, Acceptance Testing, Cure and Final Acceptance criteria.

City Indebtedness

The City shall retain the right to conduct periodic audits or checks of indebtedness to the City of any individuals working in connection with the services being provided. The Respondent will be required to cooperate fully with these requests and audits, by providing the necessary employee (direct or Subcontractor) information.

Human Resource Management

In this section, the Respondent shall describe their human resource management plan and approach. Respondent should identify the use of sub-contractors and highlight any uniqueness or differences with regard to the use of sub-contractors. Upon request, the City has the right to ask respondent to remove or replace employees.

The City assumes that the following applies to all people, regardless of their status as employee or sub-contractor. At a minimum, this section should address the following:

- Describe how the Respondent monitors employee satisfaction.

Human Resources Plan

- Describe how the Respondent creates and maintains Human Resource Policies and Procedures.

Employee Turnover Rates

- How does the Respondent ensure that the turnover rate is kept to a minimum?
- The city will provide communication process for onboarding/off boarding resources?
- What is the Respondent's policy and plan to ensure continuity of the specific knowledge and experience of the supported applications, processes and procedures?

Key Personnel

In this section, the Respondent shall describe how it identifies and retains key personnel responsible for certain critical aspects of the service delivery. At a minimum, this section should address the following:

- What is the Respondent's policy and plan to ensure continuity of the specific knowledge and experience of the supported applications, processes and procedures?
- How does the Respondent ensure that Key Personnel have sufficient backup and ensure cross-sharing of knowledge between critical employees?
- How does the Respondent ensure that the City will play a key role in the qualification assessment and evaluation of proposed or existing key personnel? How does the Respondent handle replacement of key personnel in the event of reassignment or if the City were to request the removal of a key person?

Minimum Proficiency Levels

- In this section, the Respondent shall describe how the Respondent ensures that all personnel have the experience, training and expertise necessary to perform the required services. At a minimum, this section should address the following:
- How is minimum proficiency levels defined?
- How often are they updated?
- How are proficiency levels maintained and monitored?

Specialized Personnel

The Respondent is expected to ensure that all personnel are properly trained and certified as may be required to perform their specific duties. In this section, the Respondent shall describe how the Respondent ensures that specialized certifications and/or training are identified and maintained for all personnel where these certifications may be required in order to perform the required services. These may include specialized technical training or certification as well as any industry or government required certifications (e.g., HIPAA, PCI, CJIS, FERPA, etc. compliance, security clearance). At a minimum, this section should address the following:

- How are specialized requirements identified on an ongoing basis?
- How are specialized requirements of individual employees monitored?

Training and Certification

- In this section, the Respondent shall describe how the Respondent provides and causes its Subcontractors to provide all training and that may be required to perform the required Services. This includes both technical and operational training. At a minimum, this section should address the following:
- Who is responsible for developing, maintaining, monitoring and delivering training?

Supervision and Conduct

- The Respondent is expected to provide for all supervision of its employees and Subcontractors. In this section, the Respondent shall describe how the Respondent plans to supervise day to day operations. At a minimum, this section should address the following:
- Describe the supervision and monitoring organization structure.

Facilities

The Respondent is generally expected to provide all required facilities including necessary office space, call center, and any other space as required. In this section, describe how the Respondent plans to select and acquire the required facilities.

Security and Identity Protection

Respondent is expected to provide comprehensive security and identity protection processes and procedures to ensure that the systems and business processes are compliant with all City of Chicago policies concerning data security and with all laws generally pertaining to data security and personal identity information that may be vulnerable both physically and electronically.

In this section Respondent should describe how overall security and identity protection is ensured.

General Security

Describe the Respondent's general approach to establishing security policy and how security policy decisions are made. Provide an overview the Respondent's global security policy and the procedures or practices that are in place to implement the policy. Provide an overview of the Respondent's security monitoring process and how security breaches are handled.

Intellectual Property Security

Describe the Respondent's approach protecting the City's Intellectual Property (IP) as it relates to maintenance, support and enhancement work that may be done as part of the Service.

Physical Security

Describe the Respondent's approach to providing physical security to Respondent facilities that ensure only authorized personnel have access to Service related information and systems. Describe how physical security at Respondent facilities is monitored and maintained.

Identity Security

Describe the Respondent's approach to protecting personal identity information that may be contained within the supported systems.

Business Continuity and Disaster Recovery

Respondent shall provide and maintain a comprehensive business continuity and disaster recovery plan. The business continuity and disaster recovery plan must be developed in cooperation with City emergency preparedness planners and reviewed with appropriate City personnel at least once per year.

In this section, describe the Respondent's experience with and approach to business continuity and disaster recovery planning. At a minimum, describe the planning process and personnel involved. Explain how plans are developed, maintained, disseminated and tested. Respondent is encouraged to provide a sample business continuity and disaster recovery plan.

Section 4.2 Transition Plans

The City requires an efficient and orderly transition of operations. It is vitally important for the Respondent to recognize that the IT operations are considered by the City to be mission-

critical and any delays and/or service interruptions, however minor, can have a substantial financial impact on the City. This section details the objectives, guidelines and key elements that the Respondent is required to include in their response.

Transition Objectives

In this section, Respondent should describe how they plan to address each of the following key objectives:

- Accomplish an orderly and full Transition of responsibilities from current contractor to the Respondent per requirements in Transition Requirements Section. Transition Requirements within a reasonable time frame of no more than six (6) months and with minimal business disruption.
- Validate and finalize business process work volumes and other assumptions described in this RFP.
- Establish the infrastructure and computing environment for the deployment of business process services post-Transition.
- Establish clear Governance, Roles and Responsibilities during Transition.
- Ensure knowledge transfer and training is complete prior to assumption of services.
- Identify and address any business and/or technical issues that may impact the Transition and the deployment of services.
- Establish appropriate transition milestones.
- Develop detailed hand over support documentation.
- Establish and standardize transition reports.

Transition Guidelines

In this section, Respondent should describe how they plan to address each of the following key transition guidelines:

- Transition will be transparent, seamless, orderly and uninterrupted.
- Transition will be managed as a project with clearly defined objectives, activities, tasks, schedule, and milestones.
- Transition and Transformation activities will:
 - Enable the Respondent to take full ownership of all the services in-scope “As-Is.”
 - Include an assessment of the current environment and solution and prepare the Respondent to take over full responsibility at the completion of Transition.
- Respondent and the City will take all necessary precautions to avoid any disruptions in the delivery of services during Transition.
- Respondent will be responsible for leading all Transition activities and presenting all associated plans and schedules to the City, including their updating on a weekly basis.
- The City and the Respondent will have clear roles and responsibilities during Transition.

Transition Requirements

In this section, Respondent should describe how they plan to address each of the following key requirements:

- City desires Respondent to recommend an appropriate Transition plan, with clearly identified phases, Deliverables, and milestones, in accordance with the above requirements.
- City expects Respondent to take SLA accountability as soon as services are transitioned (as indicated in their plans).

Transition Elements

In this section, the Respondent must provide details of their proposed Plans in sufficient detail to explain exactly how the Respondent plans to provide all services outlined in Sections 4.4 – 4.9. At a minimum, this section must address the key plan elements provided below. It is expected that the Transition Plans may further evolve during due diligence and contract negotiations; however, for cost purposes the Respondent should treat its proposal as complete and committed.

People

Respondent should clearly describe their plan to staff the team and retain key personnel in order to minimize knowledge loss and service disruption during the Transition. Specifically, this section must address the following:

- What is the Respondent's approach to staff its team?
- In order to minimize knowledge loss, how will the Respondent ensure that key team members participating in the Transition will also be part of the team post-Transition?
- What is the Respondent's suggested approach to accomplish knowledge transfer and management?
- What is the Respondent's documentation plan for knowledge transfer?
- How will the Respondent provide training for its Team members to ensure that they can take full responsibility for providing services post-Transition?
- Should a key technical resource resign and leave prior to knowledge transfer, how will the Respondent address the challenge?
- Does the Respondent plan to recruit/retain key employees?
- What is the Respondent transition plan for on-site support personnel at agencies?

Management

Respondent should clearly describe their plan for managing the Transition. Specifically, this section must address the following:

- Project Management: Provide a clear description of all key Transition activities that the Respondent will conduct. Describe how the Respondent will handle periodic reporting (Type and Frequency) during Transition to ensure seamless communication.
- Governance Management: Describe the Respondent's proposed Governance structure and associated processes for making timely decisions during Transition. The following areas must be addressed:

- What decisions need to be made?
- Who has input rights? Who has decision rights?
- How will decisions be made (e.g., steering committee), including the escalation structure?
- Organizational Change Management: Transfer of responsibilities will likely have a significant impact on the roles and job functions of several existing resources. How will the Respondent assist the City to minimize the impact of this change?
- Cultural Change Management: How will the Respondent anticipate and address any conflicts that may arise due to cultural differences between current operations and the Respondent to strike a good working relationship?
- Issue Management: What is the Respondent suggested approach for proactively identifying and addressing any issues that arise during Transition?
- Risk Management and Mitigation: How will the Respondent manage and mitigate against risks (e.g., Schedule, Benefit Realization, Technical, Organization)?
- Policy/Procedure Recasting: How does the Respondent plan to identify impacted areas and obtain City approvals to recast policies and procedures, as appropriate?
- Security Management: Describe the processes the Respondent will implement during Transition and Transformation to prevent breaches of security and approach to maintain compliance with the City's security standards?

Transition of Hardware & Equipment

A current asset inventory summary list is provided in Attachment D Hardware List and C Software List. The Respondent needs to clearly explain the plan to transition the support of the equipment/software with minimum business disruptions.

Acceptance Procedures

- The Respondent must ensure a disruption free handover of services. What is the Respondent's suggested approach to formally handover services from current provider to the Respondent?
- How does the Respondent propose defining the completion of handover?

Proposed Transition Plans & Schedules

Respondent must attach a detailed project plan with phases, activities, tasks, timelines, dependencies, reporting dates, and major milestones. Upon acceptance by the City, the Transition Schedule and milestones will become a key component of the resulting Contract. Failure to meet Transition milestones will result in Service Credits and Fee Reductions. The Respondent should describe the proposed Milestones during the Transition phase. Please note, the critical milestones will also determine the payment model for Transition Fees (see Transition Services).

Aviation, OEMC, and Police seek on site support teams. Respondent needs to account for this in its transition plans and Schedules.

Organization, Roles & Responsibilities

Use the tables below to describe Roles and Responsibilities for the Respondent and the City during Transition.

Table 1 Transition Organization, Roles & Responsibilities

Transition Roles and Responsibilities			
Respondent Role	Responsibilities	Comments	Hours per Week (per role)
End of Table			

Transition Deliverables

Use the tables below to list and describe the documentation to be delivered during Transition.

Table 2 Transition Deliverables

Transition—Documentation Deliverables			
Item #	Document Name	Purpose	Description
1.			
2.			
3.			
End of Table			

Section 4.3 Exit Transition Plan

At some point in time, but within the terms of the Contract, the City may wish to resume responsibility for or transition to another service provider some or all the provided services. The Respondent shall describe its strategy and plan for disentanglement and their proposed Exit plan for transitioning services back to City or over to another service provider of the City's choice on termination of the Contract.

This section details the objectives, guidelines and key elements that the Respondent is required to incorporate into the proposed Exit plan as part of the Respondent's response to this RFP.

Exit Objectives

- Accomplish an orderly and full Exit of service responsibilities from the Respondent to the City or another Respondent in a reasonable time frame with minimal business disruption
- Establish clear Governance, Roles and Responsibilities during Exit
- Ensure all documentation, applications, data, processes and procedures are transferred and understood by the City or another Respondent
- Ensure knowledge transfer and training is complete

- Identify and address any business and/or technical issues that may impact the Exit
- Ensure all City materials covered by a Non-Disclosure Agreement (NDA) and this contract are destroyed by the Respondent.

Exit Guidelines

- Exit will be transparent, seamless, orderly and uninterrupted
- Exit will be managed as a project with clearly defined objectives, activities, tasks, and milestones
- Enable the City or another Respondent to take full ownership of all the services in-scope for disentanglement “As-Is”
- Prepare the Respondent to take over full responsibility at the completion of all activities
- The Respondent and the City will take all necessary precautions to avoid any disruptions in the delivery of services during Exit
- The Respondent will be responsible for leading all Exit activities and presenting all associated plans and schedules to the City, including their updating on a weekly basis
- The City and the Respondent will have clear roles and responsibilities during Exit.

Exit Plan Elements

The Respondent must provide details of the proposed Exit Services and Plan. Key elements to be incorporated into the Respondent’s Exit plan are provided below. It is expected that the Exit Plan may further evolve during due diligence and Contract negotiations; however, for cost purposes the Respondent should treat its Exit proposal as complete and committed.

People Processes

- What is the Respondent’s recommendation, if any, for required roles in City’s organization for successful Exit transition?
- Describe Respondent’s suggested approach for the following:
 1. What is the Respondent’s approach to staff its Exit team?
 2. In order to minimize knowledge loss, will the Respondent ensure that key team members participating in the Exit will also be available for hire by the City or its new Respondent as part of the team post Exit?
 3. What is the Respondent’s suggested approach to accomplish knowledge transfer and management?
 4. How will the Respondent provide training for the new team members to ensure that they can take full responsibility for providing services post Exit?
 5. Should key technical resources resign and leave prior to knowledge transfer, how will the Respondent address the challenge?

Management Processes

- Project Management: Provide a clear description of all key Exit activities that the Respondent will conduct. Describe how the Respondent will handle periodic reporting (Type and Frequency) during Exit to ensure seamless communication.

- Governance Management: Describe the Respondent proposed Governance structure and associated processes for making timely decisions during Exit. The following areas must be addressed:
 - What decisions need to be made?
 - Who has input rights? Who has decision rights?
- Organizational Change Management: Transfer of service responsibilities from Respondent resources to the City (or another Respondent) will have a significant impact on the roles and job functions of several existing resources. How will the Respondent assist to minimize the impact of this change?
- Issue Management: What is the Respondent suggested approach for proactively identifying and addressing any issues that arise during Exit?
- Risk Management and Mitigation: How will the Respondent manage and mitigate against risks (e.g., Schedule, Benefit Realization, Technical, Organization) during Exit?
- Security Management: Describe the processes the Respondent will implement during Exit to prevent breaches of security and the approach to maintain compliance with the City's security standards.
- Computing Environment Management: Describe how the Respondent will work with a new Respondent to validate working access to the current Computing Environment.
- Network Management: Describe how Network connectivity will be closed down during Exit or at Exit completion?
- License Management: Describe how Hardware/Software license transfer and transfer of other assets, wherever applicable, would occur during Exit? Clearly indicate where this would be required?

Acceptance Procedures

- The Respondent must ensure a disruption-free handover of the services. What is the Respondent's suggested approach to formally handover services from Respondent to the City or another Respondent?
- How does the Respondent propose defining the completion of handover?
- Describe how Transfer/Disposal/Deployment of Hardware and Software, etc, components will occur during Exit? Clearly indicate where this would be required.

Proposed Transition Plan & Schedule

The Respondent must attach a proposed project plan with phases, activities, tasks, timelines, dependencies, reporting dates, and major milestones. Upon acceptance by the City, the Exit Schedule and milestones will become a key component of the resulting Contract.

Organization, Roles & Responsibilities

Use the table below to describe Roles and Responsibilities for the Respondent and the City during Exit. Please provide an organization chart for Exit.

Table 3 Exit Roles and Responsibilities

Transition Roles and Responsibilities			
Respondent Role	Responsibilities	Comments	Hours per Week (per role)
End of Table			

Exit Deliverables

Use the table below to list and describe the documentation to be delivered during Exit.

Table 4 Exit Documentation Deliverables

Transition—Documentation Deliverables			
Item #	Document Name	Purpose	Description
1.			
2.			
3.			
End of Table			

Section 4.4 Data Center Services

Data Center Services Overview

This Section 4.4 (Data Center Services SOW) is the Statement of Work (or “SOW”) that sets forth the roles and responsibilities of the Parties for the Data Center Services provided under the Agreement as part of the Services. Data Center Services are the Services and activities, as further detailed in this SOW, required to provide and support the City’s centralized production, quality assurance, and development computing environments. The Data Center environment includes centralized CPUs such as:

- Unix/ Linux based, Windows-based systems, other midrange computers
- Data Storage Systems (SANs, NAS, and DAS devices)
- Backup & Recovery Services
- Operating System Support, Utilities & Schedulers
- File/Print Services, Active Directory, DNS Services
- Support Email environment that is hosted at Microsoft’s Data Center
- Server Virtualization Platforms
- Respondent may deploy new systems to support the IT Infrastructure and computing environment
- Provide technical support, hardware break/fix services for the Information Technology Infrastructure
- Extension to cloud computing environments

Service Objectives

The primary drivers for this RFP are to: 1) continuously improve the quality of services, 2) reduce or manage the growth in costs for providing IT services, 3) develop agreements that support the City's future information technology needs, 4) provide flexibility in the deployment of IT services, and 5) improve innovation capabilities.

The following are the key high-level Service objectives the City expects to achieve through the procurement of services resulting from this RFP solicitation:

- Meet City business needs for highly available, reliable, scalable and secure services 24x7x365 days a year
- Maintain compliance with industry standards and government regulations (e.g., ITIL HIPAA, PCI, CJIS, FERPA, etc.)
- Provide System administration and hardware break/fix support for all server operating system platforms Unix (Oracle Solaris), Redhat Linux / Exadata and Microsoft Windows Server
- Manage, support, and provide System Administration for the City's virtualization platforms: VMware, Hyper-V and Solaris Containers
- Provide System Administration for Citrix Xenapp Platform
- Provide System Administration and hardware support all Storage Platforms including Network Attached Storage (NAS), Storage Area Networks (SANs) and Direct Attached Storage (DAS)
- Provide Microsoft SQL Database Administration Services
- Acquire Services with Availability guarantees backed by Service-Level Requirements (SLRs).
- Acquire Services that can leverage operational scale and best practices to achieve optimum commercial price performance.
- Acquire ongoing feedback mechanisms to ensure performance meets expectations.
- Use the City of Chicago's Help Desk Software "Service Now" for incident and change management
- Support Hardware and Software Asset Management
- Support Security & OS Patch Management to comply with DoIT's Security Office policies and applicable regulations
- Support SCCM
- Support Software Packing and Distribution

Scope of the Infrastructure to Be Supported

The following sub-sections and related Service Environment Appendices further describe and scope the Data Center environment to be supported and/or with which Respondent shall comply. These Service Environment Appendices are to be maintained by Respondent, and reviewed with City, and updated by Respondent and made available to City on a quarterly basis.

Agencies that are in Scope

“Attachment U Agencies in Scope” list the City of Chicago agencies that are in scope.

Hardware and Software

- A listing and description of hardware to be supported is provided in Attachment D Hardware List
- A listing and description of Software and Utilities to be supported is provided in Attachment E Software List
- A listing of Microsoft SQL Servers that respondent will need to perform general database administrative services is listed in Attachment G MS SQL Server Support List
- A listing of the Data Center Supported Middleware –Respondent will not support Middleware Tier; however occasionally the respondent is required to have a System Engineer involved in the troubleshooting process. Middleware Software is listed in Attachment F Data Center Middle Ware List.

Service Locations

Description and location of all city facilities and office locations are listed in Attachment I Locations List.

Personnel

Respondent will be responsible for providing appropriately skilled staffing to meet the Data Center Services Roles and Responsibilities and Service Levels set forth in this SOW. Upon request the City has the right to ask service provider to remove or replace employees.

FTE Requirements for Public Safety

Recommended and Required staffing roles are listed in Attachment T Recommended and Required Staffing.

Policies, Procedures and Standards

The policies, procedures and standards with which Data Center Services will comply are provided in Attachment L CoC_IT_IS_Policy_Set_ver_RC_05b.

Agreements and Licenses

A list of Data Center-related agreements and licenses is provided in Attachment M—Data Center Agreements and Licenses.

Work-In-Progress

The City currently has a number of Data Center related initiatives in progress that are included within the scope of this SOW and may impact Services. Such projects are the responsibility of Respondent to complete within the time frames specified by the City. A list of these projects is provided in Attachment K—Data Center Work in Progress.

End of Life Equipment Support

The City's Data Centers will require a “server hardware spare parts” locker to repair unsupported end of life (EOL) hardware. The City acknowledges the respondent will make a

best effort service level to keep computing services available. The requesting departments have agreed upon a specific dollar amount. End of life equipment and Spare Parts Budget is listed in Attachment R Spare Parts Budget and Attachment S – Out of Warranty Equipment. Details on finding, procuring, and storage will be identified during Discovery phase.

Data Center Service Requirements

General Responsibilities

The following table identifies general Data Center roles and responsibilities associated with this SOW an “X” is placed in the column under the Party that will be responsible for performing the task.

Table 5 General Roles and Responsibilities

General Roles and Responsibilities	Respondent	City
1. Comply with the City's policies and standards and regulations applicable to the City including information systems, personnel, physical and technical security	X	
2. Manage event and workload processes across all platforms	X	
3. Provide technical support for all hardware/equipment in the Data Center computing infrastructure	X	
4. Update and maintain Data Center Inventory monthly and send reports to City's Data Center Manager.	X	
5. Create and update Standard Operating Procedures documentation for all server and backup /recovery platforms	X	
6. Approve Standard Operating Procedures documentation for all server and backup/recovery platforms		X
7. Support Data Center infrastructure System Software (e.g., operating systems, utilities, databases, and assist application teams with troubleshooting middleware problems. Refer to Attachment H	X	
8. Deploy and support Data Center Networks (e.g., LAN, WAN connection) and related operations (e.g., propose design, build, systems monitoring, Incident diagnostics, troubleshooting, Resolution and escalation, security management, and capacity planning/analysis) as required to meet the City's computing requirements	X	
9. Support Data Center-related environmental elements (e.g., HVAC, dual redundant UPS, power, cable plant, fire detection and suppression systems, temperature and humidity controls, and controlled physical access with 24x7 manned security)	X	
10. Conduct applications test-to-production migration activities	X	
11. Implement and coordinate all Changes to the Data Center infrastructure including those that may affect the Service levels	X	
12. Create, maintain and provide all appropriate project plans, project time and cost estimates, technical specifications, management documentation and management reporting in a form/format that is acceptable to the City	X	

Operations and Administration

Operations and Administration Services are the activities associated with the day-to-day management of the Data Center computing environment, providing and supporting a stable infrastructure and effectively and efficiently performing operational and processing procedures to ensure Services meet SLR targets and requirements.

The following table identifies the Operations and Administration roles and responsibilities that Respondent and the City will perform.

Table 6 Operations and Administration Roles and Responsibilities

Operations and Administration Roles and Responsibilities	Respondent	City
Monitoring Operations Roles and Responsibilities		
1. Define monitoring requirements and policies		X
2. Develop and document in the Standards and Procedures Manual monitoring procedures that meet requirements and adhere to defined policies	X	
3. Review and approve monitoring procedures and Standards and Procedures Manual		X
4. Provide proactive and scheduled console monitoring of infrastructure and systems (e.g., hardware, network, batch schedule, interfaces, table spaces), respond to messages and take corrective action as required	X	
5. Develop and maintain standard automated scripts to perform monitoring on systems Software	X	
6. Identify and report Problems including system, file, disk and application Problems	X	
7. Provide troubleshooting, repair and escalation of Problems in the Data Center computing environment	X	
8. Provide preventative measures for proactive monitoring and self-healing capabilities to limit outages that impact service delivery	X	
9. Identify and report application problems	X	
10. Resolve or assist in resolving application problems in accordance with SLRs and escalate as required	X	
11. Monitor the success or failure of the startup/shutdown process for the City's environment	X	
12. Utilize information gathered from monitoring to provide feedback for continuously the overall startup/shutdown process	X	
13. Configure and monitor physical processing partitions, I/O sub-systems, channels, peripheral devices, device power, and thermal conditions (provided that the capabilities exist)	X	
14. Ensure that system devices are in accordance with the build documentation or manufacturers recommendations	X	
15. Define operator (physical) intervention as distinct from remote systems management, normally as a result of console message. This includes job starts, stops, resets and power resets for message queues and network components	X	
16. Provide primary detection and diagnosis of server environment failure and subsequent recovery including environmental failure	X	

17. Define, initiate and manage “high availability” environments including the ability to assign and reassign server resources to maintain load balancing	X	
18. Manage any component of the computing infrastructure, for example message queues, network access, and/or disk fabric	X	
19. Ensure clocks on all system devices are kept in synchronization with the central time server	X	
20. Maintain the City’s enterprise-computing configuration based on Technology Industry best practices	X	
Job Scheduling and Execution Operations Roles and Responsibilities	Respondent	City
1. Define job scheduling requirements and policies, application interdependencies, City contacts, and rerun requirements for all production jobs		X
2. Define, prepare and execute batch jobs in the test and production environments.	X	
3. Develop and document in the Standards and Procedures Manual job scheduling procedures that meet requirements and adhere to defined policies	X	
4. Review and approve monitoring procedures and Standards and Procedures Manual		X
5. Provide job scheduling, job execution, reporting and Resolution, taking into account infrastructure and system interdependencies	X	
6. Implement and manage scheduling tools for managing/automating job execution (e.g., job workflow processes, interdependencies, City contacts, and rerun requirements file exchange functions and print management)	X	
7. Monitor progress of scheduled jobs and identify and resolve issues in scheduling process	X	
8. Startup and shut-down online/interactive systems according to defined schedules or upon approved request	X	
9. Provide proper advance notice of the shutdown to the City and the users.	X	
10. Provide quality control for reprocessing activities, such as batch reruns	X	
11. Prepare job run parameters	X	
12. Validate job results per City instructions	X	
13. Notify City and maintain a history of job completion results. Maintain a database of all jobs and appropriate contracts	X	
Electronic Data Exchange Management Roles and Responsibilities	Respondent	City
1. Define electronic data exchange format requirements and policies, including transport (e.g., XML, SFTP), delivery locations, format and schedule requirements		X
2. Develop and document in the Standards and Procedures Manual procedures for performing electronic data exchange that meet requirements and conform to industry standards	X	
3. Review and approve electronic data exchange procedures and Standards and Procedures Manual		X

4. Develop and maintain a repository of all the City's electronic data exchange distribution and exchange entities	X	
5. Support electronic interfaces between the provider-managed environments and Third Parties (e.g., list)	X	
6. Execute electronic data exchange production and test distribution according to production schedules	X	
7. Monitor all electronic data exchange transactions to ensure proper completion	X	
8. Rerun transactions as required and escalate non-resolved electronic data exchange transactions to the City's contact	X	
9. Perform recovery operations for electronic data exchange transactions as required	X	
10. Interface directly with the City's electronic data exchange distribution entities according to defined, entity-unique City procedures	X	
System Administration Roles and Responsibilities	Respondent	City
1. Define system administration requirements and policies		X
2. Develop and document in the Standards and Procedures Manual procedures for performing system administration that meet requirements and adhere to defined policies	X	
3. Review and approve systems administration procedures and Standards and Procedures Manual		X
4. Process information from the City regarding employee terminations and activations/changes in order to make the necessary modifications	X	
5. Add, change, or mark inactive all user information on the necessary City systems in compliance with the State of Illinois Local Records Act	X	
6. Set up and manage End-User accounts (i.e., add new users, modify existing users, or mark inactive), perform access control, manage files and disk space and manage transaction definitions	X	
7. Notify appropriate City groups of user administration status on a quarterly basis		
8. Perform system or component configuration Changes necessary to support computing services in conformance with Change Management requirements	X	
9. Provide usage statistics reports that will be used to support chargeback and other reporting requirements	X	
Operating Environment Support	Respondent	City
1. Define system administration requirements and policies		X
2. Develop and document in the Standards and Procedures Manual all processes used to standardize server operating systems installations and follow DoIT's Information Security and Technology Policies	X	
3. Review and approve systems administration procedures and Standards and Procedures Manual		X
4. Control and use City-provided system management tools to provide the means to deliver reactive and proactive systems management		

5. Provide standard procedural deployment of operating system and firmware versions in line with City's directions and Technology Industry best practices to ensure continued consistent status of the managed server state in line with the City's maintenance schedules and service agreements	X	
6. Monitor and notify the City of updates and revisions of the operating environment for review and acceptance by the City and the raising of appropriate change controls to ensure ongoing compliance	X	
7. Install firmware upgrades to infrastructure equipment including servers and network components	X	
8. Control and maintain the base components of the operating system and underpinning software that manages the hardware and software resources of a server. This includes operating system basic tasks, such as controlling and allocating memory, prioritizing the processing of instructions, controlling input and output devices, facilitating networking and managing files	X	
9. Provide ongoing analysis of vendor security and patch releases for review and recommendation to the City for appropriate upgrades, on acceptance of recommendation, preparation and fulfillment of non-standard requests for changes	X	
10. Develop, deploy and maintain appropriate operating level scripts written to automate the delivery of operating system level activities, including logon scripts, remedial task automation and status review activities	X	
Toolsets Support	Respondent	City
1. Provide Technology Industry best practice for toolsets support requirements and policies	X	
2. Develop and document in the Standards and Procedures Manual procedures for performing toolsets support that meet requirements and adhere to defined policies	X	
3. Review and approve toolsets support procedures and Standards and Procedures Manual		X
4. Provide business as usual maintenance of required status of management tool agents on managed servers and the process driven distribution of these agents to new systems as they come under management	X	
5. Provide fitness for purpose design and support to ensure that the management tool is configured to access and control the appropriate resources and data. Doing so will generate information used to analyze and diagnose performance and disruptions to the accepted levels of operation of the system and provide the input of data for appropriate service level reports	X	
6. Provide real-time proactive monitoring and analysis of current state of system performance and behavior. This allows the skilled systems management staff to carrying out remedial tuning tasks maintaining the required availability and functionality of the server infrastructure	X	

7. Provide monitoring of low level system alerts to ensure that underlying resource use trends are noted and acted upon before actual incidents affecting end-user experience of the service are generated. Maintain ongoing ownership of the knowledge management of the systems management toolset, to ensure that the deployment and design of said tools reflects reporting, threshold and exception alerting criteria required to deliver the service standards needed	X	
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Storage and Data Management

Storage and Data Management Services are the activities associated with the deployment and day-to-day management of the installed Data Center storage and data environment (e.g., direct access storage devices (DASD), redundant array of independent disks (RAID), storage area Network (SAN), Network-attached storage (NAS), tape and optical), providing a stable supporting infrastructure and effectively and efficiently performing procedures to ensure Services meet SLR targets and requirements. Ensure all storage systems are utilizing Active Directory. City Departments will require NAS administrative of the User and Shared Storage. The following table identifies the Storage and Data Management roles and responsibilities that Respondent and the City will perform.

Table 7 Storage and Data Management Roles and Responsibilities

Storage and Data Management Roles and Responsibilities	Respondent	City
1. Recommend Provider-standards Storage and Data Management procedures	X	
2. Develop, document and maintain in the Standards and Procedures Manual Storage and Data Management Respondent procedures that meet the City's requirements and adhere to the City's policies	X	
3. Review, provide additional procedures as required and approve Storage and Data Management Standards and Procedures Manual		X
4. Provide data storage services (e.g., RAID array, SAN, NAS, tape, optical, etc.)	X	
5. Monitor and control storage performance according to technical specifications, Storage and Data Management policies, and perform tuning as required	X	
6. Maintain and improve storage resource efficiency	X	
7. Maintain data set placement and manage data catalogs	X	
8. Perform data and file backups and restores per established procedures and SLRs	X	
9. Manage file transfers and other data movement activities scheduled and ad-hoc requests	X	
10. Provide input processing, for activities such as loading Third Party media (e.g., tape) and receipt and/or transmission of batch files	X	
11. Acquire and manage consumables, such as tape and disks in support of the backup requirements		X
12. Remove or archive expired data as requested by the City following the legal hold, retention and deletion policies	X	
	X	

Storage and Data Management Roles and Responsibilities	Respondent	City
Media Operations Roles and Responsibilities	Respondent	City
1. Recommend Respondent-standard Media Operations procedures	X	
2. Develop, document and maintain in the Standards and Procedures Manual Media Operations Respondent procedures that meet the City's requirements and adhere to the City's policies	X	
3. Review, provide additional procedures as required and approve Standards and Procedures Manual for Media Operations		X
4. Maintain a media library and media management system	X	
5. Manage the media inventory to ensure that adequate media resources are available. Coordinate acquisition of additional media as needed with the Data Center Manager	X	
6. Manage input media availability to meet processing SLRs	X	
7. Load and manage third party media	X	
Disk Management Roles and Responsibilities	Respondent	City
1. Recommend Respondent-standard Disk Management procedures	X	
2. Develop, document and maintain in the Standards and Procedures Manual Disk Management respondent procedures that meet the City's requirements and adhere to the City's policies	X	
3. Review, provide additional procedures as required and approve Standards and Procedures Manual for Disk Management		X
4. Manage disk and storage arrays by ensuring adequate physical disk is allocated to accommodate current and future growth. This includes archiving non-current data and the deletion of expired data in line with the City Policy. This includes disc reorganization to optimize performance based on industry guidelines and data management by inspection of data types to ensure volumes are consistent with the City policy	X	
5. Provide periodic monitoring and analysis of disc and storage arrays in terms of usage (consumption and 'hot-spots') and location (for example low value data on high speed/available disc) to include events based on threshold high/low water marks and output data as a feed for trend analysis and capacity forecasting	X	
6. Modify and upgrade the allocation of disc-arrays and disc packs based on business requirements/industry best practice and driven from the monitoring of activities to meet the business demand. Includes hot-spot relocation for storage area networks and restructuring embedded file systems	X	
7. Provide periodic monitoring and analysis of disc and storage arrays in terms of size, location, type for exceptions based on policy especially related to the City end user devices. Produce exception reporting as needed	X	
8. Remove and archive or delete expired data, in conjunction with the City legal archive, retention and deletion policies	X	
9. Provide for the initialization, recovery and resizing of file systems as required by either the Service Level Agreements or based on utilization and/or projected growth	X	

Database Administration

Database Administration Services are the activities associated with the maintenance and support of existing and future databases. This includes responsibility for managing data, namely data set placement, database performance, and data recovery and integrity at a physical level. The following table identifies the Database Administration roles and responsibilities that Respondent and the City will perform.

Table 8 Database Administration Roles and Responsibilities

Database Administration Roles and Responsibilities	Respondent	City
1. Define database administration requirements and policies including authorization requirements for end-users, roles, schemas, etc., and approve Change requests		X
2. Develop and document in the Standards and Procedures Manual Database Administration procedures that meet requirements and adhere to defined policies	X	
3. Review and approve Database Administration procedures and Standards and Procedures Manual		X
4. Provide security administration including managing role and end-user database permissions in accordance with the City's policies	X	
5. Perform database restores from export dumps or backups	X	
6. Create/refresh Development/Test/QA databases from production data	X	
7. Execute authorization Service Requests	X	
8. Define and provide database creation, configuration, upgrade, patches and refresh requirements		X
9. Execute database creation, configuration, upgrades, patches and refresh	X	
10. Execute all database system-level Changes (initialization parameters)	X	
11. Execute all schema Changes for all instances	X	
12. Define and provide database data definition requirements for applications (IMAC for tables, triggers, attributes, etc.)		X
13. Execute database data definition requirements for applications (IMAC for tables, triggers, attributes, etc.)	X	
14. Maintain documentation for all database instance parameters and system settings	X	
15. Maintain consistent database parameters and system settings across all like instances; consistency must be maintained according to established development to QA to production life cycle	X	
16. Define database definition and manipulation requirements for applications and developer schemas		X
17. Execute database data definitions for applications and developer schemas	X	
18. Define and execute database performance and tuning scripts, and keep database running at optimal performance for City's workload	X	

Database Administration Roles and Responsibilities	Respondent	City
19. Implement and administer appropriate database management tools across all database instances. Performance metrics and historical data must be available for trending and reporting over a minimum of 6 months	X	
20. Identify locking conflicts, latch contention, rollback requirements, etc., for all database instances	X	
21. Resolve locking conflicts, latch contention, rollback requirements, etc., for all database instances		X
22. Provide technical assistance and subject matter expertise to the City's application developers and Third Party vendor support	X	
23. Provide data dictionary expertise, End-User data assistance, Data Warehouse Metadata definition, data mapping functions and creation of data cubes		X
24. Monitor database and generate automatic Help Desk Trouble Tickets for Problems	X	
25. Open, track and manage to resolution all database problems	X	
26. Patch database software as needed according to established development to QA to production life cycle	X	
27. Manage database communication software configuration, installation and maintenance	X	
28. Provide database storage management	X	
29. Define database backup schedules, retention periods, levels (i.e., full, incremental or differential)		X
30. Execute the City's database backup and recovery policies	X	

Data Backup

Data Backup Services are the activities associated with the backing up and support of the City's data. The following table identifies the Data Backup roles and responsibilities that Respondent and City will perform.

Table 9 Data Backup Roles and Responsibilities

Data Back-up Roles and Responsibilities	Respondent	City
1. Define Data Backup requirements and policies		X
2. Develop and document in the Standards and Procedures Manual Data Backup procedures that meet requirements and adhere to defined policies	X	
3. Review and approve Data Backup Standards and Procedures Manual		X
4. Execute monitor and report on the backup, recovery and archive activity within the City environment. Provide backup schedules, physical media management and effectiveness reporting (success/failure rates)	X	
5. Perform media backup processing, on a centralized basis including periodic testing of media backups to ensure media readability	X	
6. Restore/recover lost or damaged files or data from backup media upon client request in accordance with the media and data catalogue	X	

Data Back-up Roles and Responsibilities	Respondent	City
7. Review accuracy of backup procedures for timely backup & restore	X	
8. Define maintain and schedule automated media devices including auto-identification and tagging	X	
9. Maintain a usage/available register to ensure adequate physical media is available to meet actual and forecast usage. Perform defined escalation when thresholds are exceeded	X	
10. Support secure storage of client media at the Data Center or client site location, maintaining records of media movement and provide periodic reporting/audits of media stored on-site	X	
11. Secure destruction and disposal of obsolete or damaged media	X	
12. Deploy, Configure and Manage provided Toolsets	X	

Offsite Storage Management

Offsite Storage Management Services are the activities associated with the offsite storage and support of the City's data. The following table identifies the Offsite Storage Management roles and responsibilities that Respondent and City will perform.

Table 10 Offsite Storage Management Roles and Responsibilities

Off-site Storage Management Roles and Responsibilities	Respondent	City
1. Define Offsite Storage Management requirements and policies		X
2. Develop and document in the Standards and Procedures Manual Off-site Storage Management procedures that meet requirements and adhere to defined policies	X	
3. Review and approve Offsite Storage Management Standards and Procedures Manual		X
4. Receive and manage any input (e.g. tapes) from nominated parties and dispatch any output (e.g. tapes, printout) to nominated parties	X	
5. Maintain processes for file transfer to/from the server configuration and to/from end user systems and verify successful transfer	X	

Service Management

A key objective of the Agreement is to attain Service levels with Service Credits and Earn Back where business is impacted through failure to meet Service performance requirements, mission-critical system requirements or meet Critical Milestones or objectives. SLRs are detailed in the following sections and those associated with Service Credits and Earn Back are identified in Respondent shall provide written reports to the City regarding Respondent's compliance with the SLRs specified in this SOW.

Table 11 Actions by Respondent

Definition	Actions by Respondent for proactive monitoring and intervention to minimize capacity bottlenecks and activities required to implement system capacity and operational usage Change requests. Advise the City of the need to optimize performance via timely reporting of critical service measures.
SLA Applicable?	No

Definitions

Attachment N (Definitions) of the Agreement provides a list of terms that apply to this SOW and the following SLRs.

Service-Level Requirements (SLRs)

The following minimum Service levels are required at the end of the Transition Period. Respondent must consistently meet or exceed the following SLRs. SLRs associated with Service Credits and Earn Back are identified as “Critical” (i.e., “SLA Applicable”). All SLAs are further detailed in Section 5.6— Service Credits and Earn Back and Appendix 5.1 - SLR Weightings. **All times referenced are in Central Time.**

Respondent is to provide in Appendix 5.2 Compensation Schedule-BaselineData.xlsx- Section 4.4 - Data Center Option an alternate Compensation for "4" nine's service for all "Critical" servers.

Table 12 System Availability SLRs

Definition	System Availability is defined as the availability of in-scope infrastructure components required to conduct the normal business operation of the City's application systems including processors (e.g., CPU, memory, storage), external storage, system Software and Network connection. Excludes scheduled maintenance. Availability will be measured based on the availability of the City applications to conduct normal business operation and is for the single unit and is not the availability of the aggregated systems.
Pre-scheduled Downtime Requirements	All pre-scheduled system downtime, unless otherwise agreed upon in advance by the City, will occur: <ul style="list-style-type: none"> For the systems with 24x7x365 requirements—all pre-scheduled maintenance shall be performed between the period beginning 0300 to 0600 For systems having non-24x7x365 requirements—pre-scheduled maintenance shall be performed between the period beginning 0300 to 0600
SLA Applicable?	See Appendix 5.1 - SLR Weightings

System Availability Service-Level Requirements			
System	Service Measure	Performance Target	SLR Performance %
Windows Production Servers (Business Critical)	Per Server Availability	Sun.–Sat., 0000–2400	99.99%
Windows Production Servers (Critical)	Per Server Availability	Sun.–Sat., 0000–2400	99.9% -99.99%

System Availability Service-Level Requirements			
System	Service Measure	Performance Target	SLR Performance %
Windows Production Servers (Non-critical)	Per Server Availability	Mon.–Fri., 0600-2100	99.90%
Unix Production Servers (Business Critical)	Per Server Availability	Sun.–Sat., 0000–2400	99.99%
Windows Production Servers (Critical)	Per Server Availability	Sun.–Sat., 0000–2400	99.99%
UNIX Production Servers (Non-critical)	Per Server Availability	Mon.–Fri., 0600-2100	99.90%
Linux Production Servers (Business Critical)	Per Server Availability	Sun.–Sat., 0000–2400	99.99%
Linux Production Servers (Critical)	Per Server Availability	Sun.–Sat., 0000–2400	99.99%
Linux Production Servers (Non-critical)	Per Server Availability	Mon.–Fri., 0600-2100	99.90%
QA/Test Systems and Servers	Per Server Availability	Mon.–Sat., 0600-2100	98.00%
Development Servers	Per Server Availability	Mon.–Sat., 0600-2100	95.00%
	Formula	Availability (%) = 100% – Unavailability (%) Where Unavailability is defined as: $(\sum \text{Outage Duration} \times 100\%) \div (\text{Schedule Time} - \text{Planned Outage})$ Availability is per server availability and is NOT an aggregate of the servers availability.	
	Measurement Interval	Measure Daily	
	Reporting Period	Report Monthly	
	Measurement Tool	TBD	

Table 13 Server Deployment SLRs

Definition	Server deployment is defined as preparing and installing physical or virtual servers to conduct the normal business operation of the City's application systems including processors (e.g., CPU, memory, storage), external storage, system Software and Network connection. Normal hours for these SLRs are Mon.–Fri., 0600-2100.
SLA Applicable?	See Appendix 5.1 - SLR Weightings

System Availability Service-Level Requirements			
System	Service Measure	Performance Target	SLR Performance %
Windows Production Servers (Critical)	Elapsed Time	< 8 hours	99.97%
Windows Production Servers (Non-critical)	Elapsed Time	< 24 hours	99.95%
Unix Production Servers (Critical)	Elapsed Time	< 8 hours	99.97%
Unix Production Servers (Non-critical)	Elapsed Time	< 24 hours	99.95%
Linux Production Servers (Critical)	Elapsed Time	< 8 hours	99.97%
Linux Production Servers (Non-critical)	Elapsed Time	< 24 hours	99.95%
QA/Test Systems and Servers	Elapsed Time	< 48 hours	98.00%
Development Servers	Elapsed Time	< 48 hours	95.00%
	Formula	Transactions completed within Performance Target / Total Transactions	
	Measurement Interval	Measure Daily	
	Reporting Period	Report Monthly	
	Measurement Tool	TBD	

Table 14 Application Platform Response Time SLRs

Definition	Response time for critical applications including e-Mail, e-Discovery, etc. A list of applications supported are indicated in Attachment E Software List.
SLA Applicable?	See Appendix 5.1 - SLR Weightings

Application Platform Online Response Time Service-Level Requirements			
Application Platform	Service Measure	Performance Target	SLR Performance %
Production Unix	Online Response Time	90% of transactions complete ≤0.5 seconds 95% of transactions complete ≤1.0 seconds 100% of transactions complete ≤3.0 seconds	99.50%
Unix Development, Test and QA	End-to-End Response Time	90% of transactions complete ≤1.0 seconds 95% of transactions complete ≤1.5 seconds 100% of transactions complete ≤2.0 seconds	99.50%

Application Platform Online Response Time Service-Level Requirements			
Application Platform	Service Measure	Performance Target	SLR Performance %
Production Windows	Online Response Time	90% of transactions complete ≤1.0 seconds 95% of transactions complete ≤1.5 seconds 100% of transactions complete ≤3.0 seconds	99.50%
Windows Development, Test and QA	End-to-End Response Time	90% of transactions complete ≤1.0 seconds 95% of transactions complete ≤1.5 seconds 100% of transactions complete ≤3.0 seconds	99.50%
Production Linux	Online Response Time	90% of transactions complete ≤1.0 seconds 95% of transactions complete ≤1.5 seconds 100% of transactions complete ≤3.0 seconds	99.50%
Linux Development, Test and QA	End-to-End Response Time	90% of transactions complete ≤1.0 seconds 95% of transactions complete ≤1.5 seconds 100% of transactions complete ≤3.0 seconds	99.50%
Intranet/Extranet Web Systems	End-to-End Response Time	80% of transactions complete ≤1.5 sec 95% of transactions complete ≤2.5 sec 99.9% of transactions complete ≤3.5 sec	99.90%
Internet Web Service	End-to-End Response Time	50% of transactions complete ≤5.0 sec 80% of transactions complete ≤30 sec 99.9% of transactions complete ≤2 min	99.90%
	Formula	Performance = Transactions completed within Performance Target ÷ Total Transactions	
	Measurement Interval	Measure at 30 minute intervals	
	Reporting Period	Report Monthly	
	Measurement Tool	TBD	

Table 15 General Administrative Functions SLRs

Definition	Routine Data Center functions that are required to meet the City's workload requirements.
SLA Applicable?	No

General Administrative Functions Service-Level Requirements			
General Administration Task	Service Measure	Performance Target	SLR Performance %
Notification of Incident Priority Level 1 Outage to Help Desk	Response Time	≤10 minutes of discovery	99.90%

General Administrative Functions Service-Level Requirements		
	Formula	Number of requests completed within Performance Target ÷ Total of all requests occurring during Measurement Interval
	Measurement Interval	Measure Weekly
	Reporting Period	Report Monthly
	Measurement Tool	TBD

Table 16 System Administration SLRs

System Administration Service-Level Requirements			
System Administration Task	Service Measure	Performance Target	SLR Performance %
Advise City of need to allocate additional processing resources based on pre-defined parameters and observed growth patterns	Proactive monitoring and reporting to City of need to increase capacity	Sustained average daily CPU utilization approaches 70% of installed processor capacity—Inform City within 1 Business Day	99.00%
On-Demand CPU Processing capability Change requests	Elapsed Time	Increases/decreases of ±20% of baseline CPU processing capability within 2 days	99.00%
Advise City of need to allocate additional storage resources based on pre-defined parameters and observed growth patterns	Proactive monitoring and reporting to City of need to increase capacity	Total monthly storage capacity utilization measured in GBs used approaches 80% of installed capacity—Inform City within 1 Business Day	99.00%
On-Demand disk storage capacity Change requests	Elapsed Time	Increases/decreases of ±10% of installed storage capacity within 7 Business Days	99.00%
System security requests (RACF, ACF2)	Response Time	Next Business Day	99.00%
Deploy service/security patches/antivirus updates necessary to fix/repair environment vulnerabilities	Response Time	Same Business Day as signoff, subject to agreed-upon Change Management procedures	99.00%

System Administration Service-Level Requirements			
System Administration Task	Service Measure	Performance Target	SLR Performance %
Capacity/Performance Trend Analysis and Reporting across all platforms	Monthly measurement/ analysis and periodic notification on resource utilization and trends for critical system resources	Monthly analysis reports Interim reports on rapidly developing events and trends identification	99.0%
	Formula	Number of requests completed within Performance Target ÷ Total of all requests occurring during Measurement Interval	
	Measurement Interval	Measure Weekly	
	Reporting Period	Report Monthly	
	Measurement Tool	TBD	

Table 17 Server Software Refresh SLRs

Definition	Software refresh for all upgrades and new releases.
SLA Applicable?	No

Server Software Refresh Service-Level Requirements			
Server Software Refresh	Service Measure	Performance Target	SLR Performance %
Notification of vendor Software upgrades and new releases	Elapsed Time	Within 3 days for “critical” upgrades and releases – as defined by the vendor. Notify “Non-critical” upgrades and releases during monthly status meetings with the City.	95.00%
Implementation of service packs and updates to “dot” releases	Elapsed Time	Next available window as approved by the City	95.00%
Implementation of version or major release updates	Elapsed Time	Within 120 days after approved by City	95.00%
	Formula	Number of requests completed on time ÷ Total of all requests occurring during Measurement period	
	Measure Interval	Measure Monthly	
	Reporting Period	Report Monthly	
	Measurement Tool	TBD	

Server Software Refresh Service-Level Requirements			
Server Software Refresh	Service Measure	Performance Target	SLR Performance %

Table 18 Database Administration SLRs

Definition	Performance of all Database Administration tasks including, but not limited to, Software installation, patching, performance monitoring and tuning, instances creation and refresh, and recovery operations. For Service level measurement, production requests MUST be executed within the highest Service level. A list of Databases to be managed is indicated in Attachment G MS SQL Server List.
SLA Applicable?	No

Database Administration Service Level Requirements			
Administration Type	Service Measure	Performance Target	SLR Performance %
Instance Creation and Refresh	Elapsed Time	Create = 2 Business Days Refresh = 1 Business Day	95.00%
Create End-User ID, Grants, Revokes, Create table space, other data definition requests	Elapsed Time	2 hours (1–5 requests daily) 4 hours (6–10 requests daily) 2 Business Days >10 daily Based on a per-database request	95.00%
Schema changes and stored procedures	Elapsed Time	1 Business Day Based on a per-database request	95.00%
Performance tuning and maintenance	Elapsed Time	Proactive monitoring and preemptive intervention to maintain required performance levels Two hours to respond to ad hoc requests	95.00%
Database Refresh Type	Service Measure	Performance Target	SLR Performance %
Individual patches and requisite patches per database	Elapsed Time	Same Business Day as signoff by City, completed within Availability SLRs	95.00%
Service packs and updates to “dot” releases	Elapsed Time	Within 5 Business Days of signoff by the City. Required downtime is outside of the normal Availability SLRs.	95.00%
Version or major release updates	Elapsed Time	Within 5 Business Days of signoff by the City. Required downtime is outside of the normal Availability SLRs.	95.00%
	Formula	Total number of events completed within Performance Target ÷ Total number of events scheduled, due or required	
	Measurement Interval	Measure Weekly	
	Reporting Period	Report Monthly	

Database Administration Service Level Requirements			
Administration Type	Service Measure	Performance Target	SLR Performance %
	Measurement Tool	TBD	

Table 19 Data Retrieval Table

Definition	Activities and actions that must be taken in response to City's request for specific data elements.
SLA Applicable?	See Appendix 5.1 - SLR Weightings

Messaging Monitoring and Management Services Table			
Monitoring and Management Service Type	Service Measure	Performance Target	Minimum Performance %
Respond to Data Retrieval Requests	Elapsed Time	<1 day	99.00%

Table 20 Data Center Reports

Respondent shall provide written reports to the City regarding Respondent's compliance with the SLRs in addition to the reports specified in this Section. Reports are required per the following table.

Report Description	Timing
TBD	

Section 4.5 End User Computing

End User Computing Overview

This Section 4.5 (End User Computing SOW) is the Statement of Work (or "SOW") that sets forth the roles and responsibilities of the Parties for the distributed computing support services ("End User Computing") provided under the Agreement as part of the Services. End User Computing are the Services and activities, as further detailed in this SOW, required to provide and support City's End User infrastructure. Respondent shall support the City-standard approved End User infrastructure environment that includes:

- Desktop computing hardware devices and associated system Software.
- Laptop/notebook and tablet computing hardware devices and associated system Software.
- Business productivity Software and City applications that are part of City-standard approved computing device image(s).
- Network-attached printers, scanners, multi-functional devices (e.g., printer/scanner/fax) and copiers that are attached to the local-area network (LAN) with the exception of those multi-function devices supported under separate City contract, currently held by

Canon and managed by the City's Department of Fleet and Facility Management. Generally, these are only allowed in the City's environment with limited and approved exceptions.

- Locally attached peripheral devices (e.g., personal printers). These are only allowed in the City's environment with limited and approved exceptions.

In addition to the Services described in this SOW, Respondent is responsible for providing the Services described in Section 4.8—Cross-Functional Services SOW.

Service Objectives

The primary drivers for this RFP are to 1) continuously improve the quality of services, 2) reduce or manage the growth in costs for providing IT services, 3) develop agreements that support the City's future information technology needs, 4) provide flexibility in the deployment of IT services, and 5) improve innovation capabilities.

The following are the key high-level Service objectives the City expects to achieve through the procurement of services resulting from this RFP solicitation:

- Meet City business needs for highly available, reliable, scalable and secure Services.
- Maintain compliance with industry standards (e.g., ITIL) and government regulations (e.g., HIPAA, PCI, CJIS, FERPA, etc.).
- Acquire Services with Availability guarantees backed by Service-Level Requirements (SLRs).
- Acquire Services that can leverage operational scale and best practices to achieve optimum commercial price performance.
- Acquire ongoing feedback mechanisms to ensure performance meets expectations.

The following are the key high-level Service objectives that the City expects to achieve through End User Computing and this End User Computing SOW:

- Meet City business needs for highly Available, reliable and secure Services.
- Acquire Services with Availability guarantees backed by Service-Level Requirements (SLRs).
- Improve desktop and End-User SLRs.
- Improve End-User productivity.
- Standardize the desktop environment (hardware and software).
- Improve security, data management, and backup in the desktop environment.
- Improve asset management and control.
- Improve total cost of ownership management.
- Support business initiatives.
- Support Hardware Asset Management
- Support Software Asset Management

- Support Image Management
- Support Patch Management
- Support LANDesk tool migration to SCCM for Police and OEMC
- Support SCCM
- Support Software Packaging and Distribution
- Improve Security
- Support end user security products.

Scope of the Infrastructure to Be Supported

The following subsections and related Service Environment Appendices further describe and scope the End User Computing environment to be supported and/or with which Respondent shall comply. These Service Environment Appendices are to be maintained by Respondent, reviewed with City, and updated by Respondent and made available to City on a quarterly basis.

Agencies that are in Scope

“Attachment U Agencies in Scope” list the City of Chicago agencies that are in scope.

On-Site Staffing Requirements

Respondent will be responsible for providing appropriately skilled staffing to meet the End User Computing Roles and Responsibilities and Service Levels set forth in this SOW. Upon request, the City has the right to ask service provider to remove or replace employees.

In addition to regular Help Desk staff to support City and City Agencies calls for issues and requests, Aviation, OEMC and CPD have special public safety needs that require dedicated on-site Help Desk and management support. The Required Staffing is in Attachment T.

Policies, Procedures and Standards

The City IT Security and Policies are in Attachment L CoC_IT_IS_Policy_Set_ver_RC_05.pdf.

The Respondent will review current city Policies and recommend best practices and document procedures with City Approval.

Agreements and Licenses

A list of End User Computing-related agreements and licenses will be provided to the Respondents in the Discovery phase of the engagement.

Work-In-Progress

The City potentially has a number of End User Computing-related initiatives in progress that are included in the scope of this SOW and may impact Services. Such projects are the responsibility of Respondent to complete within the time frames specified by the City. A list of these projects will be provided during Discovery phase.

End User Computing Requirements

In addition to the Services, activities, and roles and responsibilities described in Section 4.8 - Cross-Functional Services SOW, Respondent shall be responsible for the following End User Computing.

General Responsibilities

The following table identifies General roles and responsibilities associated with this SOW. An "X" is placed in the column under the Party that will be responsible for performing the task. Respondent responsibilities are indicated in the column labeled "Respondent."

Table 21 General Roles and Responsibilities

General Roles and Responsibilities	Respondent	City
1. Define Distributed Computing/End-User requirements and policies		X
2. Identify Technology Industry best practices for Services, standards, and procedures for supporting the Distributed Computing environment/End-Users	X	
3. Review and approve documented Services, standards, and procedures for supporting the Distributed Computing environment/End-Users		X
4. Procure and own desktop and laptop hardware and Software to be used by City staff (e.g., operating system, personal productivity and office automation Software)		X
5. Manage and review the agreed upon software environment to ensure the software component levels are in accordance with vendor specifications where applicable.	X	
6. Verify software configurations and review version levels for hardware under management on a periodic basis.	X	
7. Regularly monitor "managed hardware" for unauthorized software versions and provide a quarterly exception report identifying the end-user device and the software that is non-compliant.	X	
8. Deploy and manage desktop and laptop hardware and software.	X	
9. Procure and own locally attached printers, storage devices and miscellaneous peripherals, which are only allowed via limited approved exceptions		X
10. Deploy and manage locally attached printers, storage devices and miscellaneous peripherals, which are only allowed via limited approved exceptions	X	
11. Support remote access Services for City personnel in remote or home locations	X	
12. Provide Level 2 support for in-scope Software as coordinated through the Help Desk	X	
13. Provide desktop/laptop Break/Fix and Level 2 support for hardware as coordinated through the Help Desk	X	
14. Provide Incident determination, Root Cause Analysis and Resolution	X	
15. Provide support for external audits (e.g., financial, PCI, etc.)	X	
16. Provide Asset management for City Equipment	X	
17. Maintain SCCM configuration and use SCCM to provide desktop engineering services	X	

General Roles and Responsibilities	Respondent	City
18. Migrate Public Safety LANDesk instance to SCCM software	X	
19. Review and approve Standards and Procedures Manual for End-User Computing		X

Core Software Image Build and Deployment Services

Core Software Image Build and Deployment Services are the activities associated with building and deploying Core Software Images. Core Software is defined as the suite of Software programs used to build a City-defined standard image for a supported device (e.g., OS Software, office productivity and messaging Software, security tools, remote connectivity Software). The following table identifies the Core Software Image Build and Deployment roles and responsibilities that Respondent and City will perform. End user devices may be imaged by the OEM prior to shipping.

Table 22 Core Software Image Build and Deployment Roles and Responsibilities

Core Software Image Build and Deployment Roles and Responsibilities	Respondent	City
1. Define Core Software Build and Deployment requirements and policies		X
2. Develop and document in the Standards and Procedures Manual Core Software Build and Deployment procedures that meet requirements and adhere to defined policies	X	
3. Review and approve Core Software Build and Deployment Standards and Procedures Manual		X
4. Provide technical assistance for defining Core Software Image(s) Specifications for desktops, laptops, servers and other in-scope Devices	X	
5. Develop and document detailed technical Specifications that define and support the build, test and deployment plans for the standard Core Software Image(s)	X	
6. Review and approve standard Core Software Image Specifications		X
7. Build Core Software Images for servers and other end user devices as needed	X	
8. Conduct system-level and End-User testing of Core Software Image(s) to validate that these perform in accordance with the approved Specifications and can be deployed successfully and operate with all supported applications, hardware and Software	X	
9. Review and approve Core Software Image(s) testing results		X
10. Approve Core Software Image(s) for deployment		X
11. Provide necessary utilities/tools to maintain and ensure compliance with Core Software Image deployment/management policies and procedures		X
12. Manage deployment efforts using formal project management tools, methodologies and standards (e.g., ITIL change and configuration management practices)	X	
13. Deploy approved Core Windows, Linux, and Mac Software Image(s) on applicable devices and servers	X	
14. Administer Software distribution tools	X	

Core Software Image Build and Deployment Roles and Responsibilities	Respondent	City
15. Recreate End-User desktop and laptop environment to previous state including base build plus all End-User-specific features, functions and applications, as required	X	
16. Automate Core Software Image deployment processes (e.g., remote electronic upgrading of desktop and laptop images). These activities may also be conducted by OEM via the City.	X	X
17. Manage deployment of OS, security products, software releases, and patches	X	
18. Conduct deployment reviews and provide results to City	X	
19. Review and approve results of deployment reviews		X
20. Comply with all software licensing agreements and requirements that apply to the City, its employees, and third-party contractors.	X	
21. Document licensed software inventory and expiration dates.		X

Application Software Image Build and Deployment Services

Application Software Image Build and Deployment Services are the activities associated with building and deploying Application Software Image for non-core software. Application Software is defined as any non-core Software package (e.g., City COTS and custom-developed applications). The following table identifies the Application Software Image Build and Deployment roles and responsibilities that the Respondent and City will perform.

Table 23 Application Software Image Build and Deployment Roles and Responsibilities

Application Software Image Build and Deployment Roles and Responsibilities	Respondent	City
1. Define Application Software Image Build and Deployment requirements and policies		X
2. Use toolkit to create image(s) for maximum portability and compliance with deployment tools.	X	
3. Develop and document in the Standards and Procedures Manual Application Software Image Build and Deployment procedures that meet requirements and adhere to defined policies	X	
4. Review and approve Application Software Image Build and Deployment Standards and Procedures Manual		X

Application Software Image Build and Deployment Roles and Responsibilities	Respondent	City
<p>5. Provide technical assistance for defining Application Software Image Specifications and deployment plans</p> <ul style="list-style-type: none"> • Baseline and maintain an agreed catalog of managed and packaged applications in line with the standard operating environment. • Provide ongoing application packaging planning by understanding the City's business drivers, values and assessing the current state and understanding of future application packaging requirements. This would include the definition of packaging and deployment standards, acceptance criteria and process interfaces for discovery and delivery that reflect both industry best practice and the City's needs. • Identify and document the application package and its installation requirements including confirmation of ownership, use, and detailed compatibility requirements. Identify the most suitable packaging and deployment mechanisms. Create the application package to the required functional and aesthetic standard. Identify and resolve any issues with the standard operating environment, core and/or strategic applications, and City's security requirements. 	X	
<p>6. Review and approve Application Software Image Specifications and deployment plans</p>		X
<p>7. Build City Application Software Image</p> <ul style="list-style-type: none"> • Design and build application package and testing environment including creation of templates and tracking methods to document and enforce processes and standards. • Build and test agreed standard operating environment software configurations (including historical versions if appropriate) based on the functional needs and specifications which may include applications, operating systems, service packs and systems software and hardware drivers, security requirements and specialist requirements. • Conduct integration testing in a lab environment of the agreed packages on the agreed target operating system images and platforms to ensure that package install, uninstall and repair occurs without significant issue and to documented standards. Obtain End-User acceptance and handover final deliverables to the deployment team for release and distribution. • Provide quality assurance reviews of the documented package. • Update City Images on minimum quarterly schedule to provide security patches, critical updates, service packs, and functional additions. 	X	
<p>8. Conduct End-User testing of Application Software Image(s) to validate that they perform in accordance with the City approved specifications and can be deployed successfully and operate with all supported applications, hardware and Software</p>		X
<p>9. Work with DoIT's Information Security Office to align with security patch release schedules.</p>	X	
<p>10. Approve Application Software Image(s) for deployment</p>		X

Application Software Image Build and Deployment Roles and Responsibilities	Respondent	City
11. Manage deployment efforts using formal project management tools, methodologies and standards (e.g., ITIL change and configuration management practices)	X	
12. Electronically or manually deploy approved Application Software Image(s) on applicable devices or servers	X	
13. Conduct Application Software deployment reviews and provide results of reviews to City	X	
14. Review and approve results of Application Software deployment reviews		X
15. Obtain a signature from the end user prior to re-imaging the PC.	X	
16. Deployment in two phases - pilot and production.	X	
17. Deploy in production only after successful pilot introduction	X	
18. Deployment stop thresholds and roll back steps are identified and part of deployment plan.	X	

Install, Moves, Adds, Changes (IMACs)

IMAC Services are the activities associated with providing routine installations, relocations, upgrades and disposals of Distributed Computing hardware and Software.

The following table identifies the IMAC Services roles and responsibilities that the Respondent and City will perform.

Table 24: Install, Moves, Adds, Changes (IMACs) Roles and Responsibilities

Install, Moves, Adds, Changes (IMACs) Roles and Responsibilities	Respondent	City
1. Define IMAC requirements and policies		X
2. Develop and document in the Standards and Procedures Manual IMAC procedures that meet requirements and adhere to defined policies	X	
3. Review and approve IMAC Standards and Procedures Manual		X
4. Conduct pre-installation and site survey activities (e.g., Network connectivity, power, data jack preparation) in accordance with the procedures and specific Service Request	X	
5. Build, configure and test the in accordance with the standard hardware configuration(s) and Software Image and in accordance with the procedures and specific Service Request	X	

Install, Moves, Adds, Changes (IMACs) Roles and Responsibilities	Respondent	City
<p>6. Perform hardware and Software IMACs, re-installations, and de-installations in accordance with the specific Service Request, procedures and other application policies (e.g., security policies).</p> <p>Installation activities include:</p> <ul style="list-style-type: none"> • Preload Operating System (OS) and the City application software • Affix Asset Tag • Perform customary checks with randomly selected End Users to verify satisfaction with installation procedures • Install new workstations/printers/laptops and de-install the existing equipment at the City locations. • Perform the interconnection of system components. • Verify that the unit will pass the initial Power on Confidence (POC) test. • Ensure that the device will boot up to an OS prompt. • Record Serial Nos. and Asset Tag information and include that information in the call closure record. • Transport device from the warehouse to the designated End-User location. • Initiate the installation request once it has been verified that the device has arrived to the location at which the device is to be installed. • Relocate all de-installed equipment to a City specified location. <p>De-installation activities include:</p> <ul style="list-style-type: none"> • Removal of old device from work area. • Formatting device hard drive(s) to remove any data on the existing hard drive(s) or re-image device per the City's direction. • Remove City Asset Tag. • Placement of old device in the packaging from the new device, if possible, or in other City provided packaging. • Placements of the boxes or old replaced device in a storage area designated by the City. • Disposal of old device in accordance with any laws or regulations governing the disposal of the materials contained in such equipment. 	X	
7. Conduct data and application migration that is necessary due to any hardware or software IMACs and re-installations	X	
8. Update necessary management tools (e.g., asset management database) with required data and Close an IMAC Service Request	X	
9. Provide basic End-User or technical staff orientation as needed when installing a new desktop/laptop	X	
10. Coordinate with Help Desk and all other necessary Third-Party and City support organizations to manage all IMAC Service Requests to Resolution and Closure	X	
11. Ensure that security products (Anti-Virus, Full Disk Encryption tool, etc) are properly installed and managed.	X	
12. Ensure that device software is properly installed and managed.	X	

Install, Moves, Adds, Changes (IMACs) Roles and Responsibilities	Respondent	City
13. Forward the agreed upon information as a result of an IMAC to the Help Desk via the call management systems interface.	X	
14. Move the desktop to the End-User's desk, connect the desktop to the LAN and test the desktop at the End-User location for functionality per the mutually agreed criteria (this is usually done by logging-in).	X	
15. Request the assistance of any City service providers, as needed, to complete an IMAC.	X	
16. Complete the IMAC call ticket per the call closure procedures including the pertinent model-in / model-out, serial-in / serial-out information.	X	
17. Confirm that all replacement desktop and laptops that Respondent installs will have the City specified gold disk installed, unless directed otherwise by the City. If any installations do not have the gold disk Respondent will promptly notify the City, to determine the next appropriate action.	X	
18. Relocate all de-installed equipment to a specified location within same floor.	X	
19. Update Asset Management system with updates.		

On-Site Technical Support

On-Site Technical Support Services are the activities associated with the provision, dispatch and management of Level 2 and Level 3 Incident Resolution Services (e.g., on-site troubleshooting, diagnosis and Resolution of Incidents for devices or servers). The following table identifies the On-Site Technical Support roles and responsibilities that Respondent and City will perform.

Table 25 On-Site Technical Support Roles and Responsibilities

On-Site Technical Support Roles and Responsibilities	Respondent	City
1. Define On-Site Technical Support requirements and policies		X
2. Develop and document in the Standards and Procedures Manual On-Site Technical Support procedures that meet requirements and adhere to defined policies	X	
3. Review and approve Technical Support Standards and Procedures Manual		X
4. Maintain appropriate equipment sparing requirements and spares inventory levels to meet Service Level Requirements for On-Site Technical Support	X	
5. Coordinate with the Help Desk and all other necessary Respondent, Third-Party and City support organizations the management of all On-Site Technical Support requests to Resolution and Closure	X	
6. Coordinate with End-User or other site staff to schedule On-Site Technical Support visit in response to an escalated Incident or Service Request	X	

On-Site Technical Support Roles and Responsibilities	Respondent	City
<p>7. Dispatch appropriate Level 2 or Level 3 technician(s) in response to an escalated Incident or Service Request:</p> <ul style="list-style-type: none"> Dispatch appropriate technical staff to resolve problems referred by the Help Desk. Obtain OEM certification for the major products supported hereunder. For the issues covered under the manufacturer's warranty, escalate to the appropriate manufacturer for resolution. Provide on-site repair or exchange of desktop and laptop and any associated external peripherals such as displays, printers, modems, CD-ROM drives, and tape and disk units identified in the Asset Ledger. This service shall also include repair of networked printers. 	X	
<p>8. Assume responsibility for Repair Services/Spare Parts as it relates to the following items:</p> <ul style="list-style-type: none"> Manage spare parts inventory and stock locations. Provide overall spare parts ordering and positioning; i.e. ensuring that the spare parts are stored in the most advantageous stocking location. Provide a report, at a pre-determined interval, identifying equipment at or near end-of-life and its impact on spare parts inventories and service repairs. Provide secure facilities for the storage of the spare part inventory. Provide agreed toolsets to aid management of requests, incidents, field engineer dispatch and spare parts/warranty repair inventory. Respondent will configure, deploy and manage all toolsets. <p>Details in Attachment R Spare Parts Budget and Attachment S Out of Warranty Equipment</p>	X	
9. Troubleshoot, diagnose and Resolve Incidents for devices, including removing and/or repairing physically broken or inoperable devices or servers	X	
10. Conduct appropriate tests of repaired device or server to ensure the device or server is operating appropriately		X
11. Obtain End-User acknowledgment for completion of Service Request	X	
12. Close calls with MI/MO (Mode In/Out), SI/SO (Serial-In/Serial-Out), AI/AO (asset in/Out) reporting.	X	
13. When a piece of equipment has been serviced using the exchange methodology, record the serial number of the part being removed and the serial number of the part replacing it as an element of the call closure process. This information becomes a part of the service call history record.	X	
14. Close the service request upon completion of the call and, whenever a serialized unit has been replaced, annotate the request record so that the City asset inventory can be updated.	X	
15. Provide Aviation and Public Safety Agencies dedicated on site support. Staffing detail in section 2.1.4 Personnel.	X	

VIP Support Services

VIP Services are the activities associated with special installation/deployment, maintenance, support, Break/Fix, Software and other technical training, upgrades, etc., for City-designated Executives, department leaders and select End-Users. . Replacement parts or loaner hardware may be required for VIPs.

- VIP Tier 1: The City will designate roughly 500 End-Users base in this tier.
- VIP Tier 2: The City will designate roughly 20% of the End-User base in this tier. The Services will include:
 - Support in the office or other remote locations.
 - Walk-in support at local Respondent support centers (e.g., remote users temporarily in City offices).
 - Periodic events (e.g., annual and interim meetings, Board meetings, annual/monthly events).
 - Equipment swap if needed.

Security Firewall, Antivirus, and Encryption and Security Compliance Products

- City will provide respondent with Security Products which will include: Anti-Virus, Full Disk Encryption tools and security compliance tools, which the Respondent will manage.
- Respondent will manage City Security Firewall

Exclusions

The following items are specifically excluded from this SOW:

- Leased printers are out of scope from a management perspective; however, the Respondent is responsible for ensuring that the leased printers are connected to the network.

Service Management

A key objective of the Agreement is to attain service levels with Service Credits and Earn Back where business is impacted through failure to meet Service performance requirements, mission-critical system requirements or meet Critical Milestones or objectives. SLRs are detailed in the following sections and those associated with Service Credits and Earn Back are identified in Section 5.6—Service Credits and Earn Back.

Respondent shall provide written reports to City regarding Respondent's compliance with the SLRs specified in this SOW.

Definitions

Attachment P Definitions provides a list of terms that apply to this SOW and following SLRs.

Service Level Requirements (SLRs)

The following minimum Service levels are required at the end of the Transition Period. Respondent must consistently meet or exceed the following SLRs. SLRs associated with Service Credits and Earn Back are identified as "Critical" (i.e., "SLA Applicable"). All SLAs are

further detailed in Section 5.6—Service Credits and Earn Back and Appendix 5.1 - SLR Weightings. **All times referenced are in Central Time.**

Table 26 Software Installation SLR

Definition	Installation of software per City defined policies and procedures, and, software vendor's identified technology best practice for product updates.
SLA Applicable?	No

Software Installation			
Request	Service Measure	Performance Target	SLR Performance %
Distributed Computing Software (shrink-wrap and Corporate Software approved by the City to be deployed)	Elapsed Time to Deploy	Within 2 days of request	90.0%
Desktop/Laptop Operating System (including service packs and non-critical security patches)	Elapsed Time to Deploy	As agreed per project plan	95.0%
Core Image Software	Elapsed Time to Refresh	As agreed per project plan	95.0%
Service/Security Patches and Antivirus Updates	Elapsed Time to Update to Target Population for Each Deployment	≤1 calendar day Measured from approval for deployment by City to successful deployment for End-Users who connect to the Network during the specified time frame	99.9%
	Formula	Number of instances within Performance Target ÷ Total number of instances during Measurement Interval = "Percent (%) Attained"	
	Measurement Interval	Measure Monthly	
	Reporting Period	Report Monthly	
	Measurement Method	TBD	

Table 27 Install, Moves, Adds and Changes—Workstation and Peripherals

Definition	Defined as an Installation, Move, Add or Change of any hardware and associated Software included within the scope of End User Computing.
SLA Applicable?	No

Installs, Moves, Adds, Changes			
Request	Service Measure	Performance Target	SLR Performance %
Standard User: 1–10 in a single request	Elapsed Time to Deploy	Within 2 days of request	90%
Standard: More than 10 in a single request	Date and Time Scheduled	As agreed case-by-case	95.0%
VIP Tier 1	Elapsed Time to Deploy	Within 4 hours of request	95.0%
VIP Tier 2	Elapsed Time to Deploy	Within 1 day of request	95.0%
	Formula	Number of instances within Performance Target ÷ Total number of instances during Measurement Interval = "Percent (%) Attained"	
	Measurement Interval	Measure Monthly	
	Reporting Period	Report Monthly	
	Measurement Method	TBD	

Table 28 End User Computing Reports

Respondent shall provide written reports to City regarding Respondent's compliance with the SLRs in addition to the reports specified in this Section. Reports are required per the following table:

Report Description	Timing
TBD	

Section 4.6 Data Network Services

Services Overview

This is Section 4.6 (Data Network Services SOW) is the Statement of Work (or “SOW”) that sets forth the roles and responsibilities of the Parties for the Data Network Services provided under the Agreement as part of the Services. Data Network Services are the services and activities, as detailed in this SOW, required to provide and support the City’s data network environment as described in Section 2.0 below. Respondent responsibilities include, but are not limited to, the planning, scheduling, deployment, management, administration and troubleshooting of the following Data Network Services:

- Wide-area Network (WAN)
- Local-area Network (LAN)
- Wireless Network (WLAN)
- Virtual Private Network (VPN)
- Network Security
- Load Balancing
- DDI Management

In addition to the services described in this Data Network Management SOW Respondent is responsible for providing the services described in Section 4.8–Cross-functional Services SOW.

Services Objectives

The primary drivers for this RFP are to 1) continuously improve the quality of services, 2) reduce or manage the growth in costs for providing IT services, 3) develop agreements that support the City’s future information technology needs, 4) provide flexibility in the deployment of IT services, , and 5) improve innovation capabilities.

The following are the key high-level Service objectives the City expects to achieve through the procurement of services resulting from this RFP solicitation:

- High Level Proficiency of Network Management
- Meet City Business Needs for Highly Available, Reliable, Scalable, and Secure Services
- Acquire services with Availability Guarantees Backed by Service-Level Requirements (SLRs)
- Maintain compliance with industry standards and government regulations (e.g., ITIL, HIPAA, PCI, CJIS, FERPA, etc.)
- Acquire Services that can leverage operational scale and best practices to achieve optimum commercial price performance
- Acquire ongoing feedback mechanisms to ensure performance meets expectations

The following are the key high-level Service objectives the City expects to achieve through Data Network Management Services and this Data Network Services Statement of Work (SOW):

- Deploy and maintain a reliable, scalable and secure high-speed network infrastructure for the City
- End-to-end network monitoring and management including management of Third Party providers (e.g., Third Party coordination, carrier coordination, Problem and Incident management, etc.)
- Operate efficiently and effectively by running on a consolidated network infrastructure and by simplifying network management, procurement and budgeting
- Minimize administrative effort by engaging the Respondent to provide this management function
- Timely delivery of Data Network solutions to support City project implementations, and related coordination with City and Third Parties
- Achieve the Service Level Requirements (SLRs) specified in Section 4

Service Environment

The following sub-sections and related SOW Attachments describe and scope the network environment to be supported/complied with. Service Environment Attachments are to be maintained and reviewed with the City by Respondent and made available to the City on a quarterly basis.

The City's mission is to install, maintain, and manage world class communications infrastructure to support its government functions. The City's Data Network environment has evolved into a sophisticated transport medium for a variety of client services such as Secure Server Access, Data Storage and Retrieval, Video Surveillance, Voice Over Internet Protocol, GIS, and Telemedicine.

Agencies that are in Scope

"Attachment U Agencies in Scope" list the City of Chicago agencies that are in scope.

Hardware and Software

- A listing and description of all network hardware to be supported is provided in Attachment D Hardware List.
- A listing and description of the network software and utilities to be supported is provided in Attachment E Software List.

Service Locations

A description and location of all City facilities and office locations requiring network services is provided in Attachment I Locations List.

Service Hours and Coverage

The Data Network environment must be monitored 24x7x365. The Network Operating Center (NOC) or Network Command Center (NCC) staffing is 24x7x365; vacation, illness, training, and other time off shall be covered by an individual with equal or greater skills.

Personnel

Respondent will be responsible for staffing skilled and appropriately certified Data Network Management staff to meet the Service Level Requirements (SLRs) set forth in this SOW. Upon request, the City has the right to ask respondent to remove or replace employees. A minimum of (3) three dedicated CCIE Certificated Network Engineers will be required to be on the Account at all times.

Network Team FTE Requirements

Department of Innovation & Technology

- (2) CCIE Certificated Network Engineers
- (3) CCNA Certified Network Engineers

Chicago Police Department & OEMC (Public Safety)

- (1) CCIE Certified Network Engineer
- (2) CCNA Certified Network Engineers (General Network)
- (2) CCNA Certified Network Engineers (A/V and Phone Support)

Department of Aviation

- (1) CCNP Network Engineer

Respondent will schedule appropriate training to ensure proficiency is maintained.

Policies, Procedures, and Standards

A description of the City's policies, procedures and standards with which Network Services will comply is provided in Attachment L CoC_IT_IS_Policy_Set_ver_RC_05

Agreements and Licenses

A list of Network related agreements and licenses to be supported is provided in Attachment M – Data Network - Agreements and Licenses.

Work-in-Progress

Network related initiatives in progress that are included in the scope of this document and are the responsibility of Respondent to complete within the time frames specified by are listed in Attachment N – Data Network - Work in Progress.

Data Network Services Requirements

In addition to the services, activities, and roles and responsibilities described in Section 4.8 – Cross-Functional, Respondent is responsible for the following Data Network Management services, activities and roles and responsibilities.

Data Network Services Requirements

Data Network Services includes the following service areas:

- Wide Area Network (WAN) Services
- WAN services include the deployment, monitoring and management of leased and private networks. Transmission facilities include, but are not limited to; point-to-point circuits, Metro Ethernet circuits (e.g., OPT-E-MAN / ASE), dedicated Internet connections, broadband (e.g. DSL/Cable Modem) Internet connections, Internet-Based VPNs, Cellular-Based WANs, and Private Fiber. Respondent shall work with public carriers and other circuit providers on behalf of the City to ensure delivery of WAN services. Support of any network services-related work required by designated carriers, to support the City's network, is considered within the scope of services.
- Local Area Network (LAN) Services
- LAN services include the deployment, monitoring and management of networks that are usually confined to a single facility or portion of a facility. LAN components include Dynamic Host Control Protocol (DHCP)/Domain Name System (DNS) and Wireless LANs supporting all network traffic originating from desktop devices, local file and print servers, application servers, database servers, peripherals, firewalls/routers, other network devices and other user premise devices. This service ends at, but does not include, the LAN attached device network card at the desktop.
- Virtual Private Network (VPN) Services
- VPN services include the deployment, monitoring and management of methods for remote users and business partners to securely connect to the Network and Data Center Computing Services over the public Internet. This service includes dedicated site-to-site VPN connectivity and conventional user remote access over the Internet. It requires industry-/Internet-based standards for security to create and preserve privacy, data integrity, and authenticity. The VPN service must be highly scalable.
- Network Security Services
- Network Security Services include the deployment and support of methods that provide security to physical and logical devices connected to the network. Security services include, but are not limited to; Firewall, Intrusion Detection/Prevention, Penetration/Vulnerability testing, and content filtering.
- Load Balancing Services
- Load Balancing Services include the deployment, monitoring and management of devices that run ATM, LTM and ASM Services (for Load Balancing on Apps and App Firewalling).

General Responsibilities

The following table identifies General roles and responsibilities associated with this SOW including the network components listed above. An "X" is placed in the column under the party

that will be responsible for performing the task. Respondent responsibilities are indicated in the column labeled "Respondent."

Table 29 General Roles and Responsibilities

General Roles and Responsibilities	Respondent	City
1. Provide WAN / LAN / WLAN / VPN / Firewall / Load Balancing, and DDI requirements based on Technology Industry best practices	X	
2. Review and approve requirements for WAN/LAN/WLAN/VPN/Firewall/Load Balancing and DDI services		X
3. Review and approve services and standards for all Data Network Services		X
4. Provide Technology Industry best practice for network capacity thresholds	X	
5. Approve network capacity planning thresholds		X
6. Provide capacity and performance reports on a quarterly basis and on demand as requested	X	
7. Procure all network components and circuits		X
8. Provision and maintain all network components and circuits	X	
9. Report performance against Service Level Requirements (SLRs)	X	
10. Develop WAN/LAN project plans and manage expected budget and completion dates for such projects	X	
11. Approve WAN/LAN project plans developed by the Respondent		X
12. Create and maintain environment documentation	X	
13. Review and approve environment documentation		X
14. Create and maintain Standards and Procedures Manual for Data Network Services	X	
15. Review and approve Standards and Procedures Manual for Data Network Services		X

Design/Engineering

The following table identifies the activities, roles and responsibilities associated with Engineering/Development services that are specific to this Section.

Table 30 Engineering/Development Roles and Responsibilities

Engineering/Development Roles and Responsibilities	Respondent	City
1. Develop and document network design, engineering and security testing and integration procedures that meet requirements and adhere to defined policies	X	
2. Approve network design engineering, security testing and integration procedures		X
3. Prepare network design, engineering and security, plans and schedules to support new and enhanced applications, architectures and standards	X	

Engineering/Development Roles and Responsibilities	Respondent	City
4. Review and approve network design, engineering and security plans and schedules		X
5. Approve the scheduling of all changes to the network environment		X
6. Coordinate with the City and affiliated entities, and public carriers, as required	X	

Asset Acquisition and Network Services Deployment

Respondent will perform Asset Acquisition and Network Services Deployment associated with acquiring network equipment and circuits. The following table identifies the underlying roles and responsibilities associated with Asset Acquisition and Network Services Deployment activities.

Table 31 Asset Acquisition and Network Service Deployment Roles and Responsibilities

Network Deployment Roles and Responsibilities	Respondent	City
1. Order and expedite WAN circuits, network components (routers, switches and hubs) and services as defined by the City		X
2. Configure WAN/LAN (hardware, software) prior to installation	X	
3. Document router configuration files and IP addressing schemas	X	
4. Develop and document network deployment requirements and policies	X	
5. Approve network deployment requirements and policies		X
6. Provide capacity planning assistance to develop network resource requirements projections	X	
7. Coordinate ordering, procurement and inventory management of network circuits from public carriers		X
8. Manage the performance of public carriers (and other third parties) to meet defined schedules, project plans, SLRs etc.		X
9. Ensure that all new circuits, devices and software provisioned are included in configuration management documentation	X	

Network Operations and Administration

The following are key activities associated with Network Operations and Administration that are specific to this Section.

- Operations activities include:
 - Network and security services systems management and troubleshooting (e.g., performance, problem, change and capacity monitoring)
 - Bandwidth management
 - Protocol usage statistics (e.g., identify top talkers by protocol)

- Working with public carriers and other circuit providers to perform any operations activities (e.g., deployment, problem management)
- Managing and maintaining all Network Service computing resources (e.g. hardware, operating system software and applications) that are required to provide Designated Services
- Administration services include activities, such as:
 - Managing router configurations, firewalls, Security Services, Internet Protocol (IP) addresses and related services (e.g., DNS/DHCP/IPAM)
 - Asset management, including infrastructure software licenses
 - Physical (e.g., equipment) and logical (e.g., IP address change) IMACs

The following table identifies the roles and responsibilities associated with Network Operations and Administration that are specific to this Section.

Table 32 Administration Roles and Responsibilities

Network Operations and Administration Roles and Responsibilities	Respondent	City
1. Manage LAN/WAN connectivity contained in the service environment	X	
2. Develop and document network administration requirements and policies	X	
3. Develop and document procedures for administration that meet requirements and adhere to defined policies and procedures	X	
4. Approve administration policies and procedures		X
5. Perform day-to-day network operations and administration activities	X	
6. Manage all network devices in accordance with the City's policies (including security oversight and change management policies)	X	
7. Maintain IP addressing schemes, router configurations, routing tables, VPN configurations, etc.	X	
8. Manage user accounts as needed for access and maintain network resources (e.g. logon user-id and password maintenance)	X	
9. Maintain and provide audit information including access, general logs, application logs in accordance with the City's security policies	X	
10. Ensure that network administration activities are coordinated through defined change management processes	X	

Network Monitoring and Reporting

The following table identifies the roles and responsibilities associated with Network Monitoring and Reporting services that are specific to this Section.

Table 33 Network Monitoring and Reporting Roles and Responsibilities

Network Monitoring and Reporting Roles and Responsibilities	Respondent	City
1. Manage LAN/WAN/Security connectivity contained in the service environment	X	
2. Develop and document network/Security administration requirements and policies	X	
3. Approve network/Security administration requirements and policies		X
4. Perform day-to-day network/Security operations and administration activities	X	
5. Develop and document requirements and policies for network /Security monitoring and problem management	X	
6. Approve requirements and policies for network monitoring and problem management		X
7. Develop and document network/Security monitoring and problem management procedures, including escalation thresholds, that meet requirements and adhere to defined policies	X	
8. Approve network/Security monitoring and problem management procedures		X
9. Manage current or provide and manage new automated tools for monitoring network circuits, devices and traffic from a Respondent-provided NOC /NCC.	X	
10. Provide vendor owned dual circuits from NOC / NCC to the City's network. Respondent should use two different carriers for the circuits. If separate carriers are not utilized, then COs need to be discrete.	X	
11. Implement measures and provide proactive analysis of network data and reports to limit network outages and optimize the City's bandwidth utilization.	X	
12. Monitor network/Security performance for all network environments on a 24x7x365 basis per SLRs.	X	
13. Identify network/Security problems and resolve in accordance with Incident and Problem Management Services, policies, procedures and SLRs.	X	
14. Provide on-site staff at the City facilities as required to perform maintenance and problem resolution activities. Onsite presence will be required for the following locations: <ul style="list-style-type: none"> • City of Chicago • Department of Aviation • Public Safety IT (Police and OEMC) 	X	

Network Monitoring and Reporting Roles and Responsibilities	Respondent	City
<p>15. Coordinate resolution of circuit problems with third parties, including public carriers, ISP and City affiliates using the network.</p> <ul style="list-style-type: none"> Carrier Management: Act on the City's behalf during the fault isolation process when a fault is detected that is suspected to be in the carrier's domain. Contact the carrier and work with the carrier to troubleshoot the problem. If it is in the carrier's domain, keep the trouble ticket open, and follow up with the carrier until the problem is resolved. Verify that connectivity is restored prior to closing the trouble ticket. 	X	
<p>16. Provide reporting (e.g., availability, utilization, latency, capacity) on network/Security components providing connectivity to the City.</p> <p>17. Respondent will utilize ITILv3 service management practices to measure and report performance in the following service categories:</p> <ul style="list-style-type: none"> Incident Management Availability Management Capacity Management Change Management Service Operations Network Security 	X	

Remote Access

Remote Access Services are the activities associated with the installation, management, operations, administration and support of the hardware and Software that support Remote Access and connectivity to all systems (e.g., VPN, Extranet access, Citrix Metaframe via dialup and Internet, Web-based e-mail). The following table identifies the Remote Access roles and responsibilities that the Respondent and the City will perform

Table 34 Remote Access Roles and Responsibilities

Remote Access Roles and Responsibilities	Respondent	City
1. Define Remote Access policies and procedures		X
2. Develop and document in the Standards and Procedures Manual Remote Access procedures that meet requirements and adhere to defined policies	X	
3. Review and approve Remote Access standards and procedures		X
4. Install, test, provide technical support, administration and security administration for Remote Access hardware and Software	X	
5. Provide testing support for defined City applications that will be made available via Remote Access	X	
6. Provide technical assistance and subject matter expertise as required by the City's infrastructure staff and Third Party solution providers for Remote Access products and solutions	X	

Remote Access Roles and Responsibilities	Respondent	City
7. Perform system or component configuration Changes necessary to support Remote Access Services	X	

Documentation

The following are required document types that are specific to this Section.

- Network/Security system specifications and topologies (for example, router configurations, firewall policies, Security services routing diagrams/IP addressing tables, hardware/software listings, etc.)
- Detailed circuit location information (e.g. circuit ID including LEC access ID, location, speed)
- Detailed documentation showing all firewall policy, group, object, etc. information
- “As-built” documentation for all network/Security devices (including firewalls and security services) that are deployed in development, test, QA, production or other technical environments

The following table identifies the roles and responsibilities associated with Documentation activities that are specific to this Schedule.

Table 35 Documentation Roles and Responsibilities

Documentation Roles and Responsibilities	Respondent	City
1. Recommend documentation requirements	X	
2. Approve Recommend documentation requirements		X
3. Provide documentation as required by the City	X	

Security Officer

Respondent will provide a Security Team to provide protection of networks and systems from unauthorized access by persons, acts, or influences and that includes many sub functions such as creating, deleting, and controlling security services and mechanisms; distributing security-related information; reporting security-relevant events; controlling the distribution of cryptographic keying material; and authorizing subscriber access, rights, and privileges.

Firewall Management

Respondent shall provide Firewall Management Service including firewall engineering and management and access control list engineering and management in compliance with the City's policies and standards. The following table identifies roles and responsibilities associated with the Firewall Management services.

Table 36 Firewall Services Roles and Responsibilities

Security Firewall Services Roles and Responsibilities	Respondent	City
1. Recommend best practice firewall policies and procedures	X	
2. Develop the City specific firewall policies and requirements		X
3. Approve firewall policies and procedures		X

Security Firewall Services Roles and Responsibilities	Respondent	City
4. Provide services in conformance to firewall policies and requirements	X	
5. Perform firewall engineering and firewall security design	X	
6. Assess firewall security and propose alternative security designs	X	
7. Review and approve firewall security designs		X
8. Review and approve firewall Access Control Lists (ACLs) policies		X
9. Identify Technology Industry best practice for improved security	X	
10. Review and approve recommendations for improved security		X
11. Provide ACLs		X
12. Maintain ACLs in accordance with the City policies	X	

Service Management

A key objective of this agreement is to attain service-level requirements (SLRs). Service Level Agreements (SLAs) and Project-specific SLAs are specified with Service Credits and Earn Back where business is impacted through failure to meet significant mission critical systems or services, or project milestones or objectives. SLRs are detailed in the following sections and SLAs are detailed in Section 5.6 – Service Credits and Earn Back.

Respondent shall provide written reports to the City regarding Respondent's compliance with the SLRs specified in this SOW Schedule.

Definitions

Attachment P (Definitions) provides a list of terms that apply to this SOW and following SLRs.

Service Level Requirements(SLRs)

The following minimum service levels are required at the end of the Transition Period. Respondent must consistently meet or exceed the following SLRs. SLRs associated with Service Credits and Earn Back are identified as "Critical" (i.e., "SLA Applicable"). All SLAs are further detailed in Section 5.6 – Service Credits and Earn Back and Appendix 5.1 - SLR Weightings. **All times referenced are in Central Time.**

Table 37 Network Availability SLRs

Definition	<p>Network Availability is defined as the time during which the network is fully functioning as specified below and normal business operations can be carried out with no data loss, downtime, or performance degradation.</p> <p>All performance criteria are to be measured on a per circuit and component basis– criteria is not to be aggregated and averaged for all circuits and network components.</p> <p>Note: Critical and Standard Locations from a network availability perspective are identified in Discovery phase</p>
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Pre-scheduled downtime requirements	All pre-scheduled maintenance shall be performed during the following City Standard Change Control Windows: 2100-0600 for Prod and 1900-0600 for Dev.
SLA Applicable?	See Appendix 5.1 - SLR Weightings

Network Service Incident Response/Resolution Time SLRs			
Service Type	Service Measure	Performance Target	SLR
Incident Response Time	Time interval between an Incident Record being registered into the Service Management System and time it takes for acknowledgement within the System	Sun-Sat, 0000-2400	99% Priority 1 (Critical) Response – 30 Mins Priority 2 (High) Response – 60 Mins Priority 3 (Medium) Response – 24 Business Hours Priority 4 (Low) Response – 48 Business Hours
Incident Resolution Time	Time interval between an Incident Record being registered into the Service Management System and the time service is restored	Sun-Sat, 0000-2400	97% Priority 1 (Critical) Resolution – 4 Hours Priority 2 (High) Resolution – 8 Hours Priority 3 (Medium) Resolution – 36 Hours Priority 4 (Low) Resolution – 60 Hours

Network Availability SLRs			
Service Type	Service Measure	Performance Target	SLR
Internet Access Availability	Availability	Sun-Sat, 0000-2400	99.95%
Router Availability - Critical Locations	Availability	Sun-Sat, 0000-2400	99.95 %
Router Availability - Standard Location	Availability	Sun-Sat, 0000-2400	99.9 %
LAN Availability – Critical Location	Availability	Sun-Sat, 0000-2400	99.95%
LAN Availability - Standard Location	Availability	Sun-Sat, 0000-2400	99.9%
VPN Availability	Availability	Sun-Sat, 0000-2400	99.99 %

Network Availability SLRs			
Service Type	Service Measure	Performance Target	SLR
	Formula	Availability(%) = 100% - Unavailability (%) Where Unavailability is defined as: $(\Sigma \text{ Outage Duration} \times 100\%) \div (\text{Schedule Time} - \text{Planned Outage})$ Availability is per circuit, Internet Access, router, LAN, VPN, IP availability and is NOT an aggregate of the availability.	
	Measurement Interval	Monitor Continuously, Measure Daily, Report Monthly	
	Measurement Tool	TBD	

Table 38 Network Performance SLRs

Definition	<p>Network Performance includes the ability of the network components to deliver data timely and accurately.</p> <p>All performance criteria are to be measured on a per circuit and component basis— criteria is not to be aggregated and averaged for all circuits and network components. Maximum packet size is 128 bytes.</p>
SLA Applicable?	See Appendix 5.1 - SLR Weightings

Network Performance SLRs			
Performance Type Per Circuit	Service Measure	Performance Target	SLR
Network Transit Delay	Elapsed Time – round trip transit delay from ingress and egress ports on premise devices.	120 ms	99.99%
Packet Delivery Ratio	Successful packet transmission	99.9%	99.95% (data loss ≤ 0.05%)
Jitter	Variation in timing, or time of arrival, of received packets.	10 ms	99.95%
	Formula – Transit Delay	NTD = t2 – t1 Where: t1 is the time when a packet leaves the ingress premise, and t2 is the times when the packet arrives at the egress premise	
	Formula – Packet Delivery	Packet Delivery Ratio = 1 minus PDR Where: “PDR” = Packets delivered/ packets sent.	

Network Performance SLRs			
Performance Type Per Circuit	Service Measure	Performance Target	SLR
	Formula – Jitter	$J_1 = \Delta T_i - \Delta T_i'$ Where: J_1 is for two consecutive packets i and $i+1$ and, T_i = time 1st byte of packet is received by the source port (ingress time) T_{i+1} = time 1st byte of packet $i+1$ is received by the source port (ingress time) T_i' = time 1st byte of packet is received by the destination port (egress time) T_{i+1}' = time 1st byte of packet $i+1$ is received by the destination port (egress time) and $\Delta T = T_{i+1} - T_i$ (Δ is the time interval between packets at ingress) $\Delta T = T_{i+1}' - T_i'$ (Δ is the time interval between packets at egress)	
	Measurement Interval	Monitor every 5 minutes, Measure Daily, Report Monthly	
	Measurement Tool	TBD	

Table 39 Network Administration Services SLRs

Definition	Routers and circuits to be managed proactively using either product-specific or proprietary network monitoring and management tools. Measurement for these network components is 24x7x365 requirement. Pre-scheduled maintenance shall be performed between the period beginning 0300 to 0600, with the ability to reschedule based on network availability requirements from the various groups or clients.
SLA Applicable?	See Appendix 5.1 - SLR Weightings

Network Administration Services SLRs			
Administration Task	Service Measure	Performance Target	SLR
Network Service Capacity Reallocation or Change	Proactive monitoring and preemptive intervention to advise the City of need to increase capacity.	Sustained avg. daily utilization reaches 60% of installed capacity	98%
IMAC– Implement service packs and updates to “dot” releases	Overall Schedule	<4 hours Note: Non-emergency IMACs should be performed during pre-scheduled maintenance hours	98.00%
IMAC—Implement version or major release updates	Overall Schedule	<24 hours Note: Non-emergency IMACs should be	98.00%

Network Administration Services SLRs			
Administration Task	Service Measure	Performance Target	SLR
		performed during pre-scheduled maintenance hours	
IMAC—service addition or change as scheduled under Change Control process	Elapsed Time	Increases of installed capacity within 2 months Decreases of installed capacity within 6 months	95.00%
Adding/deleting user accounts	Response Time	Mon–Fri, 0600–2100 Immediately	99.00%
Firewall Management Implementation of firewall changes related to changing, adding/deleting firewall rules.	Response Time	Emergencies: ≤2 hours Standard Requests: within normal change control parameters after submission by the City	99.00%
	Formula	Transactions completed within Performance Target / Total Transactions	
	Measurement Interval	Monitor Continuously, Measure Daily, Report Monthly	
	Measurement Tool	TBD	

Table 40 Port Activation Services SLRs

Definition	Port activation must be managed using either product-specific or proprietary tools. Measurement for these services is 24x7x365 requirement. Pre-scheduled maintenance shall be performed between the period beginning 0300 to 0600, with the ability to reschedule based on network availability requirements from the various groups or clients.
SLA Applicable	See Appendix 5.1 - SLR Weightings

Security Vulnerability & Penetration Services SLRs			
Management Task	Service Measure	Performance Target	SLR
Activate Ports	Overall Schedule	<4 hours	98.00%
	Formula	Transactions completed within required time / Total Transactions	
	Measurement Interval	Monitor Continuously, Measure Daily, Report Monthly	
	Measurement Tool	TBD	

Reports

The Respondent will provide written reports to the City regarding Respondent's compliance with the SLRs specified in this Section and other Network activity reports. Reports are required per the following:

Table 41 Network Service Reports

Report Description	Timing
TBD	

Section 4.7 Help Desk

Help Desk Services Overview

This Section 4.7 (Help Desk SOW) is the Statement of Work (or "SOW") that sets forth the roles and responsibilities of the Parties for the Help Desk Services ("Help Desk Services") provided under the Agreement as part of the Services. Help Desk Services are the Services and activities, as further detailed in this SOW, required coordinating and responding to Incidents and Service Requests made by the City Departments End-Users, technical staff, IT services and third-party support vendor organizations. Respondent Help Desk is responsible for providing a Single Point of Contact (SPOC) via (312) 744-DATA and for providing end-to-end ownership (e.g., logging, tracking, Resolution and reporting) of Help Desk Incidents and Service Requests. Help Desk Incidents and Service Requests can be Resolved by Help Desk staff or may need to be referred/escalated to more-specialized entities for Resolution, such as City staff, a vendor or other designated Third Parties. The Help Desk Provider must also provide alternative communication methods such as, Web, email, or online chat.

In addition to the Services described in this Help Desk Services SOW, Respondent is responsible for providing the Services described in Section 4.8—Cross-Functional Services SOW.

Service Objectives

The primary drivers for this RFP are to 1) continuously improve the quality of services, 2) reduce or manage the growth in costs for providing IT services, 3) develop agreements that support the City's future information technology needs, 4) provide flexibility in the deployment of IT services, and 5) improve innovation capabilities.

The following are the key high-level Service objectives the City expects to achieve through the procurement of services resulting from this RFP solicitation:

- Meet City business needs for highly available, reliable, scalable and secure Services.
- Maintain compliance with industry standards (e.g., ITIL) and government regulations (i.e., HIPAA, PCI, CJIS, FERPA, etc.).
- Acquire Services with Availability guarantees backed by Service-Level Requirements (SLRs).
- Acquire Services that can leverage operational scale and best practices to achieve optimum commercial price performance.

- Acquire ongoing feedback mechanisms to ensure performance meets expectations.
- The following are the key high-level Service Objectives City expects to achieve through Help Desk Services and this Help Desk Services Statement of Work (SOW):
- Improve IT customer service and Incident Resolution speed through a 24 X 7 Service, self-service abilities and skilled Help Desk staff in the areas of industry-standard IT products.
- Improve efficiency and effectiveness by adopting Respondent-leveraged knowledge databases and best practices in the areas of customer reporting, logging, tracking, Resolving of IT Incidents and Service Requests.
- Improve efficiency and effectiveness by early identification and addressing of root causes of technical Incidents including working with specialized entities for Resolution such as City staff, a vendor or other designated Third Parties, before they become trends.
- Have the ability to acquire skilled Help Desk support for new technologies early in their life cycle while maintaining support for older technologies.
- Provided a dedicated IT Help Desk functional owner for end-to-end ownership of Service Tickets. This would include logging, tracking, resolving, and reporting.
- Monitor and manage customer satisfaction in an ongoing basis.
- Achieve the Service Level Requirements specified in Section 4 of this SOW.
- Leverage the City's ITSM, ServiceNow, for incident management.

Service Environment

This paragraph describes the scope of Services described in Section 2. This includes Assets, facilities and locations, personnel, policies and procedures, licenses and agreements, work-in-progress and future initiatives. The following sub-sections and related Service Environment Attachments further describe and scope the Help Desk Services environment to be supported and/or with which Respondent shall comply. These Service Environment Attachments are to be maintained by Respondent, reviewed with City, updated by Respondent and made available to the City on a quarterly basis.

The types of Calls to be handled by Respondent Help Desk include:

- Infrastructure Incidents:
 - Hardware
 - Systems Software (i.e., operating systems, utilities)
 - Network response time
- Applications Incidents and "How To" support for:
 - Packaged (COTS) office productivity Software
 - City business applications
- Password Support:
 - Resets
 - Requests for account privilege change requests
 - Requests for End-User account activation, suspension and termination

- ServiceNow,
 - Work with City ServiceNow system. For knowledge base, Change Management, and Incident Management
- Service Requests
 - Install, Move, Add, Change and Disposal (IMACD) requests.

Respondent will provide Help Desk Services specified in this Schedule for the following IT Service Towers:

- Section 4.4—Data Center Services
- Section 4.5—End User Computing Services
- Section 4.6—Data Network Services

Agencies that are in Scope

“Attachment U Agencies in Scope” list the City of Chicago agencies that are in scope.

Help Desk Supported Hardware and Software

Respondent is required to provide Level 1 help desk service for all tickets for City hardware and Software. See Attachments B and C.

Help Desk Software, Tools and Knowledge Databases

Respondent is required to leverage the City ServiceNow software for incident management and current City support knowledge databases used in the delivery of Help Desk Services as part of the solution.

Service Locations

A description of the facility and office locations for which Respondent will provide Help Desk Services is provided in Attachment I Location List.

Personnel

Respondent will be responsible for providing appropriately skilled staffing to meet the Help Desk Services Roles and Responsibilities and Service Level Requirements set forth in this SOW.

Upon request, the City has the right to ask respondent to remove or replace employees.

Policies and Procedures

The City IT Security and Policies are in Attachment L CoC_IT_IS_Policy_Set_ver_RC_05.pdf.

The Respondent will review current city Policies, recommend best practices, and document procedures with City Approval.

TTY Support

Respondent is required to provide TTY support.

Required Languages

English is the currently required language. The Client's future requirements may involve Service Desk support in additional languages including Spanish, Polish.

Work-In-Progress

City currently has a number of IT initiatives in progress that are included within the scope of this SOW and may affect Help Desk Services. Such projects are the responsibility of Respondent to complete within the time frames specified. There are none at this time.

Help Desk Baseline Information

The current Help Desk utilization is in Attachment O Help Desk Volumes.

These business requirements represent the most realistic projection of the Service requirements for Day 1 implementation based on a combination of past trends and current anticipated overall business direction over the term of the Agreement.

Help Desk Services Requirements

In addition to the Services, activities, and roles and responsibilities described in Section 4.8 - Cross-Functional, Respondent shall be responsible for the following Help Desk Services.

General Responsibilities

The following table identifies the general roles and responsibilities associated with this SOW. An "X" is placed in the column under the Party that will be responsible for performing the task. Respondent responsibilities are indicated in the column labeled "Respondent."

Table 42 General Roles and Responsibilities

General Roles and Responsibilities	Respondent	City
1. Comply with the City's policies and standards and regulations applicable to the Help Desk Services	X	
2. Provide expert Level 1 assistance to inquiries on the features, functions and usage of hardware and Software Attachment D Hardware List and Attachment E Software List.	X	
3. Identify, escalate (e.g., Level 2 and Level 3 escalation), manage Incident Resolution and Close Incidents and Service Requests including those escalated to Third Parties.	X	
4. Provide appropriately trained Help Desk staff for Level 1 and Level 2 remote support to meet the City's requirements.	X	
5. Coordinate the Root Cause Analysis process on recurring and Severity 1 and 2 Incidents.	X	
6. Review and Approve Standards and Procedures Manual for Data Network Services		X

Single Point of Contact

Provide SPOC (Single Point of Contact) Services support for logging, tracking, Resolution and reporting of Help Desk Incidents and Service Requests for all City-supported environments.

The following table identifies the SPOC roles and responsibilities that Respondent and City will perform.

Table 43 SPOC Roles and Responsibilities

SPOC Roles and Responsibilities	Respondent	City
1. Recommend SPOC procedures	X	
2. Develop, document and maintain in the Standards and Procedures Manual SPOC Respondent procedures that meet City requirements and adhere to City policies	X	
3. Review and approve SPOC procedures		X
4. Utilize the City's ServiceNow Incident management system to track and manage Service Requests and Help Desk Incidents.	X	
5. Select and implement software and hardware required to support IVR to collect, track and manage Service Requests and Service Desk Incidents received by the Service Desk.	X	
6. Provide SPOC call-in access via (312)744-Data for all Help Desk Services described in this SOW for all City IT Service Towers and City Sites	X	
7. Provide SPOC and coordination for all Incident reports and requests for information and Service (e.g., IMACs) in the Service Towers supported under this SOW	X	
8. Provide multiple alternative communications channels, including voice messages, e-mail and intranet. In the case of Voice Communications Services, any IVR system must allow for immediate exit from the system and live communication with a Help Desk agent	X	
9. To ensure that the service is rendered only to authorized End-Users, administer entitlement by obtaining the following information for every contact: <ul style="list-style-type: none"> Employee ID (this identifies the City, County or Sister Agency End User(s)) Asset Tag Name 10. For non-employees (e.g., contractors) who are not assigned employee IDs, obtain: <ul style="list-style-type: none"> Asset Tag Name 	X	
11. Verify, for every call, upon entitlement: <ul style="list-style-type: none"> City Department, County or Sister Agency Login ID Email Address Phone Number Location Location of affected asset <ul style="list-style-type: none"> <u>Note</u>: Utilize Caller ID feature to proactively identify caller. 	X	
12. Record and redirect out-of-scope Service Tower Incidents and Service Requests	X	

Help Desk Operations and Administration

Help Desk Operations and Administration Services are the activities associated with providing a stable Help Desk environment and to effectively and efficiently perform procedures to ensure IT Services meet SLR targets and requirements. The following table identifies the Help Desk Operations and Administration roles and responsibilities that Respondent and City will perform.

Table 44 Help Desk Operations and Administration Roles and Responsibilities

Help Desk Operations and Administration Roles and Responsibilities	Respondent	City
1. Define Help Desk Operations and Administration requirements and policies		X
2. Develop, document and maintain in the Standards and Procedures Manual Help Desk Operations and Administration procedures that meet requirements and adhere to defined policies	X	
3. Review and approve Help Desk Operations and Administration procedures		X
4. Provide additional Resources as needed during planned and unplanned critical events	X	
5. Track/manage/report Help Desk utilization	X	
6. Provide escalation contact list(s) for authorized City contacts		X
7. Maintain and provide escalation contact list(s) for all Service Towers (including Third Parties such as vendors and service providers)	X	
8. Issue broadcasts or other notices to provide status updates as required for planned and unplanned events	X	
9. Provide End-User or manager online/portal access to Service Requests and Incident reports	X	
10. Develop and execute procedures for conducting End-User Satisfaction surveys in accordance with the Service-Level Requirements	X	
11. Review and approve procedures for conducting End-User Satisfaction surveys		X
12. Maintain a continuous improvement program that improves Help Desk Service delivery	X	
13. Work with other Service Tower staff and City to identify solutions that minimize the need to call the Help Desk (e.g., additional End-User training, Self-Help Support opportunities, Root Cause Analysis)	X	
14. Review and approve solutions that minimize the need to call the Help Desk		X
15. Coordinate and make available environment documentation (i.e., Network configuration, and inventory of Software to be supported)	X	

Service Request and Incident Management

Service Request and Incident Management Services are the activities associated with end-to-end Incident Management processes including escalation to Level 2 and Level 3 specialists

through a defined process, including Respondent's primary resources, Third Parties, such as hardware and Software suppliers, other Third Party service providers as well as City's internal technical support resources. The following table identifies the Service Request and Incident Management roles and responsibilities that Respondent and City will perform.

Table 45 Service Request and Incident Management Roles and Responsibilities

Service Request and Incident Management Roles and Responsibilities	Respondent	City
1. Recommend Service Request and Incident Management procedures	X	
2. Identify and describe priorities, response and Resolution targets for Incidents and Service Requests that have differing impacts		X
3. Develop, document and maintain in the Standards and Procedures Manual Service Request and Incident Management procedures, including procedures to receive and respond to Service Request Calls according to defined prioritization and Resolution targets, that adhere to City policies	X	
4. Review and approve Service Request and Incident Management procedures		X
5. Ensure that responses to Service Requests are based on priority and impact rather than the method used to notify the Help Desk (e.g., telephone, web or direct input to Service Request system by End-Users)	X	
6. Utilize ServiceNow to document, manage and track all Incidents, Service Requests, Incident reports and inquiries regardless of the means by which the Service Request is submitted (e.g., telephone, e-mail, fax, direct online input by End-Users)	X	
7. Provide end-to-end Incident identification, escalation, Resolution (management) and Closure process including those escalated to Third Parties	X	
8. Receive, track, answer and Resolve, or monitor to closure, End-User and technical staff calls	X	
9. Categorize, prioritize and log all Incidents (e.g., inquiries/problems/Service Requests) in the Help Desk Incident system	X	
10. Monitor Incidents (i.e., Help Desk Incidents) and escalate per policies and procedures until Resolution and End-User satisfaction is achieved	X	
11. Troubleshoot Incidents using the Respondent knowledge databases and/or Third Party knowledge databases (e.g., application vendor knowledge databases)	X	
12. Resolve Incidents at Level 1 if possible, otherwise escalate to appropriate Level 2 or 3 resource as required	X	
13. Provide expert functional and process "How To" assistance for in-scope applications at Level 1 and escalate to Level 2 or 3 resource as required	X	

Service Request and Incident Management Roles and Responsibilities	Respondent	City
14. Establish and maintain a Problem Management knowledge base that is acceptable to the City where information about Problems, root cause, known errors, workarounds and Problem resolution actions are recorded and tracked. This knowledge base can be the same knowledge base maintained by the Respondent as used in connection with Incident Management	X	
15. Document solutions to Resolved Incidents in knowledge database	X	
16. Review the knowledge database for accuracy and currency on semi-annual basis		X
17. Provide unrestricted read access to City-authorized staff and other City designated personnel to all current and historical Problem Management records and knowledge base data. Monthly, provide a rolling one year copy of these records and/or databases to the City.	X	
18. Verify acceptance of Services by contacting the End-User to confirm results and level of satisfaction	X	
19. Identify Incident characteristics and root cause for Level 1 and 2 Incidents	X	
20. Ensure that recurring Incidents that meet defined criteria are reviewed using Root Cause Analysis processes	X	
21. Verify that all records (e.g., inventory, asset and configuration management records) are updated to reflect completed/Resolved Service Request (e.g., IMACs)	X	
22. Provide authorization for Closing of Service Requests and Help Desk Incidents	X	
23. Send Service Requests and Help Desk Incident Closure notices per City policies	X	

Remote Device and Software Management

Remote Device and Software Management Services are the activities associated with managing, maintaining and troubleshooting devices and Software remotely over the Network to minimize the need to dispatch technical personnel for Incident Resolution. The following table identifies the Remote Desktop Management roles and responsibilities that Respondent and City will perform.

Table 46 Remote Device and Software Management Roles and Responsibilities

Remote Device and Software Management Roles and Responsibilities	Respondent	City
1. Define policies for the use of Help Desk remote control tools		X
2. Develop, document and maintain in the Standards and Procedures Manual Help Desk Remote Device and Software Management procedures that meet requirements and adhere to defined policies	X	
3. Provide Remote Assist tools as needed.		X
4. Review and approve Remote Device and Software Management procedures		X

Remote Device and Software Management Roles and Responsibilities	Respondent	City
5. Obtain End-User authorization to diagnose Problems using remote-control capabilities	X	
6. Resolve Incidents and diagnose underlying Problems using remote-control capability and when possible implement corrective actions to Resolve Problems. If Resolution is not possible, escalate per the escalation procedures.	X	
7. Utilize remote controls to manage and update software, and to maintain configuration and inventory information.	X	
8. Utilize remote control tools to manage and enforce compliance with standards.	X	
9. Assist in enabling the enforcement of compliance with standards and the appropriate optimization of devices and software.		X

End-User Administration

End-User Administration Services are the activities associated with managing and coordinating account activation, termination, Changes and expiration, and the management of End-User LAN resources. The following table identifies the End-User Administration roles and responsibilities that Respondent and City will perform.

Table 47 End-User Administration Services Roles and Responsibilities

End-User Administration Services Roles and Responsibilities	Respondent	City
1. Define requirements and policies regarding End-User Administration		X
2. Develop, document and maintain in the Standards and Procedures Manual End-User Administration Respondent procedures that meet City requirements and adhere to City policies	X	
3. Review and approve End-User Administration procedures		X
4. Receive, track and process requests for End-User account activation, changes and terminations	X	
5. Coordinate End-User account administration, activation, changes and terminations (e.g., Password/account setup and Password Reset, remote access connectivity, e-mail accounts, End-User IDs)	X	
6. Create, change and delete End-User accounts per requests, in accordance with City's security policies	X	
7. Coordinate as necessary with other specialized areas to manage End-User accounts	X	
8. Perform Password Resets as required, in accordance with City's security policies	X	

Installs, Moves, Adds, Changes (IMAC)

IMAC Services are the activities associated the end-to-end management and coordination of IMAC Service Requests including gathering the business requirements, providing authorization, logging the request, and facilitating fulfillment. All authorized IMAC requests are

passed automatically to the local support team depending on the location and the product or Service being requested. Examples of IMACs include, without limitation, adding desktops, laptops and associated peripherals. The following table identifies the Installs, Moves, Adds, Changes (IMAC) roles and responsibilities that Respondent and City will perform.

Table 48 Installs, Moves, Adds and Changes (IMAC) Roles and Responsibilities

Installs, Moves, Adds, Changes (IMAC) Roles and Responsibilities	Respondent	City
1. Provide Technology Industry best practice for IMAC procedures	X	
2. Develop, document and maintain in the Standards and Procedures Manual IMAC Respondent procedures that meet City requirements and adhere to City policies	X	
3. Review and approve IMAC procedures		X
4. Receive and track IMAC Service Requests	X	
5. Obtain the requisite approvals from the City	X	
6. Confirm the requirements and scope and acquire City approval of the IMAC Service Request	X	
7. Contact the End-User and schedule an appropriate, agreed time for the work to take place	X	
8. Approve IMAC schedule		X
9. Coordinate approved IMAC requests with other Service Towers for delivery of IMAC services	X	
10. Track and report status of IMAC requests	X	
11. Contact End-User to confirm completion of IMACs and satisfaction	X	
12. Verify completion of IMACs		X

Utility Messaging Administration

Utility Messaging Administration Services are the activities associated with managing and coordinating account activation, termination, Changes and expiration, and the management of End-User Messaging resources. The following table identifies the Utility Messaging Administration roles and responsibilities that Respondent and City will perform.

Table 49 End-User Administration Services Roles and Responsibilities

Utility Messaging Administration Services Roles and Responsibilities	Respondent	City
1. Define requirements and policies regarding Utility Messaging Administration		X
2. Develop, document and maintain in the Standards and Procedures Manual Utility Messaging Administration Respondent procedures that meet City requirements and adhere to City policies	X	
3. Review and approve Utility Messaging Administration procedures		X
4. Receive track and process requests for creation, activation, changes and terminations of utility messaging accounts, per request and in accordance with the City's security policy.	X	

Utility Messaging Administration Services Roles and Responsibilities	Respondent	City
5. Coordinate Utility Messaging account administration, activation, changes and terminations (e.g., Password/account setup and Password Reset, remote access connectivity, e-mail accounts, End-User IDs)	X	
6. Create, change and delete End-User Messaging accounts per requests, in accordance with City's security policies	X	
7. Coordinate as necessary with other specialized areas to manage End-User accounts	X	
8. Perform Password Resets as required, in accordance with City's security policies	X	

Self-Help Support

Self-Help Support Services are the activities associated with IVR capabilities, out-of-prime-time voice messaging with guaranteed call-back response, Intranet-based automated Self-Help Support, etc. The following table identifies the Self-Help Support roles and responsibilities that the Respondent and City will perform.

Table 50 Self-Help Support Roles and Responsibilities

Self-Help Support Roles and Responsibilities	Respondent	City
1. Define Self-Help Support requirements and policies		X
2. Develop, document and maintain in the Standards and Procedures Manual Self-Help Support Respondent procedures that meet City requirements and adhere to City policies	X	
3. Review and approve Self-Help Support procedures		X
4. Implement Self-Help Support capabilities via a web based Portal that enables End-Users to perform self-service including: Password Resets and other administrative functions, "How To" support through End-User access to knowledge bases and online Incident status checking. In addition to the above mentioned functions, offer the following ancillary functions to assist the End-Users: <ul style="list-style-type: none"> • Frequently Asked Questions (FAQs) • Reports – Monthly and Weekly SLR/Metrics Reports • Support Tools • Community Alerts 	X	
5. Track and report on the utilization of the Self-Help Support capabilities and usage	X	
6. Monitor and review the effectiveness of Self-Help Support capabilities and usage		X
7. Develop and provide Technology Industry best practice for improvements to Self-Help Support capabilities	X	
8. Review and approve recommendations for improvements to Self-Help Support capabilities		X

Self-Help Support Roles and Responsibilities	Respondent	City
9. Implement approved recommendations for improvements to Self-Help Support capabilities	X	

Exception Requests

Exception Requests Services are the activities associated with fulfilling End-User requests for products or Services that are outside of standard City policies. The following table identifies the Exception Requests roles and responsibilities that the Respondent and City will perform.

Table 51 Exception Requests Roles and Responsibilities

Exception Requests Roles and Responsibilities	Respondent	City
1. Define Exception Requests policies and requirements		X
2. Develop, document and maintain in the Standards and Procedures Manual Exception Requests process, procedures and required forms that meet City requirements and adhere to City policies	X	
3. Review and approve Respondent Exception Requests procedures		X
4. Document Exception Requests in Help Desk Incident management system, collect and analyze the request, recommend Exception Request action and process the request to fulfillment or denial, and advise the originator of the status	X	
5. Review and approve exception requests		X
6. Take the necessary action to implement the request	X	
7. Provide Exception Requests status to requestor when approved	X	

Planning and Analysis

Planning and Analysis Services are the activities associated with providing the City the most appropriate and effective level of Service, through ongoing Planning and Analysis. The following table identifies Planning and Analysis roles and responsibilities that Respondent and City will perform.

Table 52 Planning and Analysis Roles and Responsibilities

Planning and Analysis Roles and Responsibilities	Respondent	City
1.		
2.		
3. Perform operational planning for Help Desk capacity and performance purposes	X	
4. Determine transitional plan and issues regarding facilities, layout and integration with other non-consolidated Help Desks	X	
5. Perform analysis of City environment, including acquiring City management team feedback, to identify the appropriate sets of skills, training and experience needed by Help Desk staff	X	

Help Desk Reporting

Help Desk Reporting Services are the activities associated with the preparation of and access to Help Desk reports that based on defined criteria. The following table identifies Help Desk Reporting Services roles and responsibilities that the Respondent and City will perform.

Table 53 Help Desk Reporting Services Roles and Responsibilities

Help Desk Reporting Services Roles and Responsibilities	Respondent	City
1. Recommend a list of Help Desk management reports	X	
2. Review and approve list of Help Desk management reports		X
3. Report on Help Desk statistics and trends as specified in the Standards and Procedures Manual (e.g., Service Request volumes and trends by types of End-Users)	X	
4. Report on trends in Service Requests indicating a need for training	X	
5. Audit report results and Help Desk operations periodically		X

Service Management

A key objective of the Agreement is to attain Service levels with Fee Reductions where business is impacted through failure to meet Service performance requirements, mission-critical system requirements or meet Critical Milestones or objectives. SLRs are detailed in the following sections and those associated with Fee Reductions are identified in Section 5.6—Service Credits and Earn back.

Respondent shall provide written reports to City regarding Respondent's compliance with the SLRs specified in this SOW.

Definitions

Attachment P (Definitions) provides a list of terms that apply to this SOW and following SLRs.

Service-Level Requirements (SLRs)

The following minimum Service levels are required at the end of the Transition Period. SLRs associated with Fee Reductions and Earn back are identified as "Critical" (i.e., "SLA Applicable"). All SLAs are further are detailed in Section 5.6—Service Credits and Earn back and Appendix 5.1 - SLR Weightings. **All times referenced are in Central Time.**

Table 54 Help Desk Availability SLRs

Definition	Help Desk Availability refers to the required time frames during which certain Services provided by the Help Desk must be available to End-Users, and response to automatically generated Help Desk Incidents must be achieved.
SLA Applicable?	See Appendix 5.1 - SLR Weightings

Help Desk Availability			
Help Desk Availability	Service Measure	Performance Target	SLR Performance %
1) Automated Password Support 2) End-User Support 3) IT Operations and Technical Support	Schedule	1) Sun.–Sat., 0000–2400 2) Mon.–Fri., 0600-2100 3) Sun.–Sat., 0000–2400	99.95%
	Formula	Availability (%) = 100% – Unavailability (%) Where Unavailability is defined as: $(\Sigma \text{ Outage Duration} \times 100\%) \div (\text{Schedule Time} - \text{Planned Outage})$ Availability is NOT an aggregate of the availability.	
	Measurement Interval	First Month—Measure Daily Thereafter—Measure Daily	
	Reporting Period	First Month—Report Weekly Thereafter—Report Monthly	
	Measurement Tool/Source Data	TBD	

Table 55 Response Time SLRs

Definition	Response Time is the number of seconds or cycles it takes an End-User to connect with Respondent's contact center representative. Respondent will provide toll-free telephone lines in adequate quantity to handle call volume; ACD system(s) to record call date, time and duration information; and electronic interfaces to all systems for monitoring and reporting.
SLA Applicable?	Yes

Response Time			
Help Desk Responsiveness	Service Measure	Performance Target	SLR Performance %
Speed-to-Answer	Phone Response Time	≤20 seconds	98%
Call Abandonment Rate	Phone Response Time	≤5%	100%
E-Mail Response Rate	Online Response Time	≤1 hour	98%
	Formula	Number of events per event Type within Performance Target ÷ Total number of events per Type during Measurement Interval = "Percent (%) Attained"	
	Measurement Interval	First Month—Measure Daily Thereafter—Measure Daily	

Response Time			
Help Desk Responsiveness	Service Measure	Performance Target	SLR Performance %
	Reporting Period	First Month—Report Weekly Thereafter—Report Monthly	
	Measurement Tool/Source Data	TBD	

Table 56 Incident Resolution SLRs

Definition	The time elapsed from the initiation of the Help Desk Incident until Service is restored.
SLA Applicable?	See Appendix 5.1 - SLR Weightings

Incident Resolution			
Help Desk Incident Resolution	Service Measure	Performance Target	SLR Performance %
First Contact Resolution	First Contact Resolution Percentage	85% resolved by first contact	100%
Incident Closure Notice (via e-mail and/or phone)	Elapsed Time	<20 minutes following Incident Resolution	98.0%
Root Cause Analysis	Schedule	Provide monthly review of recurring and Level 1 and 2 Incident areas and Resolutions	100.0%
	Formula	Number of instances within Performance Target ÷ Total number of instances during Measurement Interval = "Percent (%) Attained"	
	Measurement Interval	First Month—Measure Daily Thereafter—Measure Daily	
	Reporting Period	First Month—Report Weekly Thereafter—Report Monthly	
	Measurement Tool/Source Data	TBD	

Table 57 End-User Account Administration SLRs

Definition	Routine functions, such as setting up End-User IDs, changing End-User authorization tables, changing account codes and similar functions, which are handled by Respondent.
SLA Applicable?	See Appendix 5.1 - SLR Weightings

End-User Account Administration			
End-User Account Administration Tasks	Service Measure	Performance Target	SLR Performance %
New End-User Account (up to 5 per request)	Elapsed Time	Completed within 1 Business Day of authorized request	99.0%
New End-User Account (6–20 per request)	Elapsed Time	Completed within 3 Business Days of authorized request	99.0%
New End-User Account (20+ per request)	Elapsed Time	Case-by-case	N/A
Password Reset	Elapsed Time	Completed within 5 minutes of receipt of request	95.0%
Privilege Changes	Elapsed Time	Within 2 Business Day hours of City authorized request	95.0%
Disable End-User Account	Elapsed Time	Within 5 minutes of City authorized request	99.9%
Terminate End-User Account	Elapsed Time	After 14 Business Days of authorized request	99.9%
Procurement Request	Elapsed Time	Request entered within 1 Business Day	95.0%
	Formula	Number of instances within Performance Target ÷ Total number of instances during Measurement Interval = "Percent (%) Attained"	
	Measurement Interval	First Month—Measure Daily, Report Weekly Thereafter—Measure Daily, Report Monthly	
	Reporting Period	First Month—Report Weekly Thereafter—Report Monthly	
	Measurement Method/Source Data	TBD	

Table 58 Client Satisfaction SLRs

Definition	Measures the level of End-User satisfaction in relation to Help Desk services.
SLA Applicable?	See Appendix 5.1 - SLR Weightings

Client Satisfaction			
Client Satisfaction	Service Measure	Performance Target	SLR Performance %
Periodic Sample	Response/ Distribution Rate	100% of closed Help Desk Incidents surveyed within 48 hours of closing ticket	90%

Client Satisfaction			
Client Satisfaction	Service Measure	Performance Target	SLR Performance %
Scheduled Survey (conducted annually)	Client Satisfaction Rate	All End-Users surveyed	90%
	Formula	1. For periodic sample (survey co-developed with the City): Number of responses that met End-User expectations ÷ total number of responses 1. For scheduled annual survey (survey co-developed with the City): Number of responses that met End-User expectations ÷ total number of responses	
	Measurement Interval	Periodic Sample—Measure Monthly Annual Survey –Measure Annually	
	Reporting Period	Report Monthly	
	Measurement Method/Source Data	TBD	

Helpdesk Service Reports

Respondent shall provide written reports to City regarding Respondent's compliance with the SLRs in addition to the reports specified in this Section. Reports are required per the following table:

Table 59 Help Desk Services Reports

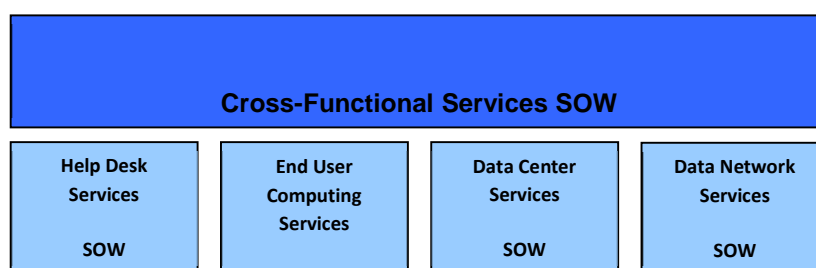
Report Description	Timing
TBD	

Section 4.8 Cross-functional

Cross-Functional Services Overview

This Section 4.8 (Cross-Functional Services SOW) is the Statement of Work (or “SOW”) that sets forth the roles and responsibilities of the Parties for the Cross-Functional Services provided under the Agreement as part of the Services. Cross-Functional Services are the Services and activities, as further detailed in this SOW, required to provide and support the City’s IT infrastructure. Respondent will provide Cross-Functional Services and processes across all Service Towers. As depicted in Figure 1 below, Services, activities, and roles and responsibilities described in this SOW are within the scope of each SOW for the Service Towers (Section 4.4 through 4.8) and shall be included within the Fees for each Service Tower specified in Section 5.4 (Fees) to the Agreement. Figure 1 depicts the relationship between the Cross-Functional Services SOW and all SOWs within the scope of the Agreement.

Figure. 1 Service Tower: SOW Service Towers with Cross-Functional View



Service Objectives

The primary drivers for this RFP are to 1) continuously improve the quality of services, 2) reduce or manage the growth in costs for providing IT services, 3) develop agreements that support the City’s future information technology needs, 4) provide flexibility in the deployment of IT services and 5) improve innovation capabilities.

The following are the key high-level Service objectives the City expects to achieve through the procurement of services resulting from this RFP solicitation:

- Meet City business needs for highly available, reliable, scalable and secure Services.
- Maintain compliance with industry standards and government regulations (e.g., ITIL).
- Acquire Services with Availability guarantees backed by Service-Level Requirements (SLRs).
- Acquire Services that can leverage operational scale and best practices to achieve optimum commercial price performance.
- Adopt a more flexible and variable cost structure vs. owning fixed assets.
- Acquire ongoing feedback mechanisms to ensure performance meets expectations.

The following are the key high-level Service objectives the City expects to achieve through this Cross-Functional Services Statement of Work (SOW):

- Ensure that critical IT life cycle and service management functions and processes are included in all IT Service Tower SOWs.

- Ensure that all critical IT life cycle and service management functions and processes are defined with clearly delineated roles and responsibilities, touch points and measurements between the City and the Respondent.
- Receive IT Services that consider an end-to-end enterprise and lifecycle view across all IT Service Towers.

Scope of the Infrastructure to Be Supported

The Service Environment section in each IT Service Tower SOW describes the environment to be supported and/or with which Respondent shall comply. The Service Environment includes Service Tower components such as hardware and software, facilities and locations, personnel, policies and procedures, licenses and agreements, work-in-progress and future initiatives. As such, this SOW shall apply to the Service Environment as specified in each Service Tower SOW. The Service Environment for each Service Tower will be documented in the applicable SOW Appendices and are to be maintained by Respondent, reviewed with the City, updated by and made available to the City on a quarterly basis.

Agencies that are in Scope

“Attachment U Agencies in Scope” list the City of Chicago agencies that are in scope.

Cross-Functional Services Requirements

The Respondent is responsible for providing Cross-Functional Services defined in this SOW for Service Towers defined in the following documents:

Section 4.4—Data Center Services SOW

Section 4.5—End User Computing Services SOW

Section 4.6—Data Network Services SOW

Section 4.7—Help Desk Services SOW

General Responsibilities

The following table identifies general roles and responsibilities associated with this SOW. An “X” is placed in the column under the Party that will be responsible for performing the task. Respondent responsibilities are indicated in the column labeled “Respondent.”

Table 60 General Services Roles and Responsibilities

General Roles and Responsibilities	Respondent	City
1. Provide Services and the supporting processes that support the City business needs, technical requirements End-User requirements	X	
2. Approve Services and the supporting processes that support the City business needs, technical requirements End-User requirements		X
3. Comply with the City policies, guiding principles, standards and regulatory requirements applicable to the City for information, information systems, personnel, physical and technical security	X	

General Roles and Responsibilities	Respondent	City
4. Develop and maintain an approved comprehensive Standards and Procedures Manual that contains the standards, processes and procedures that will be used in the delivery of all Service Tower Services. The manual will include clearly delineated roles and responsibilities, touch points and measurements between the City and the vendor	X	
5. Approve the comprehensive Standards and Procedures Manual that contains the standards, processes and procedures that will be used in the delivery of all Service Tower Services. The manual will include clearly delineated roles and responsibilities, touch points and measurements between the City and the vendor		X
6. Conform to changes in laws, regulations and policies. Major Service Changes shall be proposed on a project-by-project effort basis to alter the environment to conform to the new requirements	X	
7. Conform to City IT Policies - Attachment L CoC_IT_IS_Policy_Set_ver_RC_05	X	
8. Report performance against Service Level Requirements SLRs	X	
9. Coordinate all Changes to the IT infrastructure that may affect the SLRs s of any other Service Tower	X	
10. Provide timely creation, updating, maintenance and provision of all appropriate project plans, project time and cost estimates, technical Specifications, management documentation and management reporting in a form/format that is acceptable to the City for all Service Tower projects and major Service activities	X	
11. Adhere to ITIL best practices and Key Performance Indicators (KPIs)	X	
12. Approve the use of the ITIL best practices and Key Performance Indicators (KPIs)		X
13. Establish SharePoint site for all approved documentation, policies, and procedures.		X
14. Ensure that all approved documentation, policies, and procedures are available and maintained on the SharePoint site	X	

Planning and Analysis

Planning and Analysis Services are activities associated with researching new technical trends, products and services, such as hardware components, system Software, and Networks that offer opportunities to improve the efficiency and effectiveness of the Service Towers. Planning and Analysis Services can also help support competitive business advantage and mitigate risks by reducing defects and improving the Quality of IT Services. The following table identifies the Planning and Analysis roles and responsibilities that Respondent and the City will perform.

Table 61 Planning and Analysis Roles and Responsibilities

Planning and Analysis Roles and Responsibilities	Respondent	City
1. Define Services, processes, standards and time frames for Planning and Analysis activities		X

Planning and Analysis Roles and Responsibilities	Respondent	City
2. Participate in defining Services, processes, and standards for Planning and Analysis activities	X	
3. Review and approve Services, processes, and standards for Planning and Analysis activities		X
4. Define City requirements at the enterprise level for all Service Towers (e.g., business, technology strategy, functional, availability, capacity, performance, backup and IT service continuity)		X
5. Perform technical and Service Planning and Analysis based on City requirements (e.g., availability, capacity, performance, backup and IT Service Continuity and Disaster Recovery Services)	X	
6. Provide Technology Industry best practice for new or changes to applications, infrastructure, processes, and Services based on Planning and Analysis results	X	
7. Approve Planning and Analysis and recommendations for new or changes to applications, infrastructure, processes and Services		X
8. Provide management reports required for Planning and Analysis activities (e.g., utilization and capacity trend reports, rollout plans)		X
9. Recommend Data Backup and Retention policies for all Service Towers	X	
10. Define the City Data Backup and Retention requirements and policies for all Service Towers		X
11. Continuously monitor technical trends through independent research; document and report on products, processes and services with potential use for the City as they align with the City's business and technology strategy	X	
12. Identify Technology Industry best practice for new technologies that best meet Client business needs and meet cost, performance, and quality objectives	x	
13. Perform feasibility studies for the implementation of new technologies that best meet the City business needs and meet cost, performance and Quality objectives	X	
14. Define enterprise-level project management policies, procedures and requirements (e.g., project feasibility analysis, cost-benefit analysis, scheduling, costing, resource planning, communication planning, procurement, risk management and Quality management)		X
15. Perform project management function for Respondent-managed projects and provide project management deliverables in accordance with the City's project management policies and Project Management Institute's (PMI) best practices	X	
16. Perform project management oversight and liaison function to the business and customers (i.e., stakeholder management) and approve project management deliverables		X
17. Conduct technical and business planning sessions to establish standards, architecture and project initiatives per the Planning and Analysis results		X

Planning and Analysis Roles and Responsibilities	Respondent	City
18. Participate in technical and business planning sessions to establish standards, architecture and project initiatives per the Planning and Analysis results	X	
19. Develop and present documented standards and architecture		
20. Approve documented standards and architecture		
21. Conduct regular planning for technology refreshes and upgrades	X	
22. Participate in regular planning for technology refreshes and upgrades		X
23. Develop technology refresh and upgrade plan		x
24. Approve technology refresh and upgrade plan		x
25. Conduct technical reviews and provide recommendations for improvements that increase efficiency and effectiveness and reduce costs per the Planning and Analysis results	X	

Requirements Definition

Requirements Definition Services are the activities associated with the assessment and definition of functional, performance, IT Continuity and Disaster Recovery, and Security requirements that also comply with regulatory and the City policies. These requirements drive the technical design for the environment. The following table identifies the Requirements Definition roles and responsibilities that Respondent and the City will perform.

Table 62 Requirements Definition Roles and Responsibilities

Requirements Definition Roles and Responsibilities	Respondent	City
1. Define IT/business process (BP) service requirements and standards		X
2. Participate in defining requirements and standards	X	
3. Conduct interviews, group workshops and surveys to determine user functional, performance, Availability, maintainability and IT continuity and other IT/BP requirements		X
4. Participate in appropriate requirements-gathering activities (e.g., focus groups, interviews)	X	
5. Provide written information in sufficient detail pertaining to the requirements definition to enable development of appropriate requirements documentation (e.g., business requirements documentation)		X
6. Document requirements required to deliver Services in agreed-to formats (e.g., system Specifications, data models, upgrade requirements, conversion requirements, Network design schematics)	X	
7. Ensure requirements meet security policies	X	
8. Approve all requirements documents		X
9. Define Acceptance test criteria	X	
10. Participate in defining Acceptance test criteria		X
11. Review and approve all Acceptance test criteria		X

Requirements Definition Roles and Responsibilities	Respondent	City
12. Provide documented requirements and Acceptance test criteria per approved requirements standards	X	

Design Specifications

Design Specification services are the activities and deliverables associated with translating user and information system requirements into detailed technical Specifications. The following table identifies the Design Specifications roles and responsibilities that Respondent and the City will perform.

Table 63 Design Specifications Roles and Responsibilities

Design Specification Roles and Responsibilities	Respondent	City
1. Define Design Specifications standards and requirements		X
2. Develop, document and maintain technical design plans and environment configuration based on the City Design Specifications standards and requirements including IT architecture, functional, performance, Availability, maintainability, security and IT Continuity and Disaster Recovery requirements	X	
3. Determine and document required Service Tower component upgrade, replacement and/or conversion specifications (e.g., hardware, Software, Networks)	X	
4. Review and approve design plans through coordination with the appropriate the City technology standards group and design architects		X
5. Conduct site surveys for design efforts as required	X	
6. Provide Respondent with written information in sufficient detail pertaining to the Design Specifications to enable creation of the appropriate design documents		X
7. Document and deliver Design Specifications	X	
8. Review and approve Design Specifications		X

Acquisition and Management

Acquisition and Management Services are the activities associated with the Compensation, evaluation (technical and costing), selection and acquisition of new and upgraded Service Tower components (e.g., hardware, Software, circuits). The following table identifies the Acquisition and Management roles and responsibilities that Respondent and the City will perform.

Table 64 Acquisition and Management Roles and Responsibilities

Acquisition and Management Roles and Responsibilities	Respondent	City
1. Define Acquisition and Management requirements and policies		X
2. Develop, document and maintain in the Standards and Procedures Manual Acquisition and Management procedures that meet requirements and adhere to defined policies	X	
3. Review and approve Acquisition and Management procedures		X

Acquisition and Management Roles and Responsibilities	Respondent	City
4. Develop and maintain list of preferred suppliers/vendors		X
5. Approve list of preferred suppliers/vendors		X
6. Develop and issue acquisition bid requests as required and approved by the City		X
7. Establish audit procedures to ensure compliance with best practices and best Compensation		X
8. Perform periodic audits of procurement procedures		X
9. Evaluate proposals against clearly defined objective criteria		X
10. Negotiate contracts for Respondent-purchased/leased Service Tower-related components		X
11. Negotiate contracts for the City-purchased/leased Service Tower-related components		X
12. Manage the ordering, procurement and delivery processes in compliance with the City procurement and Acceptance processes		X
13. Manage and track Respondent purchase orders and service orders		X
14. Coordinate delivery and installation of new products and services, as required	X	
15. Ensure that new equipment/hardware complies with established the City IT standards and architectures	X	
16. Review and approve selection of hardware to be installed in the City facilities and Software to be installed on the City hardware		X
17. Review and approve acquisition Acceptance process		X
18. Adhere to the City acquisition Acceptance process	X	
19. Terminate, dispose of and relocate Assets as needed/specified and provide disposition reports as needed	X	

Asset Management

Asset Management Services are the activities associated with process of the ongoing management and tracking of the lifecycle of existing, Service Tower components (e.g., hardware, Software and software licenses, maintenance, circuits) and their attributes (ie location, costs, depreciation, contracts, vendor, serial numbers, etc). The following table identifies Asset Management roles and responsibilities that Respondent and the City will perform.

Table 65 Asset Management Roles and Responsibilities

Asset Management Roles and Responsibilities	Respondent	City
1. Define Asset Management requirements and policies		X
2. Develop, document and maintain in the Standards and Procedures Manual Asset Management process and procedures that meet requirements and adhere to defined policies	X	X
3. Review and approve Asset Management process and procedures		X
4. Deploy and manage an Asset Management system that meets the City requirements and adheres to defined policies	X	

Asset Management Roles and Responsibilities	Respondent	City
5. Manage life cycle of all Assets from identification, requisition ordering, inventory, installation, maintenance to disposal	X	
6. Develop Asset type list and attributes that would be included in the Asset Management system		X
7. Review Asset type list and attributes and maintain Asset types and attributes in the Asset Management system	X	
8. Provide the City inquiry and reporting access into the Asset Management System for all Assets	X	
9. Input, maintain, update, track and report all in-scope Assets throughout the Asset life cycle (e.g., identification to disposal)	X	
10. Maintain the accuracy of the data of in-scope Assets in the Asset Management System according to SLRs	X	
11. Provide electronic feed file of Asset data for various the City defined systems (e.g., financial system, City internal billing system)	X	
12. Establish, update and maintain the Asset database to include, at a minimum, the following Asset attributes: <ul style="list-style-type: none"> • Manufacturer • Model • Serial number • Asset identification number • Asset location • Ownership information (Respondent/City—lease/purchase) • Asset cost information • Maintenance information and history including the age of the Asset • Warranty information • Other billing information (e.g., lease information, City-specific information) • Transaction edit history (e.g., locations, billing and user) 	X	
13. Update in-scope Asset records related to all approved Change activities (e.g., Install/Move/Add/Change activities, Break/Fix activities, company reorganization and Change Management)	X	
14. Perform ongoing physical Asset audit, in accordance with Asset Management SLRs, to validate that data in the database is accurate and current and the City has information that the City requires for internal chargeback systems	X	
15. Provide reports of Asset Management audit results	X	
16. Provide and, upon City approval, implement Asset Management remediation plan for Asset Management deficiencies	X	
17. Review and approve audit reports and remediation plans of Asset inventory management information		X
18. Provide reports of the City's asset financial information including depreciation, maintenance contracts and value of assets.		

Software License Management

Software License Management Services are the activities associated with the identification, acquisition, and disposal and ongoing management and tracking of Software and their corresponding licenses. The following table identifies the Software License Management roles and responsibilities that Respondent and the City will perform.

Table 66 Software License Management

Software License Management Roles and Responsibilities	Respondent	City
1. Define Software License Management requirements and policies		X
2. Develop, document and maintain in the Standards and Procedures Manual Software License Management procedures that meet requirements and adhere to defined policies as mapped to asset management	X	
3. Review and approve Software License Management processes and procedures		X
4. Manage and maintain (e.g., monitor, track status, verify, audit, perform contract compliance, renew, reassign) Software licenses and media through Software license life cycle	X	
5. For City-retained contracts, be responsible for upgrade cost and vendor agreement negotiations		X
6. For non-City-retained contracts, be responsible for vendor agreement negotiations	X	
7. Develop and maintain inventory of all software licenses within the asset management system	X	
8. Report to the City on any exceptions to vendor terms and conditions including license non compliance	X	
9. Periodically, at least yearly, review Software license and maintenance agreements		X
10. Coordinate software license and maintenance agreement reviews, allowing for sufficient time prior to expiration for negotiations	X	
11. Provide the City with reports to use in making software acquisition and discontinuance decisions	X	
12. Provide Technology Industry best practice to purchase additional license allocation, recommending alternatives, or curtailing usage where necessary and appropriate, to restore, or continue to maintain, license compliance	X	
13. Identify and report license compliance issues to End-Users and provide recommendations to resolve the compliance issue	X	
14. Review license compliance issues with End-Users and document completed resolution		X
15. Manage and perform audits and reconcile the number of licenses to the number of installs	X	
16. Provide recommendations to the City to resolve any software reconciliation issues	X	
17. Report on resolution to software reconciliation issues		X

Software License Management Roles and Responsibilities	Respondent	City
18. Hold periodic reviews and ensure review is conducted 90 days prior to expiration of all Software and hardware license and maintenance agreements		X
19. Obtain approval from the City for any license change or replacement	X	

Engineering/Development

Engineering/Development Services are the activities associated with the engineering and development of the IT infrastructure, tools and utilities that enhance the Service Towers. The following table identifies the Engineering/Development roles and responsibilities that Respondent and the City will perform.

Table 67 Engineering/Development Roles and Responsibilities

Engineering/Development Roles and Responsibilities	Respondent	City
1. Provide Technology Industry best practice for Engineering/Development requirements and policies	X	
2. Review and approve Engineering/Development requirements and policies		X
3. Develop, document and maintain in the Standards and Procedures Manual Engineering/Development procedures that meet requirements and adhere to defined policies	X	
4. Develop and deliver Engineering/Development plans where there is an impact on City entities/facilities and/or other Third Party agreements	X	
5. Perform engineering functions required to implement design plans for additional or new products and services	X	
6. Perform engineering functions required to implement and manage Service Tower Services on City-owned/leased facilities	X	
7. Manage Engineering/Development efforts using formal project management tools and methodologies	X	
8. Review and approve Engineering/Development plans and procedures where there is an impact on other City entities/facilities/Third Party agreements		X

Integration and Testing

Integration and Testing Services are the activities associated with ensuring that all individual IT components configured with or added to the IT infrastructure work together cohesively to achieve the intended results. The following table identifies the Integration and Testing roles and responsibilities that the Respondent and the City will perform.

Table 68 Integration and Testing Roles and Responsibilities

Integration and Testing Roles and Responsibilities	Respondent	City
1. Define Integration and Testing requirements and policies		X

Integration and Testing Roles and Responsibilities	Respondent	City
2. Develop, document and maintain in the Standards and Procedures Manual Integration and Testing procedures that meet requirements and adhere to defined policies	X	
3. Review and approve Integration and Testing procedures		X
4. Manage integration test environment	X	
5. Maintain Software release matrices across development, QA, and production environments and Networks	X	
6. Validate and approve the Software release matrix		X
7. Conduct integration and security testing for all new and upgraded equipment, Networks, Software or Services to include unit, system, integration and regression testing based on requirements defined in requirements and design documents	X	
8. Evaluate all new and upgraded Service Tower components or Services for compliance with the City's security policies, regulations and procedures	X	
9. Assess and communicate the overall impact and potential risk to Service Tower components prior to implementing Changes	X	
10. Define User Acceptance Test requirements		X
11. Stage new and upgraded equipment, Software or Services to smoothly transition into existing environment based on requirements defined in requirements and design documents	X	
12. Perform modifications and performance-enhancement adjustments to the City system Software and utilities as a result of changes to architectural standards or additions and upgrades to the environment	X	
13. Test new releases of supported hardware and Software to ensure required performance and functionality is maintained in conformance with the City's SLRs	X	
14. Support Middleware required to integrate Software and hardware	X	
15. Provide integration of application Software		X
16. Perform Configuration Management and Change Management activities related to Integration and Testing	X	

Implementation and Migration

Implementation and Migration Services are the activities associated with the installation of new and upgraded IT components (e.g., hardware, Software and Network components). The following table identifies the Implementation and Migration roles and responsibilities that Respondents and the City will perform.

Table 69 Implementation and Migration Roles and Responsibilities

Implementation and Migration Roles and Responsibilities	Respondent	City
1. Define Implementation and Migration requirements and policies		X

Implementation and Migration Roles and Responsibilities	Respondent	City
2. Develop, document and maintain in the Standards and Procedures Manual Implementation and Migration procedures that meet requirements and adhere to defined policies	X	
3. Review and approve Implementation and Migration procedures		X
4. Notify Respondent of equipment migration and redeployment plans		X
5. Coordinate and review all Implementation and Migration plans and schedules with the City in advance, in accordance with Change Management policies	X	
6. Approve Implementation and Migration plans and schedules		X
7. Conduct pre-installation site surveys, as required	X	
8. Install enhancements to technical architecture or Services provided	X	
9. Install new or enhanced Service Tower components (e.g., hardware, Software, Middleware, utilities, Networks, peripherals, configurations)	X	
10. Perform Service Tower component upgrades as a result of new and enhanced applications and architectures and the City upgrade plans and requirements (e.g., hardware, Software, Middleware, utilities, Networks, peripherals, configurations)	X	
11. Install physical infrastructure as required (e.g., wiring, cable plant, cooling, etc.)	X	
12. Coordinate Implementation and Migration support activities with the City's IT staff and Respondent Help Desk	X	
13. Perform data migration and conversion by electronic or manual methods as a result of implementation or migration (e.g., databases, Network system management repositories, address tables, Management Information Bases [MIBs])	X	
14. Perform appropriate tests on all Installs, Moves, Adds and Changes per requirements	X	
15. Conduct and document User Acceptance Tests (UAT) plans and results per requirements	X	
16. Review and approve UAT plans and results		X
17. Provide the City DoIT technical staff and End-Users with training related to the implementation of new products and Services per requirements	X	

Environment and Facilities Support

Environment and Facilities Support Services are the activities associated with maintaining environmental requirements at Respondent and the City's facilities. The following table identifies Environment and Facilities Support roles and responsibilities that Respondent and the City will perform.

Table 70 Environmental and Facilities Support Roles and Responsibilities

Environmental and Facilities Support Roles and Responsibilities	Respondent	City
1. Provide Technology Industry best practice for Environment and Facilities Support requirements	X	
2. Review and approve Environment and Facilities Support requirements		X
3. Identify requirements for the City Environment for Respondent-supported components	X	
4. Develop, document and maintain in the Standards and Procedures Manual Environment and Facilities Support procedures that meet requirements and adhere to defined policies	X	
5. Review and approve Environment and Facilities Support procedures		X
6. Remotely monitor environmental systems (e.g., UPS) required to support Service Tower components housed in the City's facilities (e.g., computer rooms)	X	
7. Develop and provide Technology Industry best practice for improvement plans for City-monitored facilities as needed to maintain an effective and secure computing environment	X	
8. Implement or coordinate the implementation of all approved upgrades and installations	X	
9. Coordinate City site activities of all personnel (i.e., Respondent employees and others) working in equipment locations (e.g., equipment rooms, Network equipment closets)	X	
10. Ensure that facilities support activities conform to the requirements of defined Change Management processes	X	

E-Waste Disposal Support

E-Waste Disposal Support Services are the activities associated with maintaining environmental requirements at Respondent and the City's facilities. The following table identifies Environment and Facilities Support roles and responsibilities that Respondent and the City will perform.

Table 71 E-Waste Disposal Support Roles and Responsibilities

E-Waste Disposal Support Roles and Responsibilities	Respondent	City
1. Pick up assets from sites	X	
2. Provide reports of the processors and monitors received	X	
3. Provide a Certificate of Destruction (data destruction) on all processors resold or recycled	X	
4. Provide a Certificate of Destruction (environmental compliance) on all assets not resold but recycled	X	
5. Identify locations needing disposal pickup and approval	X	
6. Provide quantity collected	X	

Training and Knowledge Transfer

Training and Knowledge Transfer Services consist of the following three types of training Respondent will provide:

- Training for the improvement of skills through education and instruction for Respondent's staff. Respondent will participate in any initial and ongoing training delivered by the City as required that would provide a learning opportunity about the City's business and technical environment.
- Training for the City's retained technical staff for the express purpose of exploiting the functions and features of the City's computing environment. Delivery methods may include classroom-style, computer-based, individual or other appropriate means of instruction.
- Selected classroom-style and computer-based training (case-by-case basis) for standard commercial off-the-shelf (COTS) applications, including new employee training, upgrade classes and specific skills.

The following table identifies the Training and Knowledge Transfer roles and responsibilities that Respondent and the City will perform.

Table 72 Training and Knowledge Transfer Roles and Responsibilities

Training and Knowledge Transfer Roles and Responsibilities	Respondent	City
1. Define Training and Knowledge Transfer requirements and policies		X
2. Develop, document and maintain in the Standards and Procedures Manual Training and Knowledge Transfer procedures that meet requirements and adhere to defined policies	X	
3. Review and approve Training and Knowledge Transfer procedures		X
4. Develop and deliver training program to instruct City personnel on the provision of Respondent Services (e.g., "rules of engagement," requesting Services)	X	
5. Review and approve Respondent-developed training program		X
6. Develop, implement and maintain a City-accessible knowledge database/portal	X	
7. Develop and implement Knowledge Transfer procedures to ensure that more than one individual understands key components of the business and technical environment	X	
8. Participate in City-delivered instruction on the business and technical environment	X	
9. Develop, document and deliver training requirements that support the ongoing provision of the City Services, including refresher courses as needed and instruction on new functionality	X	
10. Take training classes as needed to remain current with systems, Software, features and functions for which Help Desk support is provided, in order to improve Service performance (e.g., First-Contact Resolution)	X	

Training and Knowledge Transfer Roles and Responsibilities	Respondent	City
11. Provide training when substantive (as defined between the City and Respondent) technological Changes (e.g., new systems or functionality) are introduced into the City's environment, in order to facilitate full exploitation of all relevant functional features	X	
12. Provide training materials for the City's technical staff for Level 1 supported applications	X	
13. Provide ongoing training materials for Help Desk personnel on the City's business and technical environments as defined by the City	X	
14. Provide City-selected classroom-style and computer-based training (case-by-case basis) for standard, commercial off-the-shelf (COTS) applications as requested by the City	X	

Documentation

Documentation Services are the activities associated with developing, revising, maintaining, reproducing and distributing Service Tower information in hard copy and electronic form. The following table identifies the Documentation roles and responsibilities that Respondent and the City will perform.

Table 73 Documentation Roles and Responsibilities

Documentation Roles and Responsibilities	Respondent	City
1. Recommend Documentation requirements and formats	X	
2. Define Documentation requirements, formats and policies		X
3. Develop, document and maintain in the Standards and Procedures Manual Documentation procedures that meet requirements and adhere to defined policies	X	
4. Review and approve Documentation procedures		X
5. Provide output in agreed format for support of activities throughout the life cycle of Services as specified in each Service Tower	X	
6. Document system Specifications and configurations (e.g., interconnection topology, configurations, Network diagrams)	X	
7. Provide City-specific operating requirements		X
8. Document standard operating procedures (e.g., boot, failover, spool management, batch processing, backup)	X	
9. Review and approve standard operation procedures Documentation		X
10. Document job production and maintenance schedules	X	
11. Review and approve job production and maintenance schedules and Documentation		X
12. Utilize City of Chicago SharePoint Site for documentation storage	X	

Operations and Administration

Operations and Administration Services are the activities associated with providing a stable IT infrastructure and to effectively and efficiently perform procedures to ensure IT Services meet

SLR targets and requirements. The following table identifies the Operations and Administration roles and responsibilities that Respondent and City will perform.

Table 74 Operations and Administration Roles and Responsibilities

Operations and Administration Roles and Responsibilities	Respondent	City
1. Provide Operations and Administration requirements and policies, including schedules for the operation of City Service Tower components		X
2. Develop, document and maintain in the Standards and Procedures Manual Operations and Administration procedures that meet requirements and adhere to defined policies	X	
3. Develop operational documentation (i.e., Run Books, Contact Lists, Operations scripts, etc.) that meets the City's requirements	X	
4. Review and approve Operations and Administration procedures and operational documentation		X
5. Identify Enterprise System Management tools to monitor the IT infrastructure and the City applications	X	
6. Coordinate with the City to deploy enterprise Service Tower component management tools to monitor the IT infrastructure and the City applications	X	
7. Install and configure enterprise Service Tower component management tools in such a fashion that Problems, issues and events are proactively identified, reported and Resolved according to prescribed SLRs	X	
8. Perform event management monitoring of IT Services to detect abnormal conditions or alarms, log abnormal conditions, analyze the condition and take corrective action	X	
9. Manage hardware, Software, peripherals, Services and spare parts to meet SLRs, minimize downtime and minimize the City's resource requirements	X	
10. Manage and coordinate subcontractors and Third Parties in order to meet Service and SLR requirements	X	
11. Develop and provide operational reports (daily, weekly, monthly) that provide status of operational activities, production issues and key operational metrics	X	
12. Review and approve operational reports		X
13. Audit Operations and Administration policies for compliance with the City security policies		X
14. Provide the City with a copy of or access to any Respondent or Third Party-supplied documentation (including updates thereto)	X	

Maintenance

Maintenance Services are the activities associated with the maintenance and repair of hardware, Software and Networks to include "Break/Fix" Services. Installed platform and product version levels are not to be more than one version behind the current commercial release, unless coordinated with the City architectural standards committee. The following

table identifies the Maintenance roles and responsibilities that Respondent and the City will perform.

Table 75 Maintenance Roles and Responsibilities

Maintenance Roles and Responsibilities	Respondent	City
1. Define Maintenance requirements and policies		X
2. Develop, document and maintain in the Standards and Procedures Manual Maintenance procedures that meet requirements and adhere to defined policies	X	
3. Develop Maintenance schedules	X	
4. Review and approve Maintenance procedures and schedules		X
5. Define dispatch requirements and point-of-service locations		X
6. Ensure appropriate Maintenance coverage for all Service Tower components	X	
7. Provide maintenance and Break/Fix support in the City's defined locations, including dispatching repair technicians to the point-of-service location if necessary	X	
8. Perform diagnostics and maintenance on Service Tower components including hardware, Software, peripherals, Networks and special-purpose devices as appropriate	X	
9. Install manufacturer field change orders, service packs, firmware and Software maintenance releases, etc.	X	
10. Perform product patch, "bug fix," service pack installation or upgrades to the current installed version	X	
11. Perform Maintenance-related Software distribution and version control, both electronic and manual	X	
12. Replace defective parts including preventive Maintenance, according to the manufacturer's published mean-time-between failure rates	X	
13. Conduct Maintenance and parts management and monitoring during warranty and off-warranty periods	X	
14. Maintain critical spare parts depot for End of Life Equipment(*)	X	
15. For EOL Equipment, Respondent will do best commercially viable effort to repair	X	

(*) A list of manufacturers and equipment for which parts will be necessary will be provided to all bidders who request such information, subject to the execution of a confidentiality agreement. It is expected that bidders will be an authorized dealer or distributor of all such equipment such that original product warranty may be provided to the City

Technology Refreshment and Replenishment

Technology Refreshment and Replenishment (TR&R) Services are the activities associated with modernizing the IT infrastructure on a continual basis to ensure that the system components stay current with evolving industry-standard technology platforms. The following table identifies the Technology Refreshment and Replenishment roles and responsibilities that Respondent and the City will perform.

Table 76 Technology Refreshment and Replenishment Roles and Responsibilities

TR&R Roles and Responsibilities	Respondent	City
1. Provide Technology Industry best practice for Technology Refreshment and Replenishment (TR&R) life cycle management policies, procedures and plans appropriate for support of the City business requirements	X	
2. Develop, document and maintain in the Standards and Procedures Manual TR&R procedures and develop TR&R plans that meet requirements, adhere to defined policies and Change and Release Management processes	X	
3. Review and approve TR&R policies, procedures and plans		X
4. Support the necessary tasks required to fulfill the TR&R plans	X	
5. Provide management reports on the progress of the TR&R plans	X	
6. Periodically review the approved TR&R implementation plans to ensure they properly support the City business requirements		X

Availability Management

The goal of Availability Management is to understand the overall availability requirements of the City business needs and to plan, measure, monitor and continuously strive to improve the availability of the IT Infrastructure, services, and supporting IT organization to ensure these requirements are met consistently with a focus on providing cost effective Availability improvements that deliver measurable City business benefits. Availability Management covers the evaluation, design, implementation, measurement and management of the IT Infrastructure Availability from a component and an end-to-end perspective (i.e. Services), including new or modified IT service management methodologies and tools, as well as technology modifications or upgrades of IT infrastructure systems and components. The goal of the Availability Management process is to optimize the capability of the IT Infrastructure, services and supporting organization to deliver a cost effective and sustained level of Availability that enables the business to satisfy its business objectives.

Key activities of the Availability Management process are as follows:

- Determining business unit Availability requirements (usually as part of the SLA development) for a new or enhanced IT Service and formulating the Availability and recovery design criteria for the IT Infrastructure to ensure IT Services are designed to deliver the appropriate levels of Availability
- Determining the critical business functions and impact arising from IT component failure. Where appropriate reviewing the Availability design criteria to provide additional resilience to prevent or minimize impact to the business
- Identifying opportunities to optimize the availability of the IT Infrastructure to deliver cost effective improvements that deliver tangible business benefits
- Supporting the targets for availability, reliability and maintainability for the IT Infrastructure components that underpin the IT Service to enable these to be documented and agreed within SLAs, and contracts
- Establishing measures and reporting of availability, reliability, and maintainability, that reflects the business, End-User and IT support organization perspectives

- Monitoring and trend analysis of the availability, reliability and maintainability of IT systems and components
- Reviewing IT Service, system, and component availability, identifying unacceptable levels, and ensuring appropriate corrective actions are taken to address IT Availability shortfalls
- Investigating the underlying reasons for unacceptable availability and providing recommendations for resolution
- Producing and maintaining a forward-looking Availability Plan, which prioritizes and plans overall IT Availability improvements aimed at improving the overall Availability of IT Services and Infrastructure components to ensure that existing and future business Availability requirements can be met
- Providing IT Availability reports to ensure that agreed levels of availability, reliability and maintainability are measured and monitored on an ongoing basis

The following table identifies the Availability Management roles and responsibilities that the Respondent and the City will perform.

Table 77 Availability Management Roles and Responsibilities

Availability Management Roles and Responsibilities	Respondent	City
1. Establish criteria and SLRs for Availability Management support requirements, including IT systems and services to be covered		X
2. Develop Availability Management policies, process and procedures and determine appropriate Availability Management tools and methods that support the City's Availability Management support requirements	X	
3. Participate in the development of Availability Management policies, process and procedures and identifying the tools and availability methods to be used		X
4. Review and approve Availability Management policies, processes and procedures		X
5. Implement agreed-upon Availability Management policies, processes and procedures	X	
6. Provide unrestricted read access by City-authorized staff and designated personnel to all current and historical Availability knowledgebase data and records	X	
7. Ensure that Availability requirements are included when requirements are identified when upgrading and/or designing new IT systems and services to support business users		X
8. Participate in user requirements gathering and analysis when upgrading and/or designing new IT systems and services to ensure that IT Services and systems are designed to deliver the required levels of Availability (mapped to the SLRs) required by the business	X	
9. Create Availability and recovery design criteria to be applied to upgrades and/or new or enhanced Infrastructure design	X	
10. Participate in creating Availability and recovery design criteria to be applied to upgrades and/or new IT Infrastructure system and services design		X
11. Coordinate with the IT service support and IT service delivery process owners and managers from the City to research, review, and assess	X	

Availability Management Roles and Responsibilities	Respondent	City
Availability issues and optimization opportunities		
12. Define the Availability measures and reporting required for the IT Infrastructure and its components that underpin an upgraded and/or new IT Service as the basis for an SLA agreement that reflect business, End-User, and IT support organization requirements		X
13. Participate with the City in defining the Availability measures and reporting requirements	X	
14. Provide Technology Industry best practice for appropriate tools and practices to measure and report on agreed-upon Availability measures for upgraded and/or enhanced IT Infrastructure	X	
15. Review and approve Availability measurement tools and practices		X
16. Ensure that approved Availability measurement tools and practices are implemented	X	
17. Monitor and maintain an awareness of technology advancements and IT best practices related to Availability optimization and periodically provide updates to the City's IT management	X	
18. Ensure that all Availability Management improvement initiatives conform to defined Change Management procedures set forth in the Process and Procedures Manual	X	
19. Coordinate and take ownership of Availability Management across all IT service areas within the City and third-party service vendors (e.g., public carriers, Internet service providers, third party providers, et. Al.)	X	
20. Participate in Problem Management review sessions as appropriate, specifically those Problems related to outages of critical systems	X	
21. Monitor actual IT Availability achieved versus targets and ensure shortfalls are addressed promptly and effectively	X	
22. Conduct Availability Assessment review sessions and provide cost-justified improvement recommendations	X	
23. Participate in Availability review sessions		X
24. Review and approve cost-justifiable improvement recommendations that the City deems appropriate to enhance the City IT and business performance needs		X
25. Coordinate with the City and third-party service vendors to gather information on IT systems and service Availability issues and trends to be used for trend analysis	X	
26. Produce and maintain an Availability Plan which prioritizes and plans approved IT Availability improvements	X	
27. Review and approve Availability Plan		X
28. Provide IT Availability reporting to ensure that agreed levels of Availability, reliability, and maintainability are measured, reported and monitored on an ongoing basis	X	
29. Promote Availability Management awareness and understanding within all IT support organization including third party service vendors	X	
30. Perform regular reviews of the Availability Management process and its associated techniques and methods to ensure that all are subjected to continuous improvement and remain fit for purpose	X	
31. Periodically audit the Availability Management process to ensure that it		X

Availability Management Roles and Responsibilities	Respondent	City
continues to deliver desired results in compliance with agreed-upon policies, processes and procedures		

Capacity Management

Capacity Management Services are the activities associated with ensuring that the capacity of the Service Towers matches the evolving demands of the City business in the most cost-effective and timely manner. The process encompasses the following:

- Monitoring of performance and throughput of IT Services and supporting IT components
- Understanding current demands and forecasting for future requirements
- Developing capacity plans which will meet demand and SLRs
- Developing modeling and conducting simulations to manage capacity
- Conducting risk assessment of capacity recommendations
- Developing and implementing a capacity plan including the financial impact of the Service Towers
- Undertaking tuning activities

The following table identifies the Capacity Management roles and responsibilities that Respondent and the City will perform.

Table 78 Capacity Management Roles and Responsibilities

Capacity Management Roles and Responsibilities	Respondent	City
1. Define Capacity Management requirements (SLRs) and policies		X
2. Develop, document and maintain in the Standards, Process and Procedures Manual Capacity Management procedures that meet requirements and adhere to defined policies	X	
3. Review and approve Capacity Management process and procedures		X
4. Establish a comprehensive Capacity Management planning process	X	
5. Review and approve Capacity Management planning process		X
6. Define, develop and implement tools that allow for the effective capacity monitoring/trending of IT infrastructure, applications and IT components	X	
7. Identify future business requirements that will alter capacity requirements		X
8. Develop an annual capacity plan	X	
9. Develop and implement capacity models and run simulations to validate the capacity plan	X	
10. Participate in all capacity planning activities		X

Capacity Management Roles and Responsibilities	Respondent	City
11. Assess capacity impacts when adding, removing or modifying applications and infrastructure components	X	
12. Continually monitor IT resource usage to enable proactive identification of capacity and performance issues	X	
13. Capture trending information and forecast future the City's capacity requirements based on City-defined thresholds	X	
14. Assess Incidents/Problems related to capacity and provide recommendations for resolution	X	
15. Identify Technology Industry best practice for changes to capacity to improve service performance	X	
16. Assess impact/risk and cost of capacity changes	X	
17. Approve capacity-related recommendations		X
18. Maintain capacity levels to optimize use of existing IT resources and minimize the City's costs to deliver Services at agreed-to SLRs	X	
19. Ensure adequate capacity exists within the IT environment to meet SLR requirements taking into account daily, weekly and seasonal variations in capacity demands	X	
20. Validate Asset utilization and capital efficiency		X

Performance Management

Performance Management Services are the activities associated with managing and tuning Service Tower components for optimal performance. The process encompasses the following:

- Monitoring of performance and throughput of IT Services and supporting IT components
- Assessing the results of the reports
- Conducting trending analysis
- Providing recommendations to tuning
- Performing tuning activities

The following table identifies the Performance Management roles and responsibilities that Respondent and the City will perform.

Table 79 Performance Management Roles and Responsibilities

Performance Management Roles and Responsibilities	Respondent	City
1. Define Performance Management requirements and policies		X
2. Develop, document and maintain in the Standards, Process and Procedures Manual Performance Management procedures that meet requirements and adhere to defined policies	X	X
3. Review and approve Performance Management procedures		X
4. Perform Service Tower component tuning to maintain optimum performance in accordance with Change Management procedures	X	
5. Manage Service Tower component resources (e.g., devices and traffic) to meet defined Availability and performance SLRs	X	

Performance Management Roles and Responsibilities	Respondent	City
6. Provide regular monitoring and reporting of Service Tower component performance, utilization and efficiency	X	
7. Proactively evaluate, identify and recommend configurations or changes to configurations that will enhance performance	X	
8. Conducting trending analysis to recommend changes to improve the performance	x	
9. Develop and deliver improvement plans as required to meet SLRs	X	
10. Review and approve improvement plans		X
11. Implement improvement plans and coordinate with Third Parties as required	X	
12. Provide technical advice and support to the application maintenance and development staffs as required	X	

Service Level Monitoring and Reporting

Service Level Monitoring and Reporting Services are the activities associated with the monitoring and reporting Service Levels with respect to SLRs. In addition, Respondent shall report system management information (e.g., performance metrics and system accounting information) to the designated City representatives in a format agreed to by the City. The following table identifies the Service Level Monitoring and Reporting roles and responsibilities that Respondent and the City will perform.

Table 80 Service Level Monitoring and Reporting Responsibilities

Service Level Monitoring Roles and Responsibilities	Respondent	City
1. Define SLRs		X
2. Define Service Level Monitoring and Reporting requirements and policies		X
3. Develop, document and maintain in the Standards Process and Procedures Manual Service Level Monitoring and Reporting procedures that meet requirements and adhere to defined policies	X	X
4. Review and approve Service Level Monitoring and Reporting procedures		X
5. Report on SLR performance and improvement results	X	
6. Coordinate SLR monitoring and reporting with designated City representative and Third Parties	X	
7. Measure, analyze and provide management reports on performance relative to SLRs	X	
8. Conduct SLRs Improvement Meetings to review SLRs and recommendation for improvements	X	X
9. Review and approve SLR improvement plans		X
10. Implement SLR improvement plans	X	
11. Review and approve SLR metrics and performance reports		X

Service Level Monitoring Roles and Responsibilities	Respondent	City
12. Provide the City access to performance and SLR reporting and monitoring system and data	X	

Security

Security Services are the activities associated with maintaining physical and logical security of all Service Tower components (hardware and Software) and data, virus protection, access protection and other Security Services in compliance with the City Security requirements and all applicable regulatory requirements. The following table identifies Security roles and responsibilities that Respondent and the City will perform.

Table 81 Security Roles and Responsibilities

Security Roles and Responsibilities	Respondent	City
1. Define Security requirements, standards, process and procedures and policies including regulatory requirements		X
2. Assist in developing Security standards, policies and procedures including industry best practices	X	
3. Develop, document and maintain in the Standards, Process and Procedures Manual Security requirements, standards, process and procedures and policies including regulatory requirements	X	
4. Review and approve Security requirements, standards, procedures and policies including regulatory requirements		X
5. Remain up to date with current Security trends, threats, common exploits and security policies and procedures and best practices	X	
6. Provide a full-time Security assessment group to conduct continual assessments of the City's Security effectiveness	X	
7. Provide a City Security customer service group that will be the direct liaison with the departments for Security requirements	X	
8. Conduct risk assessment to identify control or Security gaps		X
9. Provide Security plan and IT infrastructure based on Security requirements, standards, procedures, policies, City's federal, state, and local requirements and risks	X	
10. Review and approve Security plans and IT infrastructure		X
11. Implement physical and logical Security plans consistent with the City Security policies and industry standards (e.g., ISO 20000, ISO 27001, COBIT, HIPAA, PCI, PCI, CJIS, FERPA, etc...)	X	
12. Establish access profiles and policies for adding, changing, enabling/disabling and deleting log-on access of the City employees, agents and subcontractors		X
13. Perform log-on/Security-level access changes as detailed in profiles and policies for all Services Towers	X	
14. Provide and support best available COTS Security analysis and monitoring products into the City's system and Network infrastructure	X	
15. Report Security violations to the City per the City policies	X	

Security Roles and Responsibilities	Respondent	City
16. Resolve Security violations	X	
17. Resolve Security violations that originate outside of the hosted Network(s) (e.g., denial-of-service attacks, spoofing, Web exploits)	X	
18. Review all Security patches relevant to the IT environment and classify the need and speed in which the Security patches should be installed as defined by Security policies and Change Management	X	
19. Install Security patches per the City's Change Management process and procedures including acquiring required the City approval	X	
20. Maintain all documentation required for Security assessments, audits and internal control and control testing	X	
21. Place and support systems with particularly sensitive data in controlled access areas. Only End-Users with current, authorized access permission shall be allowed to enter these areas	X	
22. Perform periodic Security audits		X
23. Allow Third Party Security audits	X	
24. Implement a Security awareness program	X	
25. Provide the City access to security reporting and monitoring systems and data	X	

Backup and Recovery

Back and Recovery Services are the activities associated with providing ongoing Backup and Recovery capabilities according to the City schedules and requirements. Respondent must demonstrate that it will consistently meet or exceed the City's ongoing Backup and Recovery requirements. The following table identifies Backup and Recovery roles and responsibilities that Respondent and the City will perform.

Table 82 Backup and Recovery Roles and Responsibilities

Backup and Recovery Roles and Responsibilities	Respondent	City
1. Define Backup and Recovery schedules, requirements and policies		X
2. Recommend best practices for Backup and Recovery Services strategies, policies, and process and procedures	X	
3. Develop, document and maintain in the Standards and Process and Procedures Manual Backup and Recovery schedules and procedures that adhere to the City requirements and policies	X	
4. Coordinate the Backup and Recovery Standards and Process and Procedure Manual with the City Security and Legal teams	X	
5. Review and approve Backup and Recovery schedules and process and procedures		X
6. Define Backup and Recovery Monitoring and Reporting requirements and policies	X	

7. Review and approve Backup and Recovery Monitoring and Reporting procedures		X
8. Manage backup media inventory (tape, disk, optical and other media type) including the ordering and distribution of media	X	
9. Perform Service Tower component backups and associated rotation of media as required	X	
10. Identify and establish a secure off-site location for data media	X	
11. Approve secure off-site location for data media		X
12. Archive data media at a secure off-site location	X	
13. Ensure ongoing capability to recover archived data from media as specified (backward compatibility of newer backup equipment)	X	
14. Test backup media to ensure incremental and full recovery of data is possible and ensure Service Tower component integrity, as required or requested by the City	X	
15. Recover files, file system or other data required from backup media, as required or requested by the City	X	
16. Provide recovery and backup requirements and updates as they change		X
17. Provide the City access to backup and recovery reporting and monitoring systems and data	X	

IT Service Continuity and Disaster Recovery (DR)

IT Service Continuity and Disaster Recovery (DR) Services are the activities associated with providing IT Service Continuity and DR Services for the City applications, and their associated infrastructure (e.g., CPU, servers, Network, data and output devices, End-User devices) and for the City Messaging Services. The City's applications and associated infrastructure will receive DR Services according to the City's Business Continuity Plan. Respondent must demonstrate that it will consistently meet or exceed the City's Service Continuity and Disaster Recovery Services requirements. The following table identifies Service Continuity and Disaster Recovery Services roles and responsibilities that Respondent and the City will perform.

Table 83 IT Service Continuity and Disaster Recovery Roles and Responsibilities

IT Service Continuity and Disaster Recovery Roles and Responsibilities	Respondent	City
1. Define IT Service Continuity and Disaster Recovery Services strategy, requirements and policies		X
2. Recommend best practices for IT Service Continuity and Disaster Recovery Services strategies, policies, process and procedures	X	
3. Document IT Service Continuity and Disaster Recovery Services process and procedures that adhere to the City requirements and policies	X	
4. Review and approve IT Service Continuity and Disaster Recovery Services procedures		X
5. As needed, assist the City in other IT continuity and emergency management activities	X	

6. Develop and maintain a detailed DR plan to meet IT Service Continuity and Disaster Recovery requirements. Plan shall include plans for data, backups, storage management and contingency operations that provide for recovering the City's systems within established recovery requirement time frames after a disaster affects the City's use of the Services.	X	
7. Define data (file system, database, flat files, etc.) replication, backup and retention requirements		X
8. Establish processes to ensure DR plans are kept up to date and reflect Changes in the City environment	X	
9. Establish procedures to ensure the impact to the DR plans are reviewed by the Change Management process.	X	
10. Review and approve DR plans		X
11. Establish DR test requirements		X
12. Perform scheduled DR tests per the City policies	X	
13. Coordinate involvement of users for DR testing		X
14. Participate in DR tests		X
15. Track and report DR test results to the City	X	
16. Review and approve DR testing results		X
17. Develop action plan to address DR testing results	X	
18. Review and approve DR testing action plan		X
19. Implement action plan and provide ongoing status until completion	X	
20. Initiate the DR plan in the event of a the City DR situation per the DR policies and procedures		X
21. Initiate the DR plan in the event of a Respondent DR situation and notify the City per DR policies and procedures	X	
22. Coordinate with the City during a Respondent DR situation per DR policies and procedures	X	
23. Provide the City access to IT Service Continuity and DR reporting and monitoring systems and data	X	

Financial/Chargeback Management and Invoicing

Financial/Chargeback Management and Invoicing Services are the activities associated with providing data that allows the City to charge back its internal business units for actual usage of IT Resources and to receive accurate invoices that meet the City requirements. The following table identifies the Financial/Chargeback Management and Invoicing roles and responsibilities that Respondent and the City will perform.

Table 84 Financial/Chargeback Management and Invoicing Roles and Responsibilities

Financial/Chargeback Management and Invoicing Roles and Responsibilities	Respondent	City
1. Identify the chargeback components and mapped to the business services		X
2. Define Financial/Chargeback Management and Invoicing requirements and policies		

Financial/Chargeback Management and Invoicing Roles and Responsibilities	Respondent	City
3. Develop, document and maintain in the Standards Process and Procedures Manual Financial/Chargeback Management and Invoicing procedures that meet requirements and adhere to defined policies	X	
4. Review and approve Financial/Chargeback Management and Invoicing procedures		X
5. Provide chargeback reports	X	
6. Review and approve chargeback reports		X
7. Identify invoicing requirements		X
8. Document and maintain invoicing requirements	X	
9. Provide invoices per the City requirements	X	
10. Review and approve invoices		X
11. Identify invoice queries and conduct review meetings	X	

Incident Management

Incident Management includes the activities associated with restoring normal service operation as quickly as possible and minimizing the adverse impact on business operations of the City, thus ensuring that the best possible levels of service quality and availability are maintained. While the Incident Management processes apply to Level 1, Level 2 and Level 3 support groups, Level 1 support, normally at the service desk, is responsible for primary ownership of recording and tracking the Incident and is responsible for the close coordination and ongoing monitoring and tracking of, and reporting on, incidents that have been escalated to second-level and third-level support groups to ensure that escalated Incidents are resolved as promptly as possible. The primary activities of Incident Management process include:

- Incident detection and recording
- Incident classification and initial support
- Incident investigation and diagnosis
- Incident escalation
- Incident resolution and recovery
- Incident closure

The Respondent shall be responsible for escalating incidents and coordinating with all appropriate Level 2 and Level 3 support groups to ensure knowledge capture and transfer regarding Incident Resolution procedures from Respondent's Level 1 Service Desk to support the objective of increasing the first call resolution number of Incidents capable of being Resolved by Level 1 service technicians.

The following table identifies the Incident Management roles and responsibilities that the Respondent and the City will perform.

Table 85 Incident Management Roles and Responsibilities

Incident Management Roles and Responsibilities	Respondent	City
1. Establish criteria for Incident Management support requirements, including equipment and services to be covered, severity-levels, definitions and characteristics, incident classification, prioritization schema, and escalation requirements		X
2. Develop Incident Management policies, process and procedures that support the City's Incident Management support requirements	X	
3. Review and approve Incident Management policies and procedures		X
4. Utilize the ServiceNow Incident Management system and knowledge management database, including all hardware, software, databases, automated monitoring tools, and management and reporting tools, which are acceptable to the City	X	
5. Provide unrestricted read access by the City-authorized staff and other personnel to all current and historical Incident records and knowledgebase data	X	
6. Monitor the Incident Management system for automatically generated and logged Incident alerts and events	X	
7. Resolve incidents on the first call in accordance with the Procedures Manual, knowledge database documents, and configuration database(s)	X	
8. Log all calls/queries into the service desk	X	
9. Identify and classify Incidents to a severity level and handle according to agreed-upon Incident response procedures	X	
10. Diagnose and resolve incidents; where possible use desktop remote-control capability with user's approval and disconnecting when complete. Where possible, implement appropriate corrective actions for known errors (e.g., workarounds for known unresolved Problems)	X	
11. Escalate incidents to the appropriate next-level service group within Respondent, the City, or third-party service vendor as soon as it is clear that the incident is unable to be resolved without additional assistance or as required to comply with service level response times	X	
12. Monitor and track incident resolution progress through to final closure and record/update incident record status as appropriate	X	
13. Provide expert functional and process assistance for in-scope applications at Level 1 and escalate to Level 2 or 3 resource as required	X	
14. Provide Level 1 assistance to inquiries on the features, functions and usage of hardware and software for all in-scope hardware and software.	X	
15. Provide Level 1 support for applications software on the supported applications. Level 1 support is limited to approved scripts.	X	
16. Provide training and Level 1 scripts for the service desk for applications software on the approved list		X
17. Provide Level 2 and Level 3 support for Applications Software on the supported applications list		X
18. Verify that all records (e.g., inventory, asset and configuration management records) are updated to reflect completed / resolved incident	X	

Incident Management Roles and Responsibilities	Respondent	City
19. Assist End Users with questions relating to functionality and use of in-scope End-User hardware and software	X	
20. Document solutions to resolved incidents in central knowledgebase. Accurately update all information pertinent to trouble ticket including general verbiage, codes, et.al.	X	
21. Notify designated City personnel of all Severity 1 and Severity 2 incidents within the designated timeframe	X	
22. Maintain current and historical records of all calls and the resolution of those calls for the life of the contract and provide reporting and trend capabilities	X	
23. Troubleshoot, diagnose and resolve incidents for all in-scope hardware and software warranty and non-warranty devices, including removing and / or repairing physically broken or inoperable devices	X	
24. Provide Dispatch for in-scope End-User devices for all in-scope devices and repair as required	X	
25. Provide end-to-end Incident Identification, Escalation and Resolution Management; and a Closure Process including the management of those tickets escalated to third parties	X	
26. Determine wherever possible whether a problem should be opened to address an incident	X	
27. Track ongoing status of any incident and their corresponding problem record to ensure that identified problems are addressed and resolved	X	
28. Ensure incident resolution activities conform to defined Change Management procedures set forth in the Process and Procedures Manual	X	
29. Coordinate and take ownership of incident resolution across all IT service areas with the City and third parties (e.g., public carriers, Internet service providers, third party providers, et. Al.)	X	
30. Periodically review the status of open, unresolved Incidents and related problems and the progress being made in addressing problems	X	
31. Participate in Problem Management review sessions as appropriate	X	
32. Conduct incident review sessions and provide listing and status of same categorized by Incident Severity impact	X	
33. Participate in Incident Management review sessions		X
34. Coordinate with the City and third-party Level 2 support groups to acquire and transfer knowledge on incident and problem resolutions and record this knowledge gained into the knowledge base to facilitate increased ability for vendor's Level 1 Service Desk in providing first-call resolution	X	
35. Conduct follow-up with End-Users who reported the Incident to verify that the Incident was resolved to the End-User's satisfaction.	X	
36. Close out incidents that were resolved satisfactorily	X	
37. Provide Incident Management reporting as required	X	

Problem Management Services

The Respondent shall provide Problem Management Services to minimize the adverse impact of Incidents and Problems on the business caused by errors within the IT Infrastructure and to prevent recurrence of Incidents related to these errors by determining the unknown underlying cause (e.g., root cause) of one or more Incidents and ensuring that actions are initiated to improve or correct the situation.

The Respondent shall provide reactive Problem Management services by diagnosing and solving Problems in response to one or more Incidents that have been reported through Incident Management and provide proactive Problem Management to identify and solve Problems and known errors before Incidents occur in the first place, including performing predictive analysis activities, where practical, to identify potential future problems, develop recommended mitigation plans, and implement approved corrective mitigation actions and processes. The Respondent will also maintain, update and disseminate information about Problems and the appropriate workarounds and resolutions, so that the number and impact of Incidents occurring within the City's IT infrastructure is reduced over time.

The major activities of Problem Management are:

- Problem control
- Error control
- Proactive prevention of Problems
- Performing major Problem reviews
- Providing Problem Management reporting

The Respondent shall provide Problem Management services for all identified Problems that are determined to be related to IT systems and services under the control of the Respondent. The Respondent shall also provide coordination and assistance to the City and third-party vendors in performing their Problem Management process.

The Respondent is also responsible for ensuring that resolutions to problems are implemented through the appropriate control procedures, especially Change Management and Release Management, as well as coordinating Problem Management activities with the various teams within the Respondent, the City and third-party vendors responsible for performing Configuration Management, Availability Management, Capacity Management, IT Service Continuity Management, and Service Level Management activities.

The following table identifies the Problem Management roles and responsibilities that the Respondent and the City will perform.

Table 86 Problem Management Roles and Responsibilities

Problem Management Roles and Responsibilities	Respondent	City
1. Develop requirements and policies for Problem Management (e.g., events that trigger an RCA, categorization and prioritization schema, etc.)		X
2. Participate in developing Problem Management requirements and policies	X	
3. Develop and implement appropriate process and procedures and	X	

Problem Management Roles and Responsibilities	Respondent	City
methodologies that support the City-approved Problem Management requirements and policies that comply with the City requirements		
4. Utilize the Problem Management knowledgebase that is accessible to the City in ServiceNow system where information about Problems, Root Cause, Known Errors, Workarounds and problem resolution actions are recorded and tracked. This knowledgebase can be the same knowledgebase as used by Incident Management	X	
5. Provide unrestricted access by the City-authorized staff and other City designated personnel to all current and historical Problem Management records and knowledgebase data	X	
6. Ensure Problem Management activities conform to defined Change Management procedures set forth in the Procedures Manual	X	
7. Coordinate with appropriate Incident Management teams and take ownership of Problem Management activities of all problems determined to reside in the Respondent's service area of responsibility (e.g., detection, logging, root-cause analysis, et. al.)	X	
8. Coordinate, escalate and track Problem Management activities within the City and third parties related to problems determined to reside in all other IT infrastructure areas outside of the Seat Management area	X	
9. Flag all incidents that require further root-cause analysis be conducted (i.e., Severity 1 and Severity 2 incidents) per the agreed-to procedures	X	
10. Ensure that recurring problems that meet defined criteria related to the Respondent's IT service responsibility area are reviewed using root-cause analysis procedures	X	
11. Conduct proactive trend analysis of incidents and problems, and other data elements to identify recurring situations that are or may be indicative of future problems and points of failure	X	
12. Track and report on problems and trends or failures and identify associated consequences of problems	X	
13. Develop and recommend corrective actions or solutions to address recurring incidents and problems, as well as mitigation strategies and actions to take to avert potential problems identified through trend analysis	X	
14. Identify, develop, document, and recommend appropriate Workarounds for known errors of unresolved problems and notify Incident Management and all other appropriate stakeholders of it's availability if approved. Document the workaround in the knowledgebase	X	
15. Review and approve Workarounds for implementation, as appropriate		X
16. Coordinate and monitor status of root-cause analysis activities performed by the City and third-party Vendors (i.e., from other IT service areas)	X	
17. Document and update Problem Management knowledgebase with information regarding problem resolution actions, activities and status (e.g., root cause, known errors, workarounds, etc.) and notify all appropriate stakeholders of availability of information	X	
• Coordinate with the City and third-party service vendors to ensure that knowledge on Problems related to other IT service areas is	• X	•

Problem Management Roles and Responsibilities	Respondent	City
captured and entered into a centralized Problem Management knowledgebase		
18. Ensure problem resolution activities conform to defined Change Management procedures set forth in the Process and Procedures Manual	X	
19. Provide status reports detailing the root cause and procedure for correcting recurring Problems and Severity 1 and Severity 2 Incidents until closure as determined by the City	X	
20. Conduct Problem Management review meetings and provide listing and status of same categorized by problem impact	X	
21. Participate in Problem Management review meetings and review and approve recommendations for actions, where appropriate		X
22. Periodically review the state of open incidents and related problems and the progress being made in addressing Problems	X	
23. Participate in and review and approve as appropriate all Problem Management generated RFCs as part of the Change Management		X
24. Create Request for Change (RFC) documentation with recommended corrective actions to be taken to resolve a problem and submit to Change Management for review and approval	X	
25. Conduct periodic problem management proactive review sessions	X	
26. Provide Problem Management reporting as required	X	

Configuration Management

Configuration Management Services are the activities associated with providing a logical model of the Service Towers' devices and their relationships by identifying, controlling, maintaining and verifying installed hardware, software, and documentation (ie maintenance contracts, SLA documents, etc.).

The goal is to account for all IT Assets and configurations, provide accurate information on configurations and provide a sound basis for Incident, Problem, Change and Release Management and to verify configuration records against the infrastructure and correct any exceptions. The following table identifies the Configuration Management roles and responsibilities that Respondent and the City will perform.

Table 87 Configuration Management Roles and Responsibilities

Configuration Management Roles and Responsibilities	Respondent	City
1. Define Configuration Management requirements and policies	X	
2. Develop, document and maintain in the Standards Process and Procedures Manual Configuration Management procedures that meet requirements and adhere to defined policies	X	
3. Review and approve Configuration Management procedures and processes		X
4. Identify and document the Configuration Item structure	X	
5. Approve the Configuration Item structure		X

Configuration Management Roles and Responsibilities	Respondent	City
6. Establish Configuration Management database, in accordance with the City requirements	X	
7. Review and approve Configuration Management database		X
8. Select, install and maintain Configuration Management tools	X	
9. Enter/upload configuration data into configuration database	X	
10. Establish process interfaces to Incident and Problem Management, Change Management, technical support, maintenance and Asset Management processes	X	
11. Establish appropriate authorization controls for modifying configuration items and verify compliance with Software licensing	X	
12. Establish guidelines for physical and logical separation between development, test and production and the process for deploying and back-out of configuration items	X	
13. Develop procedures for establishing configuration baselines as reference points for rebuilds, and provide ability to revert to stable configuration states	X	
14. Establish procedures for verifying the accuracy of configuration items, adherence to Configuration Management process and identifying process deficiencies	X	
15. Provide a deficiency report and steps taken to address the issues identified	X	
16. Provide the City Configuration Management reports as required and defined by the City	X	
17. Audit Configuration Management process and accuracy of configuration data		X

Change Management

Change Management Services are activities that are to ensure that standardized methods and procedures are used for efficient and prompt handling of all changes, in order to minimize the impact of change upon Service quality and consequently to improve the day-to-day operations of the City.

Change Management covers all aspects of managing the introduction and implementation of all changes affecting all Towers and in any of the management processes, tools, and methodologies designed and utilized to support the Tower components.

The Change Management processes and activities are inter-related and complementary with Release Management and Configuration Management, as well as Incident Management and Problem Management.

The Change Management process includes the following process steps:

- Determine metrics for measuring effectiveness of a Change
- Request for Change (RFC) process
- Recording/Tracking process
- Prioritization process

- Responsibility Assignment process
- Impact/Risk Assessment process
- Participation in IT service continuity and DR planning
- Coordination of the Change Advisory Board (CAB)
- Review / Approval process
- Establish and manage the schedule of approved Changes
- Implementation process
- Verification (test) process
- Closure process

The following table identifies Change Management roles and responsibilities that Respondent and the City will perform.

Table 88 Change Management Roles and Responsibilities

Change Management Roles and Responsibilities	Respondent	City
1. Recommend Change Management policies, procedures, processes and training requirements per the Change Management process components outlined above, including Change Advisory Board (CAB) composition, activities, and the financial, technical, and business approval authorities appropriate to the City IT and business requirements	X	
2. Participate in the development of the Change Management and CAB procedures, policies, and approval authorities		X
3. Establish change priority schema and classifications (impact, priority, risk) and change authorization process		X
4. Review and Approve Change Management process, procedures and policies		X
5. Receive and document all Requests for Change (RFC) and classify proposed changes to the Services, which shall include change cost, risk impact assessment, and system(s) security considerations	X	
6. Review and validate that RFCs		X
7. Ensure that appropriate back-out plans are documented and in place in the event of systems failure as a result of the change	X	
8. Provide Change Management plan to the City for review	X	
9. Approve Change Management plan		X
10. Develop and maintain a schedule of planned approved changes (Forward Schedule of Changes or FSC) for the City to review	X	
11. Identify change logistics	X	
12. Provide change documentation as required, including proposed metrics as to how effectiveness of the change will be measured	X	
13. Review and approve change documentation and change effectiveness metrics		X

Change Management Roles and Responsibilities	Responden t	City
14. Coordinate, schedule, and conduct Change Advisory Board (CAB) meetings to include review of planned changes and results of changes made, ensuring that all appropriate parties are invited and represented in accordance with approved CAB policies	X	
15. Participate in CAB meetings as the City deems appropriate or necessary		X
16. Review and approve any RFC determined to have a cost, security, or significant risk impact to the City's IT systems or business		X
17. Authorize and approve scheduled changes or alter the schedule change requests as defined in the Change Management procedures		X
18. Publish and communicate the approved FSC to all appropriate IT and business unit stakeholders within the City of change timing and impact	X	
19. Oversee the approved change build, test, and implementation processes to ensure these activities are appropriately resourced and completed according to Change schedule	X	
20. Ensure that thorough testing is performed prior to release and assess the City business risk related to any change that is not fully tested prior to implementation	X	
21. Participate in business risk assessment for change to be introduced without being fully tested		X
22. Monitor changes, perform change reviews and report results of changes, impacts, and change effectiveness metrics	X	
23. Verify that change met objectives based upon predetermined effectiveness metrics and determine follow-up actions to resolve situations where the change failed to meet objects	X	
24. Review and approve change management results		X
25. Close out RFCs that met the change objectives or changes that were abandoned	X	
26. Perform Change Management quality control reviews and audits of Change Management processes, and records		X
27. Provide the City Change Management reports as required and defined by the City	X	

Release Management

Release Management is concerned with implementing the changes to defined IT services and covers both the software and the hardware. Release Management Services are activities that take a holistic view of a change to a Service to ensure that the technical and non-technical aspects of a Release related to software, and hardware changes.

These changes can be implemented by rolling out a combination of new applications or infrastructure software and/or upgraded or new hardware, or simply by making changes to the documentation such as service hours or support arrangements. Release Management

processes and activities are inter-related and complementary with the Change Management process, as well as Configuration Management and Problem Management.

Release Management includes the following activities:

- Establishing standardized Release Management policies and procedures
- Synchronize Release schedule with DoIT Security Team requirements
- Managing Release Planning and Scheduling for overall the Release Schedule, as well as individual Releases
- Establishing and managing a Release documentation and identification schema
- Managing the Release design, build, and configuration processes
- Release Testing and Testing Management
- Rollout planning including quality plans and back-out plans
- Release communication, preparation, and training
- Managing the successful rollout/distribution and installation of all elements of a Release
- Documenting each Release and updating the Configuration Management Database (CMDB).

Releases can also consist of a number of problem fixes and enhancements to existing IT services. A Release consists of the new or changed software required and any new or changed hardware needed to implement the approved Changes. Releases are generally divided into:

- Major software Releases and hardware upgrades or replacements, normally containing large areas of new functionality. A major upgrade or Release usually supersedes all preceding minor upgrades, Releases and emergency fixes.
- Minor software Releases and hardware upgrades, normally containing small enhancements and fixes, some of which may have already been issued as emergency fixes. A minor upgrade or Release usually supersedes all preceding emergency fixes.
- Emergency software and hardware fixes, normally containing the corrections to a small number of known problems.

The following table identifies Release Management roles and responsibilities that Respondent and the City will perform.

Table 89 Release Management Roles and Responsibilities

Release Management Roles and Responsibilities	Respondent	City
1. Recommend Release Management policies, procedures, processes, and training requirements per the Release Management process components outlined above	X	
2. Participate in the development of the Release Management process and procedures and policies		X
3. Review and approve Release Management process procedures and policies		X

Release Management Roles and Responsibilities	Respondent	City
4. Establish and maintain an appropriate secure off-network environment(s) where all authorized versions of all software, in physical or electronic form as applicable (Definitive Software Library or DSL) and where all hardware spares (Definitive Hardware Store or DHS) are stored, protected and accounted.	X	
5. Maintain master copies of all new versions of software (both COTS software packages and application developed custom-built software) in the secured DSL and update configuration item.	X	
6. Ensure that all hardware spares are secured in the DHS and reflected in the configuration management database(s)	X	
7. Establish, manage, update, and maintain the overall Release Plan and Release Schedule for all planned Releases		
8. Establish and administer the version control schema as it relates to Release Management of the City custom applications	X	
9. Develop, manage, update and maintain formal Release Plans for each Release in coordination with Change Management	X	
10. Develop quality plans and back-out plans as appropriate for each Release	X	
11. Provide Release Management Plans and Schedules to the City for review	X	
12. Review and approve Release Management Plans and Schedules		X
13. Conduct site surveys, as necessary, to assess existing hardware and software being used to validate Release package requirements and dependencies	X	
14. Plan resource levels and requirements for supporting a release	X	
15. Ensure that any new software, hardware, or support services required for the release are available when needed	X	
16. Ensure that all necessary testing environments are available and properly configured to support Release testing	X	
17. Ensure there is segregation of duties between the application developer testers and the release management testers.		
18. Conduct Use Acceptance Testing (UAT) as required		X
19. Schedule and conduct Release Management meetings to include review of planned releases and results of changes made	X	
20. Identify and document all Configurable Items (CIs) that need to be included in the Release, as well as all system inter-dependencies	X	
21. Plan and manage the acceptance testing process for each Release	X	
22. Review and approve Release acceptance testing plans		X
23. Provide Release documentation as required	X	
24. Authorize and approve scheduled Releases or alter the schedule as defined in the Release Management procedures		X
25. Review Release Management details and alter as appropriate to meet the needs of the City (e.g., back-out plan, go/no go decision)	X	
26. Notify the City's affected clients of Release timing and impact and provide communications to the service desk	X	
27. Implement Release in compliance with Change Management requirements and adherence to detailed release plans	X	
28. Modify configuration database, asset management items, and service catalog (if applicable) to reflect changes to CIs due to the Release	X	

Release Management Roles and Responsibilities	Respondent	City
29. Conduct post-mortem of Releases that necessitated implementation of the back-out plan and develop and implement appropriate corrective or follow-up actions to minimize future occurrences	X	
30. Perform quality control audits and approve Release control results		X
31. Provide the City Release Management reports as required and defined by the City	X	

Account Management

Account Management Services are the activities associated with the ongoing management of the IT Services environment. The following table identifies Account Management roles and responsibilities that Respondent and the City will perform.

Table 90 Account Management Roles and Responsibilities

Account Management Roles and Responsibilities	Respondent	City
1. Define Account Management requirements and policies		X
2. Develop, document and maintain in the Standards Process and Procedures Manual Account Management procedures that meet requirements and adhere to defined policies	X	
3. Review and approve Account Management process and procedures		X
4. Develop a detailed IT Service catalog which details Services offered including all Service options, Compensation, installation time frames, order process (new, Change and remove service) and prerequisites	X	X
5. Approve service catalog		X
6. Develop a Service ordering process that clearly defines how to order Change or delete Services	X	
7. Recommend criteria and formats for administrative, Service activity and Service Level Reporting	X	
8. Review and approve criteria and formats for administrative, Service activity and Service Level Reporting		X
9. Develop and implement Customer Satisfaction program for tracking the Quality of Service delivery to End-Users		X
10. Provide reporting (e.g., statistics, trends, audits)	X	

Exclusions

The following items are specifically excluded from this SOW:

NONE

Service-Specific Milestones

Milestones specific to the deployment of Cross-Functional Services will be populated during the RFP process in the following table:

Table 91 Service Specific Milestones

Milestone Description	Milestone Date
TBD	

Service Management

A key objective of this agreement is to attain SLRs. SLRs specific to Service Towers are identified in the Service Management section of each IT Service Tower SOW. SLRs applicable across all Service Towers are identified in this Cross-Functional SOW below. Specific Service Tower and Cross-Functional SLRs are specified with Fee Reductions where business is impacted through failure to meet their respective SLRs. SLRs are detailed in the Service Level Requirements section of each SOW and those associated with Fee Reductions and Earnback are identified as “SLA Applicable”. All SLAs are further identified in Section 5.6—Service Credits and Earn Back and Appendix 5.1 - SLR Weightings.

Respondent shall provide written reports to the City regarding Respondent’s compliance with the SLRs specified in each SOW Schedule.

Definitions

Attachment P (Definitions) of the Agreement provides a list of terms that apply to this SOW and the following Service levels.

Service Level Requirements (SLRs)

The following SLRs represent minimum Service levels required across all IT Service Towers. Respondent must consistently meet or exceed the following SLRs. Cross-Functional SLRs associated with Service Credits and Earn Back are detailed in Section 5.6—Service Credits and Earn Back. **All times referenced are in Central Time.**

Table 92 Severity Levels

Severity Level 1 – Emergency/Urgent <i>Critical Business Impact</i>	<p>The Incident has caused a complete and immediate work stoppage affecting a Critical Function or Critical Infrastructure component such that a primary business process or a broad group of users such as an entire department, floor, branch, line of business, or external customer. No work around available. Examples:</p> <ul style="list-style-type: none"> • Major application problem (e.g., payroll, call center, etc.) • Severe disruption during critical periods (e.g., month-end processing, HOD/BOT meetings) • WAN or LAN outage • Security violation (e.g. denial of service, port scanning)
---	--

Severity Level 2 – High <i>Major Business Impact</i>	<p>A business process is affected in such a way that business functions are severely degraded, multiple users are impacted, a key customer is affected, or a Critical Function is operating a significantly reduced capacity or functionality. A Workaround may be available; however the Workaround is not easily sustainable. Examples:</p> <ul style="list-style-type: none"> • Major data/database or application problem • E-mail system is performing slowly, but workload is manageable • Security incursion on a non-critical system • VIP End-User Device problem (e.g., hardware, software)
Severity Level 3 – Medium <i>Moderate Business Impact</i>	<p>A business process is affected in such a way that certain functions are unavailable to end users or a system and/or service is degraded. A Workaround may be available. Examples:</p> <ul style="list-style-type: none"> • Telecommunication problem (e.g. Blackberry,) • General End-User Device problem (e.g. hardware, software)
Severity Level 4 – Low <i>Minimal Business Impact</i>	<p>An Incident that has little impacts on normal business processes and can be handled on a scheduled basis. A Workaround is available or there is minimal negative impact on a user's ability to perform their normal daily work. Example:</p> <ul style="list-style-type: none"> • "How To" questions • Service Requests (e.g. system enhancement) • Peripheral problems (e.g. locally attached printer) • Preventative Maintenance

Table 93 Incident Resolution SLRs

Definition	<p>Time to Resolve Incidents following responses to different Incident Severity Level classifications.</p> <p>Each IT Services Tower SOW categorizes Incidents according to the Incident Resolution priorities listed below.</p>
SLA Applicable?	See Appendix 5.1 - SLR Weightings

Incident Resolution SLRs			
Incident Resolution	Service Measure	Performance Target	SLR Performance %
Time to Notify the City of a Severity 1 or 2 Incident	Time to Respond	<15 minutes	98.0%
Severity Level 1	Time to Resolve	<2 hours	98.0%
Severity Level 2	Time to Resolve	<4 hours	98.0%
Severity Level 3	Time to Resolve	<8 hours	98.0%
Severity Level 4	Time to Resolve	Next Business Day or as prioritized by Provider	98.0%
VIP Tier 1	Time to Resolve	<30 minutes	85.0%

Incident Resolution SLRs			
Standard Help Desk Users	Time to Resolve	<4 hours	85.0%
Root Cause Analysis	Time to Report	Within 24 hours of Incident Resolution	98.0%
	Formula	Number of requests completed within Performance Target ÷ Total of all requests occurring during Measurement Interval	
	Measurement Interval	Measure Weekly	
	Reporting Period	Report Monthly	
	Measurement Tool	TBD	

Backup and Restore Requirements

Respondent shall implement and maintain backup and restoration capabilities for all Service Tower data, applications and component configurations. Respondent shall perform error and omission-free incremental backups, full backups and full archive backups according to the Backup Schedule presented below. Recovery procedures will be capable of restoring Service delivery for failed Service Tower data, applications and component configurations according to the Cross-Functional Restoration SLRs listed below.

Table 94 Backup Schedule

SLA Applicable?	No
------------------------	----

Servers Services—Backup Schedule and SLRs					
Type of Backup	Backup Frequency	Storage Site	Retention/Purge Period	Target	SLR Performance %
Incremental	Daily	Off-site	35 days	Backup Frequency	99.9%
Full (Backup)	Weekly	Off-site	5 weeks	Backup Frequency	99.9%
Full (Archive)	Monthly	Off-site	Indefinite	Backup Frequency	99.9%
All				Quarterly Test of each type of backup Restore Process	100%

Table 95 Restoration SLR

SLA Applicable?	No
------------------------	----

Restoration Services Table			
Restoration Type	Service Measure	Performance Target	SLR Performance %
Restore Requests for production data	Response Time Data 1 week old or less	≤3 hours from the City request Note: Tapes stored offsite will be transported in 1 Business Day from City Request.	95.0%
Restore Requests for recovery of test data or data volume backups	Response Time Data 1 week old or less	≤8 hours from the City request Note: Tapes stored offsite will be transported in 1 Business Day from City Request.	95.0%
Restore Requests for recovery of data or data volume backups	>1 week old	Commence restore within 3 Business Days Note: Tapes stored offsite will be transported in 1 Business Day	99.0%
	Formula	Number of requests completed within Performance Target ÷ Total of all requests occurring during Measurement Interval	
	Measurement Interval	Measure Weekly	
	Reporting Period	Report Monthly	
	Measurement Tool	TBD	

IT Continuity and Disaster Recovery (DR) Requirements

Table 96 IT Continuity and DR SLRs

Definition	Time to recover the City systems (as listed below) after DR Incident has been determined. BIA (Business Impact Analysis)
SLA Applicable?	See Appendix 5.1 - SLR Weightings

Disaster Recovery SLRs			
BIA Application Rankings	Service Measure	Performance Target	SLR Performance %
1.E-mail	Time to recover	<4 hours	98.0%

Disaster Recovery SLRs			
2.FMPS (ERP), CSR (311 CRM system)	Time to recover	< 8 hours	98.0%
3. IPI (Inspections and Permitting Initiatives)	Time to recover	<16 hours	98.0%
4. Budgeting System (Business Objects)	Time to recover	<24 hours	98.0%
	Formula	Number of applications recovered within Performance Target ÷ Total number of applications in Measurement Interval	
	Measure Interval	Measure Monthly	
	Reporting Period	Report Quarterly	
	Measurement Tool	TBD	

Table 97 DR Test SLRs

SLA Applicable?	See Appendix 5.1 - SLR Weightings
------------------------	-----------------------------------

DR Test SLRs			
Recovery Time	Service Measure	Target	SLR Performance %
All	Successful DR test	Successful semi-annual test of each DR recovery time	100%
	Formula	Number of tests completed within Performance Target ÷ Total of all tests occurring during Measurement interval	
	Measurement Interval	Annual	
	Reporting Period	Annual	
	Measurement Tool	DR Test Plan, Post-Test Report	

Asset Tracking and Management

Within five (5) days after the first day of each calendar quarter, Respondent shall select a statistically valid sample, in accordance with the process specified in the Standards and Procedures Manual, to measure Respondent's compliance with the following SLRs pertaining to the accuracy of individual data elements in the Asset tracking database. Accuracy of data shall adhere to the following SLR.

Table 98 Asset Tracking SLR

SLA Applicable?	No
------------------------	----

Asset Tracking Requirements Table			
Accuracy of Data in Asset Tracking Database	Accuracy	Accuracy percentage of each of the following data elements as determined by audit:	
		Data Element	Accuracy Percentage
		Serial Number	97%
		Location	97%
		Hardware/Software Configuration	97%
	Formula	Number of tracked Assets where data element is determined to be correct ÷ Total number of tracked Assets audited	
	Measurement Interval	Audited as specified in Standards and Procedures Manual (quarterly as of Effective Date).	
	Measurement Tool	TBD	

End-User Satisfaction Survey

The City and Respondent shall establish a mutually agreed-upon End-User Satisfaction survey, that may be facilitated by a Third Party and designed with the City and Respondent input.

The Third Party shall supply to the City semiannual reports of the City Business End-User Satisfaction, integrating the results of ongoing End-User Satisfaction surveys for each IT Service Tower. Upon delivery of each such report, the Parties shall meet to jointly identify any areas of End-User dissatisfaction. The Respondent shall prepare a project plan with the City's input and approval to Resolve End-User dissatisfaction.

Table 99 End-User Satisfaction SLR

SLA Applicable?	No
------------------------	----

End-User Satisfaction SLR			
END-USER SATISFACTION	SERVICE MEASURE	PERFORMANCE TARGET	SLR PERFORMANCE %
Scheduled Survey (conducted semiannually by the City or its designated Third Party agent)	End-User Satisfaction rate	All End-Users surveyed	90%
	Formula	Number of responses that met End-User expectations ÷ total number of responses <u>Note:</u> Survey will be co-developed with the City.	

End-User Satisfaction SLR		
	Measurement Interval	Measure Semiannually
	Reporting Period	Report Semiannually
	Measurement Method/Source Data	TBD

Cross-functional Services Reports

Respondent shall provide written reports to the City regarding Respondent's compliance with the SLRs specified in this Section and other management reports. Reports are required per the following table:

Table 100 Cross-Functional Services Reports

Report Description	Timing
TBD	

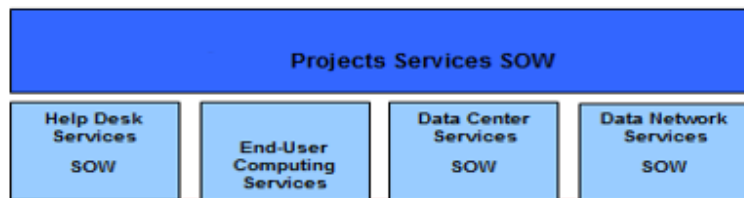
Section 4.9 Projects

Projects Services Overview

This Section 4.9 (Projects SOW) is the Statement of Work (or “SOW”) that sets forth the roles and responsibilities of the Parties for the Projects Services provided under the Agreement as part of the Services. Projects Services are the Services and activities, as further detailed in this SOW, required to provide and support the City Information Technology (IT) infrastructure. Respondent will provide Projects Services and processes across all Service Towers. Projects are not related to Maintenance, and generally introduce new technology into the environment.

As depicted in Figure. 2 below, Services, activities, and roles and responsibilities described in this SOW are within the scope of each SOW for the Service Towers (Section 4.4 through 4.8) and shall be included within the Fees for Projects specified in Section 5.4 (Fees) to the Agreement. Figure 1 depicts the relationship between the Projects Services SOW and all SOWs within the scope of the Agreement.

Figure. 2 Service Tower: SOW Service Towers with Projects View



Service Objectives

The primary drivers for this RFP are to 1) continuously improve the quality of services, 2) reduce or manage the growth in costs for providing IT services, 3) develop agreements that support the City's future information technology needs, 4) provide flexibility in the deployment of IT services, and 5) improve innovation capabilities.

The following are the key high-level Service objectives the City expects to achieve through the procurement of services resulting from this RFP solicitation:

- Meet City business needs for highly available, reliable, scalable and secure Services.
- Maintain compliance with industry standards and government regulations (e.g., ITIL, PMI, PCI, HIPAA, CJIS, etc.).
- Acquire Services with Availability guarantees backed by Service-Level Requirements (SLRs).
- Acquire Services that can leverage operational scale and best practices to achieve optimum commercial price performance.
- Adopt a more flexible and variable cost structure.
- Acquire ongoing feedback mechanisms to ensure performance meets expectations.

The following are the key high-level Service objectives the City expects to achieve through this Projects Services Statement of Work (SOW):

- Ensure that Project teams effectively manage all projects including managing the scope, defining the project boundaries in terms of the six domains of change

(technology, applications, data, process, organization, location) and the implementation of deliverables.

- Ensure that all Projects are resourced appropriately and the projects are staffed with the appropriate skill sets to ensure successful completion.
- Ensure that Projects are completed on time and within budget.
- Ensure that all critical IT life cycle and service management functions and processes are defined with clearly delineated roles and responsibilities, touch points and measurements between the City and the Respondent.
- Receive IT Services that consider an end-to-end enterprise and lifecycle view across all IT Service Towers.
- Comply with City policies & processes

Service Environment

The Service Environment section in each IT Service Tower SOW describes the environment to be supported and/or with which Respondent shall comply. The Service Environment includes Service Tower components such as hardware and software, facilities and locations, personnel, policies and procedures, licenses and agreements, work-in-progress and future initiatives. As such, this SOW shall apply to the Service Environment as specified in each Service Tower SOW. The Service Environment for each Service Tower will be documented in the applicable SOW Appendices and are to be maintained by Respondent, reviewed with the City, updated by and made available to the City on a quarterly basis.

Agencies that are in Scope

“Attachment U Agencies in Scope” list the City of Chicago agencies that are in scope.

Project Services Requirements

From time to time, the City will require the selected respondent to implement individual projects related to the Scope of Services hereunder but not specified here. The City will issue a task order request to the Contractor, indicating what it wishes the contractor to accomplish; the timetable in which it is to be accomplished; any constraints that the City identifies that would have an impact on the accomplishment of the project; any special requirements; and requirements for Contractor’s response. Contractor then must, within 30 days after the City issues the task order request, submit a detailed response. The City expects that contractor’s staff dedicated to the Agreement will be able to accomplish the project without charging the City additional compensation for the task order work; however, if respondent believes that the requirements of the task order exceed the available staffing dedicated to the City’s Agreement, Contractor must indicate and defend this position in the task order response, providing as much detail as is necessary for the City to determine if it should be liable for any additional compensation for the performance of the task order. The Commissioner of DoIT’s decision will be final and binding. The task shall then be performed by the Contractor pursuant to a task order issued by the City.

In this section, Respondent should describe in detail how it plans to provide projects that are not related to Maintenance, and generally introduce new technology into the environment. The

Respondent is responsible for providing Projects Services defined in this SOW for Service Towers defined in the following documents:

Section 4.4—Data Center Services SOW

Section 4.5—End User Computing Services SOW

Section 4.6—Network Services SOW

Section 4.7—Help Desk Services SOW

On a regular basis the Respondent will plan, manage, and execute Projects as follows:

- The Respondent will perform the following activities as described in Section 4.8 Cross-Functional Services for Projects
- IT Life Cycle and Operations activities
- Implement City Approved Design specifications activities
- Service Delivery
- The Selected Respondent is expected to manage such projects in accordance with City policies and processes, which are based on the Project Management Institute's Project Management Body of Knowledge and the Scrum Alliance.
- The administrative process to request, define, prioritize, approve and execute these projects will be jointly defined by the City and the selected vendor.
- The Selected Respondent will be expected to leverage the City's project portfolio and project management tool for project tracking and reporting purposes.
- All project work will be tracked and reviewed on a biweekly basis.
- Upon request, the City has the right to ask respondent to remove or replace employees from projects.

Additional Project Resources (Variable-Capacity Resources)

Due to the size, complexity, special expertise or urgency of the need, some projects may require the engagement of additional or specialized resources.

In these cases, additional staffing and costs will be obtained in response to a City Task Order with an applicable Statement of Work that describes the services needed and the deliverables to be produced. The Statement of Work will minimally include:

- Purpose and Expected Outcomes: Why the work is needed and what it will accomplish.
- Scope of Work: A description of the work to be done.
- Deliverables: What outputs will be produced.
- Constraints: Time, cost, technology or other constraints.
- Special Requirements: Any special hardware, software, staffing or other requirements.
- Response Requirements: A description of the documentation to be supplied in response to the City Task Order.

The vendor will respond with a Solution Proposal that includes all required documentation. The Solution Proposal must substantiate that the vendor has the capabilities and resources to plan,

manage and execute the project, using methods and practices that are appropriate to the task and approved by the City. Any impacts on the full-time support team must be identified and specified.

The hourly costs for any resources engaged through this process may not exceed the hourly rates specified in the Rate Card Compensation schedule for the contract. In the Rate Card Compensation schedule respondents, must list all relevant job roles that may be utilized during the engagement.

The selected Respondent is expected to have the capabilities, when needed, to provide these services and deliver them effectively. This is not a full-time, dedicated resource. It is a role that will be requested as opportunities occur to develop new systems, to improve under-performing systems, or to modernize legacy systems.

The City, at its sole discretion, may accept or reject any Solution Proposal submitted by the vendor.

All projects are required to include a Warranty Period of not less than 90 days. During this time the vendor is responsible, without any additional charges to the City, for fixing defects and making any changes required to assure that the finished product performs satisfactorily and in compliance with the acceptance criteria.

General Responsibilities

The following table identifies general roles and responsibilities associated with this SOW. An "X" is placed in the column under the Party that will be responsible for performing the task. Respondent responsibilities are indicated in the column labeled "Respondent."

Table 101 General Services Roles and Responsibilities

General Roles and Responsibilities	Respondent	City
1. Provide Services and the supporting processes that support the City business needs, technical requirements, and other Projects requirements	X	
2. Approve Services and the supporting processes that support the City business needs, technical requirements, and other Projects requirements		X
3. Comply with the City's policies, guiding principles, standards and regulatory requirements applicable to the City for information, information systems, personnel, physical, and technical security	X	
4. Develop and maintain an approved comprehensive Standards and Procedures Manual that contains the standards, processes and procedures that will be used in the delivery of all Projects Services. The manual will include clearly delineated roles and responsibilities, touch points and measurements between the City and the vendor	X	

General Roles and Responsibilities	Respondent	City
5. Approve the comprehensive Standards and Procedures Manual that contains the standards, processes and procedures that will be used in the delivery of all Projects Services. The manual will include clearly delineated roles and responsibilities, touch points and measurements between the City and the vendor		X
6. Conform to changes in laws, regulations and policies. Major Service Changes shall be proposed on a project-by-project effort basis to alter the environment to conform to the new requirements	X	
7. Report performance against Service Level Requirements SLRs	X	
8. Coordinate all Changes to the IT infrastructure that may affect the SLRs of any other Service Tower	X	
9. Provide timely creation, updating, maintenance and provision of all appropriate project plans, project time and cost estimates, technical Specifications, management documentation and management reporting in a form/format that is acceptable to the City for all Service Tower projects and major Service activities	X	
10. Adhere to ITIL and PMI best practices and Key Performance Indicators (KPIs)	X	X
11. Approve the use of the ITIL and PMI best practices and Key Performance Indicators (KPIs)		X
12. Provide Project Management tracking system to enter project status and reporting		X
13. Use City of Chicago provided Project management tracking system to enter project status and reporting	X	
14. Work with City of Chicago Project Management Office (PMO) on process improvement and roll out	X	X

Project Management

The Respondent must provide a comprehensive approach to managing all support tasks. The project management approach must address both ongoing maintenance and any enhancement activities and must be uniformly applied to all application support work.

The City has the right to request Agile project management approach for time critical projects.

While the City reserves the right to negotiate this process prior to contract award, the Respondent should describe their project management methodology and at a minimum, address the following:

Requirements Definition and Feasibility

Requirements definition services are the activities associated with the definition and assessment of user requirements that are used to determine detailed Projects enhancements. The following identifies the Respondent's responsibilities associated with requirements definition services

Table 102 Requirements Definition and Feasibility Roles and Responsibilities

Requirements Definition and Feasibility Roles and Responsibilities.	Respondent	City
1. Develop and document business requirements.	X	
2. Conduct interviews, group workshops and surveys to determine technical, functional and end-user requirements	X	
3. Develop functional requirements documents, logical and physical data models.	X	
4. Conduct value assessments of functional requirements and generate an impact analysis, including affected systems, alternative design scenarios, etc.	X	
5. Identify need for infrastructure, hardware and software upgrade conversion requirements for the Project and execute based upon a service request from the City.	X	
6. Recommend test plan (e.g., functional, volume, end-to-end, integration, stress, regression, system, and user acceptance test if applicable).	X	
7. Develop test plans (e.g., functional, volume, end-to-end, integration, stress, regression, system, and user acceptance test if applicable).	X	

Project Estimation

Project estimation services are the activities associated with the evaluation and forecasting of project deliverables dates, efforts and costs as defined by an agreed-upon scope. The following identifies the Respondent's responsibilities associated with project estimation services that are required for Projects.

Table 103 Project Estimation Roles and Responsibilities

Project Estimation Roles and Responsibilities.	Respondent	City
1. Perform project estimation using a professional methodology and/or tool to size Projects and categorize them by level of effort.	X	
2. Provide cost and schedule estimates for future enhancements and implementation.	X	
3. Develop "program expenditure request" and acquire approval.	X	
4. Conduct value assessments of functional requirements and generate an impact analysis, including affected systems, alternative design scenarios, etc.	X	

Project Estimation Roles and Responsibilities.	Respondent	City
5. Provide project estimates in a timely manner.	X	

Service-Specific Milestones

Milestones specific to the deployment of Projects Services are listed in the following table:

Table 104 Project Estimation Roles and Responsibilities

Milestone Description	Milestone Date
TBD	

Service Management

A key objective of this agreement is to attain SLRs. SLRs specific to Service Towers are identified in the Service Management section of each IT Service Tower SOW. SLRs applicable across all Service Towers are identified in this Projects SOW below. Specific Service Tower and Projects SLRs are specified with Fee Reductions where business is impacted through failure to meet their respective SLRs. SLRs are detailed in the Service Level Requirements section of each SOW and those associated with Fee Reductions are identified in Section 5.6—Service Credits and Earn Back and Appendix 5.1 - SLR Weightings.

Respondent shall provide written reports to the City regarding Respondent's compliance with the SLRs specified in each SOW Schedule.

Definitions

Attachment P (Definitions) of the Agreement provides a list of terms that apply to this SOW and the following Service levels.

Service Level Requirements (SLRs)

The following SLRs represent minimum Service levels required across all IT Service Towers. Respondent must consistently meet or exceed the following SLRs. Projects SLRs associated with Service Credits and Earn Back are detailed in Section 5.6—Service Credits and Earn Back. SLRs associated with Service Credits and Earn Back are identified as "Critical" (i.e., "SLA Applicable"). **All times referenced are in Central Time.**

Table 105 Projects Enhancements SLRs

Definition	Manage the modification process to minimize defects and ensure timely delivery
------------	--

Projects Services			
SERVICE TYPE	SERVICE MEASURE	PERFORMANCE TARGET	SLR PERFORMANCE %
Project Estimation Methods and Tools Used for Cost and Schedule	Target	100% of projects	100%
Service Requests	Target Time	Deliver proposal within target time	95%

Projects Services			
Milestone Completion—Milestones on the Critical Path	Completion Date	Completion of milestones by scheduled completion date	100%
Milestone Completion—All Milestones NOT on Critical Path	Completion Date	Completion of milestones by scheduled completion date	95%
Functional Requirements Met	Scale-based Opinion Survey	4.5 or higher on a 5.0 point scale	95%
Scheduled Survey (conducted semiannually by the City or its designated Third Party agent)	End-User Satisfaction rate	End-Users surveyed should be very satisfied or satisfied	90%
	Formula	Performance = Transactions completed within required time/Total Transactions	
	Measurement Interval	Measure at Project Completion	
	Reporting Period	Monitor Continuously, Report Monthly	
	Measurement Method/Source Data	TBD [Specify monitoring and reporting tool(s) to be used]	

End-User Satisfaction Survey

The City and Respondent shall establish a mutually agreed-upon End-User Satisfaction survey that may be facilitated by a Third Party and designed with the City and Respondent input.

The Third Party shall supply to the City semiannual reports of the City business End-User Satisfaction, integrating the results of ongoing End-User Satisfaction surveys for each IT Service Tower. Upon delivery of each such report, the Parties shall meet to jointly identify any areas of End-User dissatisfaction. The Respondent shall prepare a project plan with the City's input and approval to Resolve End-User dissatisfaction.

Table 106 End-User Satisfaction SLR

End-User Satisfaction SLR			
END-USER SATISFACTION	SERVICE MEASURE	PERFORMANCE TARGET	SLR PERFORMANCE %
Scheduled Survey (conducted semiannually by the City or its designated Third Party agent)	End-User Satisfaction rate	End-Users surveyed should be very satisfied or satisfied	90%
	Formula	Sum of survey result from each participant ÷ Total number of participants responding to Scheduled Survey	

End-User Satisfaction SLR		
	Measurement Interval	Measure Semiannually
	Reporting Period	Report Semiannually
	Measurement Method/Source Data	TBD

Project Services Reports

Respondent shall provide written reports to the City regarding Respondent's compliance with the SLRs specified in this Section and other management reports. Reports are required per the following table:

Table 107 Projects Services Reports

Report Description	Timing
TBD	

4.10 Relationship Management Services

This is Section 4.10 (Relationship Management Services) sets forth the roles and responsibilities of the Parties for the relationship management services ("Relationship Management Services") provided under the Agreement as part of the Services. Relationship Management Services are the services and activities, as further detailed in Section 4.10, required to govern the delivery of Information Technology (IT) infrastructure services for City and to ensure strong communications and a customer-oriented City – Respondent partnership

The Parties shall, within 3 months of the Effective Date of the Agreement, develop a series of measures and Key Performance Indicators (KPIs) that will be put in place and reported on a monthly basis, which shall record the performance of the relationship.

Relationship Management Services Objectives

The City recognizes that Relationship Management Services are an essential component for successful contract management and ongoing City - Respondent relationship satisfaction. The City requires a relationship with Respondent based on the following key ingredients, including:

- Mutual trust and respect.
- Excellent communication between both Parties.
- Well-defined objectives and service levels.
- Appropriate governance structures.
- Well-defined roles and responsibilities.

Relationship Management Service Location

At the outset appropriate Respondent's Relationship Management team will be located on-site at a City location.

Relationship Management Services Requirements

The Respondent relationship management team will work with City's team to achieve a number of City relationship goals and objectives, including:

- Delivery of high-quality IT services to support City business needs,
- Consistently high customer satisfaction from all technical and operational End-Users of Services.
- Continuous recommendations for improvements to the functionality, creation and delivery of Services—to the extent that City business objectives would be better served.
- Development of the business rationale and benefits of any proposed changes and communicate these to the team and other City stakeholders, as appropriate.
- Adhering to the mutually-agreed upon structure regarding processes and procedures.
- Assisting City in its planning activities as required.
- Ensuring sufficient and continued communications.

Day-to-Day Management

The City approved formal procedural, reporting and communication processes and structures will be established in order to effectively and efficiently manage the delivery of the IT services to be provided by Respondent. These processes and structures will be documented and maintained by Respondent, as approved by City, and modified and updated on an ongoing basis to reflect changes to the business and operational relationship.

Respondent and City will agree upon additional points of contact, a reporting structure covering day-to-day operations, and periodic reviews of Respondent's performance. These may include technical, financial, and service level requirements reviews, as well as the resolution of any other issues that may arise. These reporting structure and periodic reviews will be documented and maintained by Respondent in an online repository accessible to the City's management team. A regular meeting schedule will be required for the different reporting levels established, with ongoing 24-hour access to all of Respondent points of contact when required. In addition to the processes and procedures as described in the Statement of Works (SOW), Respondent must provide processes and procedures acceptable to City that can be used to manage day-to-day relationship processes and shall include:

- Dispute resolution.
- Contract change.
- New business request.
- Performance reporting (e.g., Service Level Requirements (SLRs), project status, outstanding service request status).

Key Roles

City and Respondent will each establish and maintain relationship management teams of senior IT and business professionals that will:

- Determine and protect the business interests and reputation of the City
- Dedicate sufficient time and resources to make the relationship a success
- Support City strategic and tactical planning processes for in scope Services, including IT linkage to business objectives and technology standards and architectures
- Monitor Respondent performance metrics including contracted Service Level Requirements.

Respondent will provide biographies and resumes of the management team for City's approval as Respondent Key Personnel, including any key project operations and technical management personnel. An authorized City representative must approve any persons that Respondent recommends as a member of the Respondent Key Personnel. The foregoing provisions are in addition to, not in lieu of, the provisions regarding Respondent Key Personnel set forth in the Agreement. Respondent Key Personnel include but are not limited to Respondent's staff described below.

To ensure consistency of service delivery and minimize personnel learning curves, Respondent agrees to minimize the amount of turnover in its staff assigned to the City's account (non-Key Personnel) to a maximum of five percent (5%) per Contract Year.

Project Executives

The primary role of the Project Executives is set forth below. Respondent Project Executive shall be:

- The primary Relationship Manager between the service provider and City
- Knowledgeable about the Services and each of Respondent's and its Subcontractors' products and services
- Experienced at running services equal in size and scope to those of City
- Otherwise acceptable to City

Respondent Project Executive shall have overall responsibility for directing all of Respondent's activities hereunder and shall be vested by Respondent with all necessary authority to act for Respondent in connection with all aspects of the Agreement.

Service Delivery Managers

Each Party shall designate individuals (for City, the "Respondent Service Tower Manager", and for Respondent, the "Respondent Service Delivery Manager") for each of the Service Towers, who shall be each Party's primary point of contact for all matters relating to that Service Tower. The primary role of the Respondent Service Delivery Manager and City Service Performance Manager is set forth below.

Respondent Service Delivery Managers shall be:

- Knowledgeable about the Services and each of Respondent's and its Subcontractors' products and services
- Experienced at running information technology systems and networks of a size and scope minimally equal in size and scope to those of City
- Otherwise acceptable to City

Transition Managers

Each transition from one service state to another (e.g. initial transition, introduction of a new service or transfer of a service), will require the establishment of a transition team or teams with membership from both Parties, to establish the new service state that is required. Each Party shall have a Transition Manager in place for the duration of the applicable transition to manage such teams.

Additional Relationship Management Functions

The following are additional City and Respondent relationship management functions that are essential to managing the relationship:

- Financial Management
- Performance Management
- Contract Management

Financial Management

City and Respondent Financial Management function monitors and manages financial administration practices and procedures associated with the contract, ensuring that financial controls are in place and aligned with the contract. Financial Management function activities include:

- Acting as primary contact for all billing and financial issues
- Reviewing invoices, charges, budget performance, identifying disparities and variances to plans and recommending corrective action
- Reviewing fee reductions and identifying problem areas and recommending corrective action

Performance Management

City and Respondent Performance Management function has overall responsibility for ensuring Respondent's performance meets business requirements and continuously improves. The City Team will perform the measurement process and this function includes:

- Leading the measurement process by which Service Level Requirements are assessed
- Reviewing and monitoring performance and facilitating the development of improvement plans
- Conducting exploratory activities to determine how to raise performance levels and recommending changes in Service Level Requirements where appropriate to ensure that they properly reflect business needs, while balancing costs.

Contract Management

City and Respondent Contract Management function manages the contractual relationship between City and Respondent. This function includes:

- Leading and facilitating contract activities from contract signing through service provider transition and ongoing operations
- Monitoring compliance with contract terms and conditions and providing recommendations to resolve issues related to non-compliance
- Identifying and managing service provider fee reductions and incentives, based on performance information and contract terms

City and Respondent Contract Management, work closely with City's procurement and legal counsel to:

- Create, negotiate and incorporate amendments into the contract
- Coordinate the contract negotiations/renegotiations to accommodate scope changes or changes to business requirements per the following contract change management process

Respondent Key Personnel Incentives

Respondent shall create and maintain, for the Respondent Key Personnel, an individual compensation structure that provides incentives to meet the objectives of the Agreement and SLRs. City's expectation is that City customer satisfaction is a key component of the assigned Respondent personnel performance reviews.

Governance Structure

The following contract governance committees define the framework of the participants, the responsibilities and activities of those roles that are responsible for the administration of the governance processes.

Executive Committee

The Executive Committee will be comprised of senior executives from each party (members to be determined) who will meet to discuss high level strategic and operational issues relating to the Agreement. The Executive Committee will be responsible for giving guidance to the IT Vendor Management Committee on overall direction.

The Executive Committee shall meet at least semi-annually, and shall have the following role and responsibilities:

- Address relevant high level issues appropriate for a board level discussion
- Review and approve the use innovation processes to drive significant business change
- Address problems, disputes, Incidents or Service and Contract Changes that have been escalated to this level

For each such meeting, the Parties shall agree upon the location for the meeting in advance. Prior to each such meeting, Respondent shall prepare a suggested agenda, with active input from City Project Executive. Respondent shall deliver the agreed-upon agenda to City at least 5 days prior to the meeting. Respondent shall make available its senior management personnel to answer questions from City's senior management personnel regarding the agenda items for such meeting. Further, either Party from the Executive Committee may invite industry thought leaders to participate in such meetings to facilitate information exchange and increase the value of the strategies discussed.

IT Vendor Management Committee

The description of the IT Vendor Management Committee is set forth below.

IT Vendor Management Committee membership shall be agreed between the Parties as of the Effective Date and reviewed on an ongoing basis. As a guideline, the IT Vendor Management Committee membership should be between 4-6 people, with balanced representation from each party.

The IT Vendor Management Committee shall have the following role and responsibilities, in addition to any roles and responsibilities set forth in the Agreement:

- Based on Technology industry best practices, defining innovation and improvement opportunities for more effective use of IT services and how such innovative ideas and strategies can effectively impact services. Major opportunities will be referred to the Executive Committee and minor opportunities will be approved by this committee, subject to agreed authority levels.
- Addressing Problems, disputes, Incidents or requests for Changes (as defined in Section 4.2 below) that have been escalated to this level
- Addressing the status of projects, each Service Tower and any problems or difficulties experienced by the Parties in transitioning to and/or delivering the Services
- Providing status of planned initiatives and discussing initiatives that may impact capacity requirements
- Adjusting plans and projects as directed by City
- Reviewing the Executive Management Report
- Addressing such other matters as one Party may bring to the other

IT Vendor Operations Committee

A joint operations committee, comprised of business management and technology staff from City and Respondent (the "IT Vendor Operations Committee"), shall be responsible for overseeing the operation including integration of the individual Services provided by Respondent or Third Parties, reviewing performance and addressing common tactical issues. Issues that cannot be resolved by this committee shall be escalated to the IT Vendor Management Committee.

The IT Vendor Operations Committee shall be chaired by a senior City manager. Its members shall include Respondent Service Delivery Managers and/or PMO leads/project managers for each of the current Services being delivered, the Project Executive, and from City include each of the associated City Service Tower Managers and other technology leads. Additional

temporary City attendees may attend the IT Vendor Operations Committee at City's sole discretion. Any additional temporary Respondent attendees will be agreed between the Parties in advance of the committee meetings.

The IT Vendor Operations Committee shall meet monthly or more often at City's request, and shall have the following role and responsibilities:

- Discussing Respondent's overall compliance with the Service Level Requirements for all Services
- Planning for new Services and removal of Services
- Reviewing all financial arrangements, including invoices submitted by Respondent
- Reviewing City's satisfaction with the Respondent Key Personnel
- Addressing Problems, disputes, Incidents, and Change Requests (as defined in Section 4.2 below) that have been escalated to this level
- Reviewing project forecasts and action items
- Addressing such other matters as one Party may bring to the other.

For each such meeting, the Parties shall agree upon the location for the meeting in advance. Prior to each such meeting, Respondent shall prepare a suggested agenda, with active input from City Project Executive. Respondent shall deliver the agreed-upon agenda to City at least 3 days prior to the meeting. Respondent shall make available its senior management personnel to answer questions from City's senior management personnel regarding the agenda items for such meeting. Further, either Party from the IT Vendor Operations Committee may invite industry thought leaders to participate in such meetings to facilitate information exchange and increase the value of the strategies discussed.

Service Management Teams

For the Services defined in Section 4.4 – 4.9, a joint management team comprised of business management and technology staff from City and Respondent (the "Service Management Team") shall be responsible for overseeing the day to day operation of the Services.

The Service Management Team shall be chaired by the associated City Service Tower Manager. Its members shall include the Respondent Service Delivery Manager/PMO lead for the associated Service, plus any additional key attendees from either Party, agreed between the Parties as being required. Additional temporary City attendees may attend the Service Management Team at City's sole discretion. Any additional temporary Respondent attendees will be agreed between the Parties in advance of the Service Management Team meetings.

Service Management Team shall meet on a weekly or other basis to be determined as agreed between the associated Respondent Service Delivery Manager and City Service Tower Manager, and shall have the following roles and responsibilities:

- Addressing operational or delivery issues or crises arising during the previous week, and adherence to performance targets
- Reviewing Root Cause Analysis of any previous issues
- Addressing outstanding or unresolved issues

- Reviewing progress reports
- Planning for future changes
- Reviewing Respondent's compliance with the Service Level Requirements
- Reviewing Fee Reductions to be applied
- Reviewing Problems, disputes, Incidents and Change Requests
- Addressing such other matters as one Party may bring to the other
- Balance the City's requirements and cost of services provision
- Improve specification and understanding of service requirements

For each such meeting, the Parties shall agree upon the location for the meeting in advance. Prior to each such meeting, Respondent shall prepare a suggested agenda, with active input from City Service Tower Manager. Respondent shall deliver the agreed-upon agenda to City at least 5 days prior to the meeting. Respondent shall make available its senior management personnel to answer questions from City's senior management personnel regarding the agenda items for such meeting. Further, either Party from the Service Management Team may invite industry thought leaders to participate in such meetings to facilitate information exchange and increase the value of the strategies discussed.

City-Respondent Communications

Communications between City and Respondent shall, wherever possible and practicable, be face to face. Video or audio conferences will be the second choice of communication medium. Where video or audio conferences are not practical, e-mail will be the fall-back communication medium.

All formal meetings whether face to face or video or audio conferences shall:

- Be set with an agenda at least 3 days in advance and have an identified chairman and note taker. The agenda should have clear directions of location and/or medium to be used; date and timings of meeting; topic items to be covered and expected outcome for each topic; owners of each topic; and any pre-work to be undertaken by topic owners or attendees.
- Be documented with minutes by the note taker, and such minutes to include high-level summaries of key discussion points and future actions with timings and persons responsible for the actions. Minutes should be distributed to attendees and missing attendees and any persons with actions to be taken.
- Identify the person who shall be responsible for organizing the next meeting.

Contract Change Management

The finalized approach to contract change management shall be defined in the Standards and Procedures Manual. The procedures outlined here provide guidance on how contract change management should be implemented.

Types of Changes

Changes shall be classified by the Parties as one of the following three types:

- "Minor Change" - a change that has no significant impact in terms of cost or operations (including operations outside of the scope of this contract), but that may require the updating of Agreement Schedules, Attachments, Appendices or other documents). Any financial impact of these changes should be covered by the variability within the Compensation for the relevant Service. Minor Changes will normally be approved at the Service Management Team and Project Executive level.
- "Service Change" - a change required to a specific Service, which may include introduction, retirement or modification of a specific Service. These changes should impact Section 4.4-4.9 as they will often have financial implications. Service Changes will normally be approved at the Project Executive level and/or IT Vendor Operations Committee.
- "Contract Change" - a change that requires alteration to the fundamentals of the principles; relationship; method of operating, or legal requirements etc, but excluding any changes that are only to specific Service components (i.e., Section 4.4-4.9). These changes may have financial implications. Contract Changes will normally be approved at the IT Vendor Management Committee and will require an amendment to the agreement.

Change Requests

In the event that either Party determines that a change to the Master Services Agreement, Schedules, Attachments or Appendices is required, the following procedure will be executed:

- The party determining that a change is required shall initiate a request for change ("Change Request") to the other Party
- Each Party shall evaluate the Change Request as detailed below:
- Within a period of 30 days or at an alternatively mutually agreed time, the Parties shall convene to determine the action to be taken on the Change Request
- In the event that only City believes the Change Request needs implementing, the Parties will nonetheless enter a discussion or negotiation in good faith within such 30 day period, so that an eventual agreed position can be established, including any financial adjustments that may be required.

A Change Request can be initiated by either Party, and shall be identified by a unique number and kept in a central and shared log managed by Respondent. Change Requests will be continuously updated with their progress through the contract change management process described here. A Change Request shall have the following initial key content:

- Person and Party requesting the change
- Date of Change Request
- Unique number of Change Request
- Service to which Change Request relates (or generic request)
- Type of request (Minor Change, Service Change, or Contract Change)
- Objectives of Change Request

- Description of Change Request
- Suggested named persons from Respondent and City who will be responsible for the evaluation of the Change Request

Evaluation of Change Requests

Change Requests shall undergo an evaluation by both Parties, and the results of both evaluations shall be documented in a manner that includes the below elements. The content of the evaluation should contain as a minimum:

- Confirmation of Change Type (Minor Change, Service Change, or Contract Change)
- Date of evaluation
- Impact/risk analysis
- Knowledge transfer impact
- Financial impact
- Legal review (if required)
- Recommendation including change activities and plan
- Documentation requirements
- Suggested review team and approval level

Both Parties shall contribute to the evaluation as appropriate, and the conclusion of the evaluation shall be recorded with the original Change Request.

Contract Change Management Process

Authorization of contract changes shall be undertaken at as low a level of seniority as possible, subject to the constraints defined herein. The intent is to make the contract change management process as smooth and as efficient as possible, while maintaining effective control on key issues.

Either Party may at any time escalate the authorization of a Change Request to the next higher level of authorization if such Party has concerns about the implications of the Change Request.

After a Change Request has been initiated and an initial evaluation undertaken, the Change Request will go through a series of reviews, escalating the Change Request up the chain of authority, as required.

At each review, either Party may request that the Change Request be re-submitted for additional evaluation, if more information is needed before a decision can be made. The review team may ask that the Change Request be re-submitted to them with additional evaluation, or back down to a lower level review team, as deemed appropriate.

Table 108 Contract Change Management Process

Contract Change Management Process	
Activity	Authorization Process
Initiation of Change Request	No formal authorizations required but the manager of the person who wishes to initiate a Change Request shall review the request before it is submitted, to ensure the request is reasonable. Such Party's manager shall also quality assure the content of the request.
Evaluation of Change Request	The persons nominated to handle the Change Request from each of City and Respondent should review their evaluation and recommendations with their immediate manager for approval and quality assurance. The nominated persons should together develop an agreed evaluation and recommendation document associated with the Change Request, which may include differences of opinion if differences cannot be resolved between the Parties.
Service Management Team Review	<p>If the Change Request evaluation is deemed to meet criteria of a "Minor Change" by both Parties, authorization for the change will be made by the Service Management Team to which the change relates.</p> <p>If the Change Request is generic, and does not refer to a specific Service, the request will be passed to the Project Executive.</p> <p>If the Change Request evaluation indicates that the financial impact over the remaining contract life exceeds the authority level for the Service Management Team, then the Change Request (after review by the Service Management Team) will in any event be escalated to the IT Vendor Operations Committee and Project Executive for authorization.</p>
IT Vendor Operations Committee Review	<p>If the Change Request evaluation is deemed to meet criteria of a "Service Change" by either Party, authorization for the change will be made by the IT Vendor Operations Committee and Project Executive.</p> <p>If the Change Request evaluation indicates that the financial impact over the remaining Term exceeds the authority level for the IT Vendor Operations Committee, then the Change Request (after review by the IT Vendor Operations Committee) will in any event be escalated to the IT Vendor Management Committee for authorization.</p>
IT Vendor Management Committee Review	<p>If the Change Request evaluation is deemed to meet criteria of a "Contract Change" by either Party, authorization for the change will be made by the IT Vendor Management Committee.</p> <p>If the Change Request evaluation indicates that the financial impact over the remaining contract life exceeds the authority level for the IT Vendor Management Committee, then the Change Request (after review by the IT Vendor Management Committee) will in any event be escalated to the Executive Committee for authorization.</p>
Executive Committee Review	The Executive Committee shall review and authorize any change request that has been escalated to this level, subject to the authority level for the Executive Committee.

Governance Processes

Below are the types of governance processes City and Respondent will employ to co-manage the relationship. Key Co-Management Processes include:

- Strategy and Planning
- Contract Management
- Relationship Management
- Financial Management
- Service Level Management
- Resource Management
- Integration Management
- Customer Satisfaction Management

City and Respondent will assign key responsibilities required to appropriately co-manage these processes to satisfy the service requirements of City.

Roles and Responsibilities Table

The following table identifies the underlying roles and responsibilities associated Relationship Management and Co-Management processes. An “X” is placed under the party that will be responsible for performing the task.

Table 109 Relationship Management Roles and Responsibilities

Relationship Management Roles and Responsibilities	Respondent	City
Strategy and Planning		
1. Chair semi-annual Executive Committee meetings		X
2. Participate in semi-annual Executive Committee meetings	X	
3. Provide Respondent with City strategic business and technology imperatives that require Respondent support		X
4. Provide status on current and proposed projects	X	
5. Provide Technology Industry best practices for services, technologies and/or products to City's IT management that add value to City	X	
6. Review projects and project plans	X	
7. Review and approve projects and project plans		X
8. Develop strategic IT plan to support City strategic business plans		X
9. Participate in the development of City strategic business plans, as requested by City	X	
10. Develop/implement operational plans in accordance with authorized strategic IT plan, architecture and implementation strategies	X	
11. Provide IT research assistance on new technologies	X	
12. Provide Business case assistance and preparation, as required	X	
13. Provide IT solutions, expertise, and advisory services that are appropriately aligned with City's needs and business focus	X	

14. Establish business criteria for all services, standards and delivery requirements		X
15. Provide Technology Industry best practice for appropriate services, standards and procedures	X	
16. Review and approve all recommended services, standards and procedures		X
17. Document and adhere to City Policies and Standards		X
18. Adhere to City Policies and Standards	X	
19. Develop, document and maintain Standards and Procedures Manual	X	
20. Approve Standards and Procedures Manual		X
21. Provide the Standards and Procedures Manual electronically (and in a manner such that it can be accessed via either City's intranet or the Internet)	X	
22. Communicate to all End-Users the availability of and methodology for accessing the Standards and Procedures Manual	X	
23. Develop Demand Management Report (DMR), which shall include forecasts of expected changes in Services demand		X
24. Review and analyse DMR	X	
25. Provide input to demand forecasts for DMR	X	
26. Develop response to demands in the DMR	X	
27. Develop and provide action plans as a result of review of DMR	X	
28. Approve DMR action plans		X
Contract Management	Respondent	City
1. Monitor contract terms, technology operations and management processes to ensure compliance		X
2. Monitor and revise contracts as applicable and review recommended contract modifications provided by the other party		X
3. Monitor and revise contracts as applicable and review recommended contract modifications provided by the other party	X	
4. Provide data required to assess fee reductions and incentives	X	
5. Identify and manage Respondent fee reductions and incentives, based on performance information and contract terms		X
6. Provide Service setup, Service or Agreement Change Requests or exit requests, as applicable		X
7. Provide Service setup, Service or Agreement Change Requests or exit requests, as applicable	X	
8. Approve Change Requests		X
9. Implement Change Requests	X	

10. Conduct regularly reviews of the risk exposure of the relationship and overall transaction between City and Respondent using a framework, which includes without limitation: <ul style="list-style-type: none"> • Security audit including access rights • Quality of service delivery • Delayed service delivery • Business continuity and disaster recovery • Non-performance or inability to deliver Services 		X
11. Participate in regular reviews of the risk exposure of the relationship and overall transaction between City and Respondent	X	
Relationship Management	Respondent	City
1. Provide support and commitment of City executives to the relationship		X
2. Provide support and commitment of Respondent executives to the relationship	X	
3. Provide City internal business unit liaison to develop business relationships		X
4. Chair governance committee meetings as defined in Section 3 above		X
5. Participate in governance committee meetings as defined in Section 3 above	X	
6. Manage internal dispute escalation and resolution on behalf of Respondent	X	
7. Manage internal dispute escalation and resolution on behalf of City		X
Financial Management	Respondent	City
1. Establish, maintain and provide an asset register for all assets relevant to the Services	X	
2. Establish, maintain and provide a contract register for all contracts relevant to the Services	X	
3. Approve asset register and contract register		X
4. Provide Respondent data to a third-party benchmarking vendor for use in conducting periodic cost and performance benchmark comparison	X	
5. Monitor and manage financial administration practices and procedures associated with the Agreement		X
6. Provide data in order to conduct charge back per City requirements	X	
7. Identify billing disparities and work with Respondent to identify corrective actions		X
8. Implement corrective actions for billing disparities	X	
9. Provide a monthly report of Services consumed and any variances to plan	X	
10. Maintain an audit trail and records of all costs incurred under the Agreement	X	
11. Proactively ensure that all unnecessary costs are eliminated, and that costs are managed in an efficient manner	X	
12. Approve all cost controls		X

13. Maintain full records of assets (including ownership) used to support the delivery of Services under the Agreement and upon request, make such records available to City for review	X	
Service Level Management	Respondent	City
1. Manage and coordinate all delivery aspects of the Services	X	
2. Provide periodic written performance management reports to City on SLAs and conduct periodic scheduled and ad hoc review meetings as required	X	
3. Review and monitor Respondent performance against SLRs, return-on-investment metrics, performance improvement plans and industry benchmarks		X
4. Ensure Respondent understanding of and adherence to SLRs and any implementations of required changes to achieve such SLRs	X	
5. Ensure in-scope technical solutions are consistent with City's business strategy and architecture	X	
6. Ensure Respondent performance meets business requirements	X	
7. Conduct a formal review and report on root causes of service delivery or other relationship related matters, and document such findings per the requirements in Section 4.4-4.9	X	
Resource Management	Respondent	City
1. Ensure that staffing, technology and skill levels are adequate to achieve contract objectives	X	
2. Inform City of any potential key personnel staffing changes and of any new personnel assignments planned for new projects and Services	X	
3. Review and authorize key personnel changes to existing Services and personnel for new projects and Services		X
4. Define any constraints for the use of subcontractors		X
5. Approve recommended subcontractors in City's sole discretion		X
6. Provide Respondent staff turnover data when requested by City	X	
Integration Management	Respondent	City
1. Provide information on integration requirements		X
2. Define integration solutions	X	
3. Approve integration solutions		X
4. Utilize Technology Industry best practices in the support of the City's overall IT architecture, implementation strategies, and integration strategies for in scope Services in support of the strategic IT plan	X	
5. Review and authorize IT architecture, implementation strategies and Third Party integration strategies for in scope Services		X
6. Coordinate and participate in operational governance processes between City and Respondent as required		X
7. Coordinate and participate in operational governance processes between City and Respondent as required	X	

8. Develop Operating Level Agreements (OLAs) between Third Parties and Respondent if other Third Party providers of Services are providing services that integrate or impact upon those defined in the Agreement	X	
Exhibit 1 Customer Satisfaction Management	Respondent	City
1. Provide periodic written performance management reports to City on SLRs and conduct periodic scheduled and ad hoc review meetings as required	X	
2. Conduct customer satisfaction survey	X	
3. Participate in and review customer satisfaction survey		X

EXHIBIT 2 COMPENSATION

Section 5.0: COST PROPOSAL / COMPENSATION SCHEDULE

Appendix 5.1 SLR Weightings.xlsx

Appendix 5.2 Compensation Schedule-BaselineData.xlsx

COST PROPOSAL MUST BE SUBMITTED IN A SEPARATELY SEALED ENVELOPE.

In this section, Respondent is expected to provide a detailed response to each of the requirements describes in Part 5: Compensation. The response for each of the sub-sections must follow the same heading titles and order. In addition to the narrative response for each section, the Respondent must also complete Section 5: Cost Proposal. **COST PROPOSAL MUST BE SUBMITTED IN A SEPARATELY SEALED ENVELOPE.** Respondent must use this matrix, an Excel worksheet, to provide all Compensation information and assumptions. Compensation information received in any other format will not be considered and may be cause for the Proposal to be rejected.

Section 5.1 Financial Requirements

Compensation Structure

- The Respondent must provide one annual fixed price for each Service Area described in Scope of Services.
- The Respondent must provide a price for transitioning from the current services provider to Respondent. The Transition fee will be paid at the end of transition milestone, or as an element of the monthly service fee amortizing and billing the Transition Fee over the five (5) year period of the initial contract.
- The Respondent's price proposal MUST include all costs and any other fees that may be incurred to provide the IT Services.
- The Respondent must clearly identify and explain all assumptions upon which the Compensation Proposal is predicated in the assumptions sheets of the Section 5.0/Appendix 5.2 Compensation Schedule-BaselineData.xlsx file.

No Hidden Cost

The Respondent MUST include an affirmative statement which represents that all costs related to the delivery of Services are clearly disclosed in the Respondent's Cost Proposal and that no additional fees or charges will be incurred by the City other than those described in the Cost Proposal.

Non-Chargeable Activities

Without limitation, the City will have no obligation to pay for increased resource usage to the extent that it is attributable to any of the following:

- Unauthorized System Changes: Any system changes that result in a resource usage increase that is made by the Respondent or its authorized Subcontractor(s), which the City did not request or approve in advance through a formal change request process.
- Planned Growth: Any resource increase that is planned for and included within the work volume estimates that have been provided in the service area descriptions listed in each of the Statement of Works.
- Respondent Corrections: Any action required or elected to be taken by the Respondent to correct or remedy any error or performance failure by the Respondent or any third party acting on the Respondent's authority to provide the IT Services in accordance with this statement of work or resulting contract.
- Travel and Other Expenses Post Transition: Any and all travel related or other miscellaneous expense that might be incurred by the Respondent.

Section 5.2 Baseline Work Volumes

Work Volume

Work Volume refers to the projected workload (i.e., selected numbers and types of services being requested) for all required Services. Current and projected work volume has been provided for each service area listed in Section 4.

Annual Baseline

The “Annual Baseline” is the work volume for the selected service types at the start of each Contract Year. The beginning annual baseline (i.e., Contract Year 1) will be agreed upon between the Respondent and the City prior to contract finalization.

Deadband

The Deadband is a range within which the actual work volumes for Services may fluctuate against the established Annual Baseline without the City incurring additional cost or credit. The City projects an annual fluctuation in work volumes at a rate to be negotiated above and below the Annual Baseline. The Deadband establishes the triggers for either additional charges to the City or credit given by the Respondent in cases where the actual work volume is outside of the Deadband of a period of time (see Section 5.4. Variable Service Fees section and Section 5.4.5 Variable Service Fee Credits section). The root cause of the work volume fluctuation will be jointly studied and well understood to limit future fluctuations outside of the Deadband.

Annual Baseline Adjustment

The Annual Baseline will be adjusted as described in Section 5.4. Annual Fee Adjustment section.

Section 5.3 Compensation Model

Resource Price, Baseline IT Service

The City desires a fixed price service model where for one fixed annual price; the Respondent assumes full responsibility for performing all the required Services described in Section 4. This fixed price must be inclusive of all costs required to deliver the services in a manner that meets or exceeds the service level requirements for each service area and supports the projected work volumes and hours of operation described in Section 4. This fixed price cost, must include all costs including, but not limited to; personnel, facilities, infrastructure hardware and software, equipment, postage, consumables and supplies. The City expects that there will be no additional variable costs passed along to the City as part of the Annual Price.

Compensation Model Worksheet

Respondent must provide an annual firm fixed price for each IT Service using the Section 5.0/Appendix 5.2 Compensation Schedule-BaselineData.xlsx file. And include all key operating assumptions being made to arrive at the fixed price. The evaluation of the Compensation model will be based on the total fixed price in each Service area and will use the assumption detail provided by the Respondent to establish a comparative value.

Each service area is represented by its own tab in the Compensation model worksheet.

As indicated in the Compensation Model Worksheet, the City also requires the respondent to provide transition fee option to be will be paid at the end of transition milestone, or as an element of the monthly service fee amortizing and billing the Transition Fee over the initial term of contract.

Assumptions

In this section, Respondent is to provide additional detail of all operating assumptions being made. Detailed baseline operating assumptions have been provided in each service area description provided in Section 4 Statement of Work (Sections 4.4 – 4.9). Respondent is encouraged review these assumptions and make adjustments as necessary and or to provide additional clarifications or operating assumptions regarding the Compensation of that particular Service Area. These may include boundaries, restrictions, volumes or workload being used to

estimate Compensation. This information will be used to further evaluate the Compensation being offered and the overall value to the City.

Additional Project Resources (Variable-Capacity Resources)

Due to the size, complexity, special expertise or urgency of the need, some projects may require the engagement of additional or specialized resources.

In these cases, additional staffing and costs will be obtained in response to a City

Task Order with an applicable Statement of Work that describes the services needed and the deliverables to be produced. The Statement of Work will minimally include:

- Purpose and Expected Outcomes: Why the work is needed and what it will accomplish.
- Scope of Work: A description of the work to be done.
- Deliverables: What outputs will be produced.
- Constraints: Time, cost, staffing plan, technology or other constraints.
- Special Requirements: Any special hardware, software, staffing or other requirements.
- Response Requirements: A description of the documentation to be supplied in response to the City Task Order.

The vendor will respond with a Solution Proposal that includes all required documentation. The Solution Proposal must substantiate that the vendor has the capabilities and resources to plan, manage and execute the project, using methods and practices that are appropriate to the task and approved by the City. Any impacts on the full-time support team must be identified and specified.

The hourly costs for any resources engaged through this process may not exceed the hourly rates specified in the Rate Card Compensation schedule for the contract. In the Rate Card Compensation schedule respondents must list all relevant job roles that may be utilized during the engagement.

The selected Respondent is expected to have the capabilities, when needed, to provide these services and deliver them effectively. This is not a full-time, dedicated resource. It is a role that will be requested as opportunities occur to develop new systems, to improve under-performing systems, or to modernize legacy systems.

The City, at its sole discretion, may accept or reject any Solution Proposal submitted by the vendor.

All projects are required to include a Warranty Period of not less than 90 days. During this time the vendor is responsible, without any additional charges to the City, for fixing defects and making any changes required to assure that the finished product performs satisfactorily and in compliance with the acceptance criteria.

Transition Services

All costs associated with Transition of IT Services are to be priced separately and not included in the ongoing maintenance and support costs.

Section 5.4 Fees

This section provides the basis for determining the Fees applicable to the IT Services and describes the processes and methodology as to how these fees will be determined.

Transition Fees

A smooth transition is critical to the ongoing and long-term success of this engagement. All Fees for the Transition Services must be based on clearly established milestones. The Respondent shall propose a limited number, no more than six, of clearly defined milestones that represent the progress and success of the Transition. The Respondent is encouraged to propose transition milestones that provide an incentive for a timely and smooth transition and impose a financial disincentive for delays and/or missed milestones.

The Transition Fee corresponds to the period of time between Contract Signing through the complete transition of services. Year One (Y1) of the agreement begins at the completion of the Transition period.

The City reserves the right to pay the Transition fee at the end of each milestone or as an element of the monthly service fee amortizing and billing the Transition Fee over the five (5) year period of the initial contract.

In this section, the Respondent must propose a firm fixed price for all costs associated with the transition of services. Respondent must also describe each of the proposed payment milestones that correspond with the proposed Transition Milestones as they are described in Section 4.2.

Annual Fee

The Annual Fee will be the total Fixed Price for all IT Services except Transition Services. The Annual Fee will be based on the Annual Baseline that is mutually agreed upon between the City and the Respondent each year. As part of the Compensation proposal, the Respondent must provide the Annual Baseline assumptions being used to establish the price of the Service area. The Respondent shall use the Scope of Services and historical work volumes described in Scope of Services. For subsequent years, the actual Annual Baseline and Annual Fees will be determined based upon adjustments made using the process described below in Annual Fee Adjustment. Annual Fee will commence at transition completion.

Annual Fee Adjustment

Each year, the City and Respondent will use the contract change management process to reach agreement on any changes to the Annual Fees. The following may trigger adjustments to the Annual Fee:

Annual Adjustment/Review

At the end of each contract year, the City may elect to cause an adjustment to the Annual Baseline and any other impacted elements of the contract (e.g., Rate Card, SLR's, Deadband limits), as may be necessary to reflect changes in the City's projected requirements or based on the benchmarking program findings (see Section 5.6 Service Credits and Earn Back below).

The Annual Fee may be appropriately adjusted based on the revised Annual Baseline and any such adjustments will be retroactive to start of the new contract year regardless of if or when the parties execute an amendment to reflect it.

Business Change Adjustments

The City may elect to cause an adjustment to the Annual Baseline, and other impacted elements (e.g., Rate Card, SLR's, Deadband limits), if the City experiences changes (planned

or unplanned) in the scope or nature of its business that the City believes will or may cause a sustained or significant decrease or increase in the work volumes in any one or more of the support Services. At any time, the City may elect to incrementally increase or decrease workload in a specific service area or the City may elect to completely remove one or more Service Areas, at which time a revised Annual Baseline will be set.

The Annual Fee will be appropriately adjusted based on the revised Annual Baseline. Any such adjustments will be retroactive to the start of the new contract year regardless of if or when the parties execute an amendment to reflect it.

A Business Change Adjustment may occur at any time, based solely on City's sole discretion, provided that the City provides the Respondent with at least thirty (30) days prior written notice.

Variable Service Fees

Variable Service Fees are a means to compensate for Support Services work volumes above the Deadband.

Additional Resource Charges (ARCs)

Additional Resource Charges (ARCs) are those fees applicable to the selected work volume usages for three consecutive months above the Deadband. ARC measurements will be initiated after the completion of the Transition. ARC will be based on available data and can be on retroactive or going forward basis.

ARC Calculation

The City and Respondent will compare the quantity of actual work volume used every month against the Deadband. If the actual work volume exceeds the Deadband for three (3) consecutive calendar months, the City will pay the Respondent an ARC equal to the product of the Blended Rate for Support Services multiplied by the sum total of the difference between the actual work volume and the Deadband.

Calculation:

ARC Month 1 = Actual IT SERVICES Support Volume for Month 1— $((1/12 * \text{Annual Maintenance Baseline}) * 1.05)$

ARC Month 2 = Actual IT SERVICES Support Volume for Month 2— $((1/12 * \text{Annual Maintenance Baseline}) * 1.05)$

ARC Month 3 = Actual IT SERVICES Support Volume for Month 3— $((1/12 * \text{Annual Maintenance Baseline}) * 1.05)$

ARC = Blended Rate for IT SERVICES Support Services * (ARC Month 1 + ARC Month 2 + ARC Month 3)

Variable Service Fee Credits

Variable Service Fee Credits are meant to compensate for Support Service work volumes that are below the Deadband.

Reduced Resource Credit (RRC)

Reduced Resource Credits (RRC) are fee credits applicable to work volume usage for three consecutive months below the Deadband. RRC measurements will be initiated after the completion of Transition. RRC will be based on available data and can be on retroactive or going forward basis..

RRC Calculation

The City and Respondent will compare the quantity of actual work volume used every month against the Deadband. If the actual work volume usage is below the Deadband for 3 (three) consecutive calendar months, Respondent will then pay or credit the City an RRC equal to the

product of the Blended Rate for IT SERVICES Support Services multiplied by the sum total of the difference between the actual work volume and Deadband.

Calculation:

RRC Month 1 = $((1/12 * \text{Annual Baseline}) * 0.95)$ —Actual IT SERVICES Support Work Volume for Month 1

RRC Month 2 = $((1/12 * \text{Annual Baseline}) * 0.95)$ —Actual IT SERVICES Support Work Volume for Month 2

RRC Month 3 = $((1/12 * \text{Annual Baseline}) * 0.95)$ —Actual IT SERVICES Support Work Volume for Month 3

RRC = Blended Rate for IT SERVICES Support Services * (RRC Month 1 + RRC Month 2 + RRC Month 3)

Section 5.5 Tiered Compensation

Joint Procurement Strategy

Respondent must be cognizant of the City's strategic goal to leverage contracts, wherever applicable, across multiple departments, and Sister Agencies. To this end, over the term of the award, other local government agencies may decide to purchase against the contract(s) that will be awarded as a result of this RFP process. This decision is pursuant to the terms and conditions of said contract(s) and following conditions:

- Agencies are authorized by law or their governing bodies to execute such purchases,
- Authorization is allowed by the City of Chicago's Chief Procurement Officer,
- Such purchases have no net adverse effect on the City of Chicago and result in no diminished services from the service provider(s) to the City's user departments and other existing participatory agencies.

Agencies in Scope are the agencies that are in the current scope for this RFP as well as the agencies that may opt-in at a later date.

"Attachment U Agencies in Scope" list the City of Chicago agencies that are in scope.

Tiered Compensation Model for Agencies Opting-in at a Later Date

In order to facilitate the ability for additional City agencies to purchase against the contract, the Respondent shall provide a Tiered Compensation model for each service as described in Sections 4.4 – 4.10 The Tiered Compensation Model should specifically reflect the following:

1. A Tier shall be defined as every 10% increase in the total units of services provided by the Respondent which is also expected to yield a reduction in the unit cost for services offered by the Respondent;
2. The specific unit cost for each Tier;
3. Any greater savings that could be achieved by narrower or expanded Tiers as reflected by the cost position of the Respondent, referred to herein as the enhanced Tiered Compensation model. The enhanced Tiered Compensation model should include each Tier that would yield the enhanced savings including the unit costs at each of these Tiers.

In addition to the Tiered Compensation model, the Respondent shall also provide the specific Transition Costs, if any, that each of the agencies would incur if they choose to opt-in to the contract. The submission of the Transition Costs should meet the requirements as set forth in Section 5.4 in this document.

Section 5.6 Service Credits and Earn Back

The Service Credit and Earn Back structure has been designed to encourage consistent and timely delivery of service and value to the City. The Service Credits are not intended to compensate the City for damages, but rather to reimburse the City for the value of the diminished services actually delivered, and to provide incentive to the Respondent to achieve agreed upon Service Level Agreements (SLAs) and focus on the City's critical needs. SLAs are subject to annual reviews. The City reserves the right to change (add, delete or modify) SLAs upon notice and make mutual agreement with the contracted Respondent.

The following section outlines the circumstances under which the Respondent will be subject to service credits for failure to achieve the SLA(s) and/or Critical Milestones (Section 5.6 Critical Milestones section), and also the circumstances under which Respondent will be entitled to Earn Backs.

Service Level Requirements (SLR)

SLR(s) identify key performance measures that will be used to evaluate the Respondent's delivery of IT Services Support Services. SLRs associated with Service Credits and Earn Back are identified as "Critical" (i.e., "SLA Applicable"). All SLAs are further detailed in Section 5.6—Service Credits and Earn Back and Appendix 5.1 - SLR Weightings.

The overriding goal in developing SLR(s) is to support the City's desire to manage the Respondent by monitoring and measuring performance on the City's most-important business drivers. The City expects the SLR(s) to improve over time and that new SLR(s) may be added to reflect changing or new business requirements. The City expects continuous improvement in Respondent's provision of the IT SERVICES Support Service and, therefore, expects to review SLR(s) at least yearly and, where appropriate, to adjust the SLR(s) to reflect such continuous improvement in Respondent's delivery of IT SERVICES Support Services. In no event, unless mutually agreed, will the SLR(s) or the Service Credit be reduced below the levels at which they are set.

Service Credits

Critical business SLRs (identified as "Business Critical and Critical") will have associated Service Level Agreements (SLAs). The apportionment of Annual Fee "at risk" for each Contract Year for failure to meet critical business SLRs, is 15% of the then applicable Annual Fee. Additionally, a multiplier (the total percentage points available for weighting service levels) of 250% will apply.

Service Credits are not capped on a monthly basis, but shall not exceed 15% of Annual Fee at any point during the Contract Year, except as outlined below in Section 5.4.4 Variable Service Fees and Section 5.4.5 Variable Service Fee Credits. Should the annual "at risk" fee reduction be reached prior to the end of the then current Contract Year, the Agreement shall be deemed to be in default and such other provisions will apply as outlined in the Contract.

Failure

For the purpose of the sections below, "Failure" shall mean the failure to meet the target services level of a business-critical SLR.

Service Credit Calculation

Upon any Failure, Service Credits are equal to the product of: (i) one twelfth of the Annual Fee At-Risk Amount, multiplied by (ii) the Weighting Factor for the SLR that was missed.

For a SLR, if there are Failures in two (2) or more consecutive Measurement Intervals (monthly or quarterly, as applicable), the Weighting Factor for the second, third, and subsequent consecutive Measurement Intervals shall be increased as follows:

First Measurement Interval	1 x the Weighting Factor
Second Measurement Interval	2 x the Weighting Factor
Third and Subsequent Measurement Intervals	4 x the Weighting Factor

On the fourth consecutive failure for a SLR, the Contract shall be considered in default.

Earn Back

Respondent may propose Earn Back criteria and formula. The City will decide the Earn Back terms.

Critical Milestones

In addition to SLRs outlined in Section 4: Scope of Services, the City expects to identify Critical Milestones which mark the completion of significant activities/goals. The initial Critical Milestones shall be determined and agreed upon as part of the final and approved Transition Plan.

Service Credits

The 'at risk' amount for failure to meet Critical Milestones is 10% of the then applicable Annual Fee. For each Critical Milestone, an appropriate weighting factor will be assigned, representing a percentage of the total at risk amount. The City may at anytime adjust the weighting factor of any Critical Milestone by giving the Respondent thirty (30) days prior written notice.

Section 5.7 Benchmarking

At the City's direction and cooperation, the Respondent shall participate in a benchmarking program that enables the City to compare fees and service level requirements for all services set forth in this contract with peers to ensure that the City is receiving competitive rates and service levels. The Benchmarking program will be conducted by an independent, objective and experienced third-party as proposed by the Respondent and approved by the City.

Factors that may be taken into consideration by the Benchmarking Company when selecting peers may include, but shall not be limited to:

- Geographic location of the peer organizations (government or commercial)
- Industry differences affecting information technology costs
- Economies of scale
- Workload and complexity factors (including operating environment)
- In addition, factors related to normalization for services may include, but shall not be limited to:
- The SLR(s) offered
- Duration and nature of the contractual commitment
- Volume of services being provided
- Contractual terms, conditions and allocation of risk

- Amount of investment made by Respondent in the customer's equipment and personnel
- Appropriate overhead
- Provisions to ensure the unique factors of each deal are taken into account by the Benchmarking Company and appropriate adjustments will be made for out-of-scope deliverables.

Benchmarking Cost

The Respondent will be responsible for the full cost of the benchmarking service.

Benchmarking Procedure

The City may request a benchmark for either (i) any IT SERVICES Support Service area(s) or (ii) the totality of the IT SERVICES Support Services, at any time after the first year full year of service following the completion of the Transition period, provided that a benchmark cannot be undertaken more than once in any rolling one (1) year period. Upon designation of the benchmark timing, a date will be set by both parties that any necessary Compensation changes will be in effect and if required due to a longer than expected benchmark time frame the Compensation would be retroactive to the predefined date. In addition, the Parties shall meet with the Benchmarking Company for the purpose of agreeing upon a detailed plan (including time deadlines for provision of data by the Respondent) for implementing the Benchmark.

Respondent Price is Above Benchmark

After the Benchmark Notice Date, the City and the Respondent will meet to jointly review the Benchmark results. If the report of the Benchmarking Company concludes that the Respondent's aggregate Fees for Support Service area is greater than 105% of the Benchmarking Company's market-based aggregate fees for such services, then either:

- Option 1: Within 30 days after the Benchmarking Company provides its report, the Respondent shall notify the City in writing if the Respondent has elected to accept the determination of the Benchmarking Company, and, if the Respondent so elects to accept such determination, the Respondent shall promptly decrease the applicable Fees to not more than 105% of such market-based aggregate fees; or
- Option 2: If benchmarking,
 - Discloses material variations between the Respondent's charges and/or quality standards, and prevailing market standards and
 - The City and the Respondent cannot agree to an appropriate adjustment of the affected service level(s) and/or charges within a reasonable period,
 - Then the City with 90 days notice;
 - May terminate the Agreement or relevant Services; and
 - The Respondent shall reimburse the City for the fees and charges paid by to the Benchmarking Company.

Benchmarking Metrics

Prior to the commencement of all benchmarking studies, the City and Respondent will agree on the specific services or sub-services (metrics) to be included within the scope of the study. The exact metrics to be included in the benchmark study will be contingent upon: (1) the detail in which the benchmark company maintains cost and Compensation data within its database; and, (2) The Respondent's ability to capture Compensation information at the desired level of detail.

EXHIBIT 3 COMPANY PROFILE INFORMATION

COMPANY PROFILE INFORMATION

Submit a completed company profile information sheet for prime, each joint venture partner and subcontractor(s), as applicable.

- (1) Legal Name of Firm: _____
- (2) Doing Business under Other Company Name?
If yes, Name of Company: _____
- (3) Headquarters Address: _____
- (4) City, State, Zip Code: _____
- (5) Web Site Address: _____
- (6) Proposed Role: ☐ Prime ☐ Subcontractor/Subconsultant ☐ Joint Venture Partner
 ☐ Supplier or ☐ Other: _____
- (7) Number of Years in Business:

- (8) Total Number of Employees:

- (9) Total Annual Revenues separated by last 3 full fiscal years:

- (10) Major Products and/or Services Offered:

- (11) Other Products and/or Services:

- (12) Briefly describe your firm's strategy for Information Technology Infrastructure Services for clients:

- (13) Briefly describe your firm's experience with Information Technology Infrastructure Services for clients:

EXHIBIT 4 COMPANY REFERENCES/CLIENT PROFILE INFORMATION

COMPANY REFERENCES/CLIENT PROFILE INFORMATION

Submit a completed client profile information sheet for each company reference. Provide a minimum of 3 references.

- (1) Client Name: _____
- (2) Address: _____
- (3) City, State, Zip Code: _____
- (4) Project Manager: _____
- (5) Telephone Number: _____
- (6) E-mail: _____
- (7) Number of Employees in Client Organization: _____
- (8) Project Scope of Services/Goals: _____

- (9) Contract Award Date: _____ Completion Date: _____
- (10) Initial Contract Amount: \$_____ Final Contract Amount: \$_____
- (11) Describe how the client's goals were met. Describe how the Information Technology Infrastructure Services were implemented. Attach additional pages, as necessary.

- (12) Discuss significant obstacles to providing the required services and how those obstacles were overcome:

- (13) Is the client still utilizing the Information Technology Infrastructure Services?

- (14) What was the cost/financing structure of the contract?

EXHIBIT 5 ECONOMIC DISCLOSURE STATEMENT AFFIDAVIT AND ATTACHMENT A ONLINE CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT (EDS) INSTRUCTIONS

WHEN SUBMITTING YOUR RESPONSE TO THIS REQUEST FOR PROPOSAL (RFP), FOR INFORMATION TECHNOLOGY INFRASTRUCTURE SERVICES, SPECIFICATION NO. 416117, THE RESPONDENT(S) SHALL SUBMIT 2 DOCUMENTS: 1) A “**CERTIFICATE OF FILING**” EVIDENCING COMPLETION OF YOUR ONLINE EDS AND 2) AN EXECUTED **ATTACHMENT A, ONLINE EDS ACKNOWLEDGEMENT** SIGNED BY AN AUTHORIZED OFFICER BEFORE A NOTARY.

1. ONLINE EDS FILING

1.1. ONLINE EDS FILING REQUIRED PRIOR TO RESPONSE DUE DATE

The Respondent shall complete an online EDS prior to the response due date. A Respondent who does not file an electronic EDS prior to the response due date may be found non-responsive and its response rejected. If you are unable to complete the online EDS and print a Certificate of Filing prior to the response due date, the City will accept a paper EDS provided written justification is provided explaining your good faith efforts to complete it before the response due date and the reasons why it could not be completed.

NOTE: ALWAYS SELECT THE “CONTRACT” (NOT UPDATE) BOX WHEN COMPLETING AN ONLINE EDS TO ENSURE A NEW CONTRACT SPECIFIC ONLINE EDS IS CREATED RELATED TO THE SOLICITATION DOCUMENT. CLICKING THE UPDATE BOX ONLY UPDATES PREVIOUS EDS INFORMATION.

1.2. ONLINE EDS WEB LINK

The web link for the Online EDS is <https://webapps.cityofchicago.org/EDSWeb>

1.3. ONLINE EDS NUMBER

Upon completion of the online EDS submission process, the Respondent will be provided an EDS number. Respondent should record this number here:

EDS Number: _____

1.4. ONLINE EDS CERTIFICATION OF FILING AND ATTACHMENT A, ONLINE EDS ACKNOWLEDGEMENT

Upon completion of the online submission process, the Respondent will be able to print a hard copy Certificate of Filing. The Respondent should submit the signed Certificate of Filing and Attachment A, Online EDS Acknowledgement form with its response. Please insert your Certification of Filing and Attachment A, Online EDS Acknowledgement form following the Cover Letter. See Section V. B.10, Required Contents of Proposal in the RFP. A Respondent who does not include a signed Certificate of Filing and/or Attachment A, Online EDS Acknowledgement form with its response must provide it upon the request of the Chief Procurement Officer.

1.5. PREPARATION CHECKLIST FOR REGISTRATION

To expedite and ease your registration process, we recommend that you collect the following information prior to registering for an Online EDS user account:

	1. Invitation number, if you were provided an invitation number.
	2. EDS document from previous years, if available.
	3. Email address to correspond with the Online EDS system.
	4. Company Information:
	a. Legal Name
	b. FEIN/SSN
	c. City of Chicago Vendor Number, if available.
	d. Address and phone number information that you would like to appear on your EDS documents.
	e. EDS Captain. Check for an EDS Captain in your company - this maybe the person that usually submits EDS for your company, or the first person that registers for your company.

1.6. PREPARATION CHECKLIST FOR EDS SUBMISSION

To expedite and ease your EDS submission, we recommend that you collect the following information prior to updating your EDS information online.

Items #1 through #7 are needed for both EDS information updates and contract related EDS documents:

- _____ 1. Invitation number, if you were provided with an invitation number.
- _____ 2. Site address that is specific to this EDS.
- _____ 3. Contact that is responsible for this EDS.
- _____ 4. EDS document from previous years, if available.
- _____ 5. Ownership structure, and if applicable, owners' company information:
 - _____ a. % of ownership
 - _____ b. Legal Name
 - _____ c. FEIN/SSN
 - _____ d. City of Chicago Vendor Number, if available.
 - _____ e. Address
- _____ 6. List of Commissioners, officers, titleholders, etc. (if applicable).

- _____
7. For partnerships/LLC/LLP/Joint ventures, etc.:
- _____
- a. List of controlling parties (if applicable).
- _____

Items #8 and #9 are needed ONLY for contract related EDS documents:

- _____
8. Contract related information (if applicable):
- _____
- a. City of Chicago contract package
- _____
- b. Cover page of City of Chicago bid/solicitation package
- _____
- c. If EDS is related to a mod, then cover page of your current contract with the City.
- _____
9. List of subcontractors and retained parties:
- _____
- a. Name
- _____
- b. Address
- _____
- c. Fees – Estimated or paid
- _____

1.7. EDS FREQUENTLY ASKED QUESTIONS

Q: Where do I file?

A: The web link for the Online EDS is <https://webapps.cityofchicago.org/EDSWeb>

Q: How do I get help?

A: If there is a question mark on a page or next to a field, click on the question mark for help filling out the page or field. You may also consult the User Manual and the Training Videos available on the left menu.

Q: Why do I have to submit an EDS?

A: The Economic Disclosure Statement (EDS) is required of applicants making an application to the City for action requiring City Council, City department or other City agency approval. For example, all bidders seeking a City contract are required to submit an EDS. Through the EDS, applicants make disclosures required by State law and City ordinances and certify compliance with various laws and ordinances. An EDS is also required of certain parties related to the applicant, such as owners and controlling parties.

Q: Who is the Applicant?

A: "Applicant" means any entity or person making an application to the City for action requiring City Council or other City agency approval. The applicant does not include owners and parent companies.

Q: Who is the Disclosing Party?

A: "Disclosing Party" means any entity or person submitting an EDS. This includes owners and parent companies.

Q: What is an entity or legal entity?

A: "Entity" or "Legal Entity" means a legal entity (for example, a corporation, partnership, joint venture, limited liability company or trust).

Q: What is a person for purposes of the EDS?

A: "Person" means a human being.

Q: Who must submit an EDS?

A. An EDS must be submitted in any of the following three circumstances:

Applicants:	An Applicant must always file this EDS. If the Applicant is a legal entity, state the full name of that legal entity. If the Applicant is a person acting on his/her own behalf, state his/her name.
Entities holding an interest:	Whenever a legal entity has a beneficial interest (E. G. direct or indirect ownership) of more than 7.5% in the Applicant, each such legal entity must file an EDS on its own behalf.
Controlling entities:	Whenever a Disclosing Party is a general partnership, limited partnership, limited liability company, limited liability partnership or joint venture that has a general partner, managing member, manager or other entity that can control the day-to-day management of the Disclosing Party, that entity must also file an EDS on its own behalf. Each entity with a beneficial interest of more than 7.5% in the controlling entity must also file an EDS on its own behalf.

Q: What information is needed to submit an EDS?

A: The information contained in the Preparation Checklist for EDS submission.

Q: I don't have a user ID & password. Can I still submit an Online EDS?

A: No. You must register and create a user ID and password before submitting an Online EDS.

Q: What information is needed to request a user ID & password for Online EDS?

A: The information contained in the Preparation Checklist for Registration is needed to request a login for the Online EDS.

Q: I already have a username and password from another City web site (City Web Portal, Department of Construction and Permits, Department of Consumer Services, etc.). Can I log-in the Online EDS with that account?

A: Usually not. The Online EDS uses a user ID and password system that is shared by the Public Vehicle Advertising and Water Payment web sites. You may use a username and password from those sites by answering "Yes" to "Is this an existing City of Chicago user ID?" when registering. Other usernames and passwords will not be automatically recognized. However, you may choose to create an identical username for the Online EDS if it is not already taken.

Q: I don't have an email address. How do I submit an Online EDS?

A: You cannot get an account to submit an online EDS without an email address. If you need an e-mail address, we suggest that you use a free internet email provider such as www.hotmail.com or www.yahoo.com or mail.google.com to open an account. The City does not endorse any particular free internet email provider. Public computers are available at all Chicago Public Library branches.

Q: I forgot my user ID. Can I register again?

A: No. If you are the EDS Captain of your organization, please contact the Department of Procurement Services at 312-744-4900. If you are an EDS team member, contact your EDS Captain, who can look up your user ID.

Q: Who is the EDS Captain?

A: The EDS Captain is a person who performs certain administrative functions for an organization which files an EDS. Each organization registered with the Online EDS has at least one EDS Captain. There may be co-captains, who are all equal. EDS Captains approve new users, change contact information for an organization, and de-active accounts of employees who have left the organization. Please see the User Manual for more information.

Q: Why do we need EDS Captains?

A: The Online EDS is designed to be a self-service web application which allows those doing or seeking to do business with the City to perform as many routine functions as possible without City intervention. Because many organizations have multiple staff filing an EDS, the EDS Captain role allows those organizations to self-manage the contact information and users.

Q: Who is the EDS team?

A: The EDS team for an organization is everyone who is registered to file an EDS on behalf of the organization.

Q: I forgot my password. What should I do?

A: To retrieve a temporary password, click the "Forgot your password?" link on the login page. Enter your user ID that you provided when you registered your account. The system will automatically generate a temporary password and send it to you. When you log-in with your temporary password, you will be asked to create a new password.

Q: How do I complete an Online EDS?

A: Click on "Create New" after logging in. The Online EDS system will walk you through the EDS questions. Please see the User Manual for details.

Q: How do I fill out a Disclosure of Retained Parties?

A: There is no longer a separate Disclosure of Retained Parties filing. After logging in, click on

"Create New". Answer (click) "Contract" to "Is this EDS for a contract or an EDS information update?" Click "Fill out EDS", and click on the "Retained Parties" tab. When finished, click on "Ready to Submit."

Q: How do I attach documents?

A: Attachments are discouraged. If at all possible, please provide a concise explanation in the space provided in the online form. Attachments with pages of officers are not acceptable. Names of officers must be typed into the system. If you must provide an attachment for another reason, please send it to your City of Chicago contact (contract administrator or negotiator for procurements) and they will attach it for you. Documents can be sent in PDF (preferred), Word, or paper format.

Q: Who can complete an Economic Disclosure Statement online?

A: Any authorized representative of your business with a user ID and password can complete your EDS online. One person, such as an assistant, can fill in the information and save it, and another person can review and electronically sign the Online EDS.

Q: What are the benefits of filing my Economic Disclosure statement electronically?

A: Filing electronically reduces the chance of filing an incomplete EDS and speeds up the processing of contract awards. A certificate of filing can be printed at the completion of the process and inserted into your bid package. The biggest benefit for those who frequently do business with the City is that after the first EDS, each EDS is much easier to fill out because non-contract specific information is pre-filled from the last submitted EDS.

Q: Will my information be secure?

A: Yes. When making your internet connection to our Web Server, you will connect through a Secure Socket Layer (SSL for short) to the "Online EDS" login page. All information you type will be protected using strong encryption. Within the login page, you will provide us with a user ID, password, and secret question for user authentication. Only you will have knowledge of this unique identification information.

Q: I am filing electronically. How do I sign my EDS?

A: Once you have completed the EDS, you will be prompted to enter your password and answer to your secret question. Together, these will serve as your electronic signature. Although you will also print and physically sign an EDS certification of filing as a notice that your EDS was filed, your EDS is complete as a legal document with only the electronic filing.

Q: My address has changed. How can I update my information?

A: You must be an EDS Captain for your organization to update this. Log-in and click on "Vendor Admin, Site Administration." Select the appropriate site and click edit.

Q: I have more questions. How can I contact the Department of Procurement Services?

A: Please contact the contract administrator or negotiator assigned to your solicitation or contract. You may call DPS at 312-744-4900 between 8:30 AM and 5:00 PM Central Time.

Q: Can I save a partially complete EDS?

A: Yes. Click "Save". To avoid data loss, we recommend you save your work periodically while

filling out your EDS.

Q: Do I have to re-type my information each time I submit an EDS?

A: No. The system will remember non-contract specific information from your last submitted EDS for one year. This information will be filled-in for you in your new EDS. You will have an opportunity to correct it if it has changed since your last filing. When you submit your new EDS, the information is saved and the one-year clock begins running anew.

Q: What are the system requirements to use the Online EDS?

A: The following are minimum requirements to use the Online EDS:

- A PDF viewer such as Adobe Reader is installed and your web browser is configured to display PDFs automatically. You may download and install Adobe Reader free at www.adobe.com/products/reader/
- Your web browser is set to permit running of JavaScript.
- Your web browser allows cookies to be set for this site. Please note that while we use cookies in the Online EDS, we do not use them to track personally identifiable information, so your privacy is maintained.
- Your monitor resolution is set to a minimum of 1024 x 768.
- While not required to submit an EDS, if you wish to view the training videos, you must have Adobe Flash Plugin version 9 or higher, speakers, and sound. Please note that very old computers may not be able to run Adobe Flash and will not be able to play the training videos. In that case, we encourage you to seek help using the Online EDS Manuals. You may download and install Adobe Flash Plugin free at <http://get.adobe.com/flashplayer>

The Online EDS has been tested on Internet Explorer 6.0 and 7.0 and Firefox 2.0 and 3.0 on Windows XP and Mac OS X. Although it should work on other browsers and operating systems, the City of Chicago cannot guarantee compatibility.

Attachment A – ONLINE EDS ACKNOWLEDGEMENT

ONLINE EDS ACKNOWLEDGEMENT

The undersigned, hereby acknowledges having received Specification No. 416117 containing a full set of RFP Documents, including, Addenda Numbers (none unless indicated here) _____, and affirms that the Respondent shall be bound by all the terms and conditions contained in the RFP Documents, regardless of whether a complete set thereof is attached to this response.

Under penalty of perjury, the undersigned: (1) warrants that he/she was authorized to submit an EDS on behalf of the Disclosing Party on-line, (2) warrants that all certifications and statements contained in the EDS are true, accurate and complete as of the date the EDS was submitted on-line, and (3) further warrants that, as of the date of submission of this response, there have been no changes in circumstances since the date that the EDS was submitted that would render any certification in the EDS false, inaccurate or incomplete.

Further, the undersigned being duly sworn deposes and says on oath that no disclosures of ownership interests have been withheld and the information provided therein to the best of its knowledge is current and the undersigned has not entered into any agreement with any other respondent or prospective respondent or with any other person, firm or corporation relating to the price named in this proposal or any other proposal, nor any agreement or arrangement under which any act or omission in restraining of free competition among respondents and has not disclosed to any person, firm or corporation the terms of this proposal or the price named herein.

COMPANY NAME: _____
(Print or Type)

AUTHORIZED OFFICER SIGNATURE: _____

TITLE OF SIGNATORY: _____
(Print or Type)

BUSINESS ADDRESS: _____
(Print or Type)

State of _____ (Affix Corporate Seal)

County of _____

This instrument was acknowledged before me on this ____ day of _____, 20____ by _____ as President (or other authorized officer) and _____ as Secretary of _____ (Company Name)

Notary Public Signature: _____ (Seal)

EXHIBIT 6 MBE/WBE SPECIAL CONDITIONS

SPECIAL CONDITIONS REGARDING MINORITY AND WOMEN OWNED BUSINESS ENTERPRISE (MBE/WBE) COMMITMENT AND SCHEDULES

B-2 Affidavit of MBE/WBE Target Market Joint Venture,

C-2 Letter of Intent from Subcontractor, Supplier and/or Consultant to Perform,

**D-2 Affidavit of Target Market Subcontractors Non-Construction Services/General
Equipment and Supplies**



CITY OF CHICAGO
Department of Procurement Services
Jamie L. Rhee, Chief Procurement Officer
121 North LaSalle Street, Room 806
Chicago, Illinois 60602-1284
Fax: 312-744-3281

MBE & WBE SPECIAL CONDITIONS FOR TARGET MARKET CONTRACTS

Article 1. Special Conditions Regarding Minority Business Enterprise Commitment and Women Business Enterprise Commitment For Target Market Contracts

1.1 Policy and Terms

It is the policy of the City of Chicago that Local Businesses certified as Minority Owned Business Enterprises (MBE) and Women Owned Business Enterprises (WBE) in accordance with Section 2-92-420 et seq. of the Municipal Code of Chicago and Regulations Governing Certification of Minority and Women-owned Businesses and all other Regulations promulgated under the aforementioned sections of the Municipal Code, as well as MBEs and WBEs certified by Cook County, Illinois, will have full and fair opportunities to participate fully in the performance of this contract. Therefore, the Contractor will not discriminate against any person or business on the basis of race, color, sex, gender identity, age, religion, disability, national origin, ancestry, sexual orientation, marital status, parental status, military discharge status or source of income and will take affirmative action to ensure that women and minority businesses will have the maximum opportunity to compete for and perform subcontracts for supplies or services.

Pursuant to Section 2-92-430 of the Municipal Code of Chicago, the Chief Procurement Officer has established a goal of awarding not less than 25% of the annual dollar value of all non-construction contracts to certified MBEs and 5% of the annual dollar value of all non-construction contracts to certified WBEs.

Pursuant to Section 2-92-460 of the Municipal Code of Chicago, the Chief Procurement Officer has implemented the Target Market Program that seeks to award competitively or on a negotiated bid process to certified MBEs the established goal of 10% of the annual dollar value of all non-construction contracts and to certified WBEs 1% of the annual dollar value of all non-construction contracts.

Pursuant to 2-92-535, a prime contractor may apply be awarded an additional 0.333 percent credit, up to a maximum of a total of 5 percent additional credit, for every 1 percent of the value of a contract self-performed by MBEs or WBEs, or combination thereof, that have entered into a mentor agreement with the contractor.

1.2 Definitions

"Area of Specialty" means the description of an MBE or WBE firm's business which has been determined by the Chief Procurement Officer to be most reflective of the MBE or WBE firm's claimed specialty or expertise. Each MBE/WBE letter of certification contains a description of the firm's Area of Specialty. This information is also contained in the Directory (defined below). Credit toward this Contract's MBE and WBE participation goals shall be limited to the participation of firms performing within their Area of Specialty.

NOTICE: *The City of Chicago does not make any representation concerning the ability of any MBE/WBE to perform work within their Area of Specialty. It is the responsibility of all contractors to determine the capability and capacity of MBEs/WBEs to satisfactorily perform the work proposed.*

"B.E.P.D." means an entity certified as a Business enterprise owned or operated by people with disabilities as defined in MCC Section 2-92-586.

"Bid" means a bid, proposal, or submittal detailing a description of the services or work to be provided by the contractor in response to a bid solicitation, request for proposal, request for qualification of task order request (issued in accordance with the Master Consulting Agreement) that is issued by the City.

"Bidder" means any person or business entity that submits a bid, proposal, qualification or submittal that seeks to enter into a contract with the City, and includes all partners, affiliates and joint ventures of such person or entity.

"Broker" means a person or entity that fills orders by purchasing or receiving supplies from a third party supplier rather than out of its own existing inventory and provides no commercially useful function other than acting as a conduit between his or her supplier and his or her customer.

"Chief Procurement Officer" or "CPO" means the chief procurement officer of the City of Chicago or his or her designee.

"Commercially Useful Function" means responsibility for the execution of a distinct element of the work of the contract, which is carried out by actually performing, managing, and supervising the work involved, evidencing the responsibilities and risks of a business owner such as negotiating the terms of (sub)contracts, taking on a financial risk commensurate with the contract or its subcontract, responsibility for acquiring the appropriate lines of credit and/or loans, or fulfilling responsibilities as a joint venture partner as described in the joint venture agreement.

"Contract Specific Goals" means the subcontracting goals for MBE and WBE participation established for a particular contract. For the purposes of target market contracts issued pursuant to MCC Section 2-92-460, as described in Section 0 below, the Contractor may not subcontract more than fifty percent (50%) of the dollar value of the contract to subcontractors who are not MBEs or WBEs.

"Contractor" means any person or business entity that has entered into a contract with the City as described herein, and includes all partners, affiliates, and joint ventures of such person or entity.

"Direct Participation" the value of payments made to MBE or WBE firms for work that is performed in their Area of Specialty directly related to the performance of the subject matter of the Contract will count as Direct Participation toward the Contract Specific Goals.

"Directory" means the Directory of Certified "Minority Business Enterprises" and "Women Business Enterprises" maintained and published by the City of Chicago. The Directory identifies firms that have been certified as MBEs and WBEs, and includes both the date of their last certification and the area of specialty in which they have been certified. Contractors are responsible for verifying the current certification status of all proposed MBE, and WBE firms.

"Good Faith Efforts" means actions undertaken by a bidder or contractor to achieve a Contract Specific Goal that the CPO or his or her designee has determined, by their scope, intensity, and appropriateness to the objective, can reasonably be expected to fulfill the program's requirements.

"Indirect Participation" refers to the value of payments made to MBE or WBE firms for work that is done in their Area of Specialty related to other aspects of the Contractor's business. (Note: no dollar of such indirect MBE or WBE participation shall be credited more than once against a contractor's MBE or WBE commitment with respect to all government contracts held by that contractor.)

"Mentor-Protégé Agreement" means an agreement between an MBE or WBE prime contractor and an MBE or WBE subcontractor pursuant to MCC 2-92-535 that is approved by the City of Chicago and complies with all requirements of MCC 2-92-535 and any rules and regulations promulgated by the Chief Procurement Officer.

"Minority Owned Business Enterprise" or "MBE" means a firm awarded certification as a minority owned and controlled business in accordance with City Ordinances and Regulations as well as a firm awarded certification as a minority owned and controlled business by Cook County, Illinois.

"Municipal Code of Chicago" or "MCC" means the Municipal Code of the City of Chicago.

"Supplier" or "Distributor" refers to a company that owns, operates, or maintains a store, warehouse or other establishment in which materials, supplies, articles or equipment are bought, kept in stock and regularly sold or leased to the public in the usual course of business. A regular distributor or supplier is a firm that owns, operates, or maintains a store, warehouse, or other establishment in which the materials or supplies required for performance of a contract are bought, kept in stock, and regularly sold to the public in the usual course of business. To be a regular distributor the firm must engage in, as its principal business and in its own name, the purchase and sale of the products in question. A regular distributor in such bulk items as steel, cement, gravel, stone, and petroleum products need not keep such products in stock if it owns or operates distribution equipment.

"Target Market Joint Venture" means an association of two or more MBEs, WBEs, or both MBEs and WBEs all certified by the City of Chicago or whose recertification is pending, to carry out a single business enterprise for profit, and for which purpose they combine their expertise, property, capital, efforts, skill and knowledge.

"Women Owned Business Enterprise" or "WBE" means a firm awarded certification as a women owned and controlled business in accordance with City Ordinances and Regulations as well as a firm awarded certification as a women owned business by Cook County, Illinois.

1.3 Eligibility

- A. Contracts included in the Target Market Program can be either MBE Target Market Contracts, WBE Target Market Contracts or designated as open to all certified MBE and WBE firms. Only MBE and MBE Joint Ventures are eligible to bid on or participate in MBE Target Market Contracts, while only WBE and WBE Joint Ventures are eligible to bid on or participate in WBE Target Market Contracts. On solicitations open to both MBEs and WBEs joint ventures are allowed between both MBEs and WBEs.
- B. Contracts included in the Target Market Program have been identified by the Chief Procurement Officer as having at least three MBEs or three WBEs, as the case may be, that indicated their interest in participating in the contracts' designated commodity area(s) by successfully being certified by the City's Contract Compliance Administrator. The Chief Procurement Officer shall select contracts for the Target Market Program which include a variety of goods and services which the City frequently contracts.
- C. The Contractor may not subcontract more than fifty percent (50%) of the dollar value of the contract to subcontractors who are not MBEs or WBEs. The purchase of goods by a vendor from a manufacturer or supplier for sale to the City in a contract consisting solely of the sale of goods shall not be deemed subcontracting. However, in appropriate cases the Chief Procurement Officer may initiate discussions with a contractor subcontracting with non-certified firms in order to maximize the overall participation of MBEs and WBEs at all contracting levels.
- D. MBE or WBE firms will be allowed to participate in this Target Market Contract only in their Areas of Specialty as certified, or if recertification was submitted prior to certification expiration has been applied for, and is pending on the date of bid opening. Certification must be substantiated by current certification letters of all MBE and WBE firms participating in the contract being a part of the bid/proposal response.

- E. The Chief Procurement Officer may make participation in the Target Market Program dependent upon submission to stricter compliance audits than are generally applicable to participants in the MBE/WBE program. Where necessary or useful, the Chief Procurement Officer may require or encourage MBEs and WBEs to participate in training programs offered by the Department of Planning and Economic Development or other City departments or agencies as a condition of participation in the Target Market Program.
- F. The Chief Procurement Officer shall be authorized to review whether any MBE or WBE actively involved in the Target Market Program should be precluded from participation in the Target Market Program in the following year to prevent the domination of the Target Market Program by a small number of MBEs or WBEs. The decision of the Chief Procurement Officer to exclude a vendor from the Target Market Program is final and non-appealable. The Chief Procurement Officer shall review the participation of any vendor in the Target Market Program which has been awarded as the prime vendor in a calendar year either; (i) five (5) or more Target Market Contracts; or (ii) Target Market Contracts with a total estimated value in excess of one million dollars (\$1,000,000); provided, however, that each contract used in the above computation has an estimated value in excess of ten thousand dollars (\$10,000). The factors which will be considered by the Chief Procurement Officer include:
 - i. the total number and estimated value of both Target Market and other City contracts awarded to the contractor;
 - ii. the total number and estimated value of both Target Market and other City contracts awarded to the contractor in a specific specialty area;
 - iii. the percentage of the number of both Target Market and other City contracts awarded to the contractor in a specific commodity area;
 - iv. the percentage of the total estimated value of both Target Market and other City Contracts awarded to the contractor in a specific commodity area;
 - v. the extent to which the Vendor is dominating the Target Market Program to the undue detriment of other contractors or the City; and
 - vi. any other factors deemed relevant by the Chief Procurement Officer.

1.4 Procedure to Determine Bid Compliance

Only compliance plans utilizing MBE and WBE firms that meet BOTH the Commercially Useful Function and Area of Specialty requirements will be counted toward the Contract Specific Goals.

1.4.1 Schedule D-2

Bidders must submit, together with the bid, a completed Schedule D-2 committing them to the utilization of each listed firm. The City encourages bidders to utilize the electronic fillable format Schedule D-2, which is available at the Department of Procurement Services website, <http://cityofchicago.org/forms>. All commitments made by the bidder's Schedule D-2 must conform to those presented in the submitted Schedule C-2(s).

1.4.2 Schedule C-2

The bidder must submit the appropriate Schedule C-2 with its bid for each MBE and WBE subcontractor included on the Schedule D-2. The City encourages subcontractors to utilize the electronic fillable format Schedule C-2, which is available at the Department of Procurement Services website, <http://cityofchicago.org/forms>. Each Schedule C-2 must be executed by each MBE and WBE and accurately detail the work to be performed by the MBE or WBE subcontractor and the agreed upon

rates/prices. Each Schedule C-2 must also include a separate sheet as an attachment on which the MBE or WBE fully describes its proposed scope of work, including a description of the commercially useful function being performed by the MBE or WBE in its Area of Specialty. If a facsimile copy of the Schedule C-2 has been submitted with the bid, an executed original Schedule C-2 must be submitted by the bidder for each MBE and WBE included on the Schedule D-2 within five (5) business days after the date of the bid opening.

In the event the bidder fails to submit any Schedule C-2s with its bid/proposal, the City will presume that no subcontractors are performing services related to the contract absent evidence to the contrary.

1.4.3 Letters of Certification

A copy of each proposed MBE/WBE firm's current Letter of Certification from the City of Chicago or Cook County, Illinois, must be submitted with the bid/proposal. All Letters of Certification issued by the City of Chicago and Cook County include a statement of the MBE/WBE firm's Area of Specialty. The MBE/WBE firm's scope of work, as detailed by their Schedule C-2, must conform to their stated Area of Specialty.

1.4.4 Target Market Joint Venture Agreements

If the bidder is a Target Market Joint Venture, the bidder must provide a copy of the Joint Venture agreement and a Schedule B-2. In order to demonstrate the MBE/WBE partner's share in the ownership and control of the joint venture, the joint venture agreement must include specific details, related to: (1) contributions of capital and equipment; (2) work responsibilities or other activities to be undertaken by the MBE/WBE; and (3) the commitment of management, supervisory, and operative personnel employed by the MBE/WBE to be dedicated to the performance of the contract. The joint venture agreement must also clearly define each partner's authority to contractually obligate the joint venture and each partner's authority to expend joint venture funds (e.g. check signing authority).

1.5 Reporting Requirements During The Term Of The Contract

- A. The Contractor will, not later than thirty (30) calendar days from the award of a contract by the City, execute formal contracts or purchase orders with the MBE and WBE subcontractors listed on its Schedule D-2 form. These written agreements will be made available to the Chief Procurement Officer upon request.
- B. The Contractor will be responsible for reporting payments to all subcontractors on a monthly basis in the form of an electronic report. Upon the first payment issued by the City of Chicago to the Contractor for services performed, on the first day of each month and every month thereafter, email and or fax notifications will be sent out to the Contractor with instructions to report payments that have been made in the prior month to each subcontractor. The reporting of payments to all subcontractors must be entered into the Certification and Compliance Monitoring System (C2), or whatever reporting system is currently in place, on or before the fifteenth (15th) day of each month.
- C. Once the prime Contractor has reported payments made to each subcontractor, including zero dollar amount payments, the subcontractor will receive an email and or fax notification requesting them to log into the system and confirm payments received. All monthly confirmations must be reported on or before the 20th day of each month. Contractor and subcontractor reporting to the C2 system must be completed by the 25th of each month or payments may be withheld.
- D. All subcontract agreements between the Contractor and MBE/WBE subcontractors or any first tier non-certified subcontractor and lower tier MBE/WBE firms must contain language requiring the MBE/WBE to respond to email and/or fax notifications from the City of Chicago requiring them to report payments received for the prime or the non-certified firm.
 - a) Access to the Certification and Compliance Monitoring System (C2), which is a web based reporting system, can be found at: <https://chicago.mwdbe.com>

- E. The Chief Procurement Officer or any party designated by the Chief Procurement Officer, shall have access to the contractor's books and records, including without limitation payroll records, tax returns and records and books of account, to determine the contractor's compliance with its commitment to MBE and WBE participation and the status of any MBE or WBE performing any portion of the Contract. This provision shall be in addition to, and not a substitute for, any other provision allowing inspection of the Contractor's records by any officer or official of the City for any purpose.
- F. The Contractor shall maintain records of all relevant data with respect to the utilization of MBEs and WBEs, retaining these records for a period of at least five years after project closeout. Full access to these records shall be granted to City, federal or state authorities or other authorized persons.

1.6 Advances and Expedited Payments

- A. A vendor bidding on a Target Market Contract may request in its bid/proposal that it receive a portion of the estimated contract value at the time of award as an advance to cover start-up and mobilization costs, which the Chief Procurement Officer may deny, or grant in whole or in part. The Chief Procurement Officer will not accept requests made after bid/proposal opening. The Chief Procurement Officer may grant advances not exceeding the lesser of: (i) ten percent (10%) of the estimated contract value; or (ii) two hundred thousand dollars (\$200,000).
- B. Advances will be liquidated, and hence the City will receive a credit for these advances against payments due under the contract, commencing at the time of the first payment to the Contractor after the payment of the advance. The City shall be entitled to be repaid in full no later than such time as the City pays fifty percent (50%) or more of the estimated contract value to the Contractor, or at the midpoint of the initial contract term.
- C. In the event a vendor does not perform as required by the contract and thus is not entitled to all, or part of, any contract advances or expedited payments it has received, the City shall be entitled to take appropriate actions to recover these excessive payments, including, but not limited to, liquidation against vouchers for commodities/services rendered for other awarded contracts or future bid deposits, restitution sought from the performance bond, a determination that the contractor is non-responsive, or decertification. These remedies are in addition to all remedies otherwise available to the City pursuant to the contract, at law, or at equity.
- D. Due to the nature of term agreements (annual contracts with depends upon requirements contract values), there is no guarantee of the contract against which the advance can be measured or liquidated. Therefore, advances will be granted for term agreements based upon reasonable estimates at the discretion of the Chief Procurement Officer.

1.7 Compliance

- A. The Contract Compliance Administrator shall be entitled to examine on five business days notice, the Contractor's books and records including without limitation payroll records, tax returns and records, and books of account, to determine whether the Contractor is in compliance with the requirements of the Target Market Program and the status of any MBE or WBE performing any portion of the contract. Such rights are in addition to any other audit inspection rights contained in the contract.
- B. It is a material breach of the contract if the vendor, a joint venturer, or subcontractor is disqualified as a MBE or WBE, such status was a factor in contract award, and the status was misrepresented by the contractor or any joint venturer. Such a breach shall entitle the City to declare a default, terminate the contract and exercise those remedies provided for in the contract, at law, or in equity.
- C. In the event that the vendor is determined not to have been involved in any misrepresentation of the status of an MBE or WBE, the Contractor shall discharge the disqualified MBE or WBE and, if possible, identify and engage a qualified MBE or WBE as its replacement. Continued eligibility to enter into future contracting arrangements with the City may be jeopardized as a result of non-compliance. Payments due under the contract may be withheld until corrective action is taken.

1.8 Arbitration

- A. In the event a contractor has not complied with the contractual MBE/WBE percentages in its Schedule D-2, underutilization of MBEs/WBEs shall entitle the affected MBE/WBE to recover from the contractor damages suffered by such entity as a result of being underutilized; provided, however, that this provision shall not apply to the extent such underutilization occurs pursuant to a waiver or substitution approved by the City. The Ordinance and contracts subject thereto provide that any disputed between the contractor and such affected MBEs/WBEs regarding damages shall be resolved by binding arbitration before an independent arbitrator other than the City, with reasonable expenses, including attorney's fees, being recoverable by a prevailing MBE/WBE in accordance with these regulations. This provision is intended for the benefit of any MBE/WBE affected by underutilization and grants such entity specific third party beneficiary rights. Any rights conferred by this regulation are non waivable and take precedence over any agreement to the contrary, including but not limited to those contained in a subcontract, suborder, or communicated orally between a contractor and a MBE/WBE.
- B. An MBE/WBE desiring to arbitrate shall contact the contractor in writing to initiate the arbitative process. Except as otherwise agreed to in writing by the affected parties subject to the limitation contained in the last sentence of the previous paragraph, within ten (10) calendar days of the contractor receiving notification of the intent to arbitrate from the MBE/WBE the above-described disputes shall be arbitrated in accordance with the Commercial Arbitration Rules of the American Arbitration Association (AAA), a not-for-profit agency, with an office at 225 North Michigan Avenue, Suite 2527, Chicago, Illinois 60601-7601 [Phone: (312) 616-6560; Fax: (312) 819-0404]. All such arbitrations shall be initiated by the MBE/WBE filing a demand for arbitration with the AAA; shall be conducted by the AAA; and held in Chicago, Illinois.
- C. All arbitration fees are to be paid pro rata by the parties; provided, however, that the arbitrator is authorized to award reasonable expenses, including attorney's and arbitrator fees, as damages to a prevailing MBE/WBE.
- D. The MBE/WBE must send the City a copy of the Demand for Arbitration within ten calendar days after it is filed with the AAA. The MBE/WBE also must send the City a copy of the decision of the arbitrator within ten (calendar days of receiving such decision. Judgment upon the award rendered by the arbitrator may be entered in any court of competent jurisdiction.

1.9 Equal Employment Opportunity

Compliance with MBE and WBE requirements will not diminish or supplant equal employment opportunity and civil rights provisions as required by law related to bidder or contractor and subcontractor obligations.

1.10 Resource Agencies

Small business guaranteed loans; surety bond guarantees; 8 (a) certification:

U.S. Small Business Administration Program
500 W. Madison Street, Suite 1250
Chicago, Illinois 60661
Attn: General Services
(312)353-4528

S.B.A. - Bond Guarantee Program
Surety Bond
500 West Madison, Suite 1250
Chicago, Illinois 60661
Attention: Carole Harris
(312) 353-4003

S.B.A. - Procurement Assistance
500 West Madison Street, Suite 1250
Chicago, Illinois 60601
Attention: Robert P. Murphy, Area Regional Administrator
(312) 353-7381

Project information and general MBE/WBE Program information:

City of Chicago
Department of Procurement Services
Contract Administration Division
City Hall - Room 806
Chicago, Illinois 60602
Phone# 312-744-4900

The Directory of Certified Disadvantaged, Minority and Women Business Enterprises is available in the Bid and Bond Room, Department of Procurement Services, City Hall, Room 103, Chicago, Illinois 60602, Monday through Friday between the hours of 8:40 am to 10:45 am and 12:00 pm to 3:30 pm.

Attachment B - Sample Format for Requesting Assist Agency Comments on Bidder's Request for Reduction or Waiver of MBE/WBE Goals

On Bidder/Proposer's Letterhead – SEND TO THE ASSIST AGENCIES – DO NOT SEND TO THE CITY

RETURN RECEIPT REQUESTED

(Date)

Specification No.: 416117

Project Description: Target Market RFP for Information Technology Infrastructure Services

(Assist Agency Name and Address – SEND TO THE ASSIST AGENCIES – DO NOT SEND TO THE CITY)

Dear _____:

_____ (Bidder/Proposer) intends to submit a bid/proposal in response to the above referenced specification with the City of Chicago. Bids are due _____ advertised specification with the City of Chicago.

The following areas have been identified for subcontracting opportunities on both a direct and indirect basis:

Our efforts to identify potential subcontractors have not been successful in order to meet the Disadvantaged/Minority/Women Business Enterprise contract goal. **Due to the inability to identify an appropriate DBE/MBE/WBE firm certified by the City of Chicago to participate as a subcontractor or joint venture partner, a request for the waiver of the contract goals will be submitted.** If you are aware of such a firm, please contact

Name of Company Representative

at

Address/Phone

within (10) ten business days of receipt of this letter.

Under the City of Chicago's MBE/WBE/DBE Ordinance, your agency is entitled to comment upon this waiver request to the City of Chicago. Written comments may be directed within ten (10) working days of your receipt of this letter to:

Monica Jimenez, Deputy Procurement Officer
Department of Procurement Services
City of Chicago
121 North La Salle Street, Room 806
Chicago, Illinois 60602

If you wish to discuss this matter, please contact the undersigned at _____.

Sincerely,

Schedule B Affidavit of Joint Venture (MBE/WBE)

Specification No.: 416117
Project Description: Target Market RFP for Information Technology Infrastructure Services

This form need not be submitted if all joint venturers are MBEs and/or WBEs. In such a case, however, a written joint venture agreement among the MBE and WBE venturers must be submitted. In all proposed joint ventures, each MBE and/or WBE venturer must submit a copy of their current Letter of Certification.

All information requested on this schedule must be answered in the spaces provided. Do not refer to your joint venture agreement except to expand on answers provided on this form. If additional space is required, additional sheets may be attached.

1. Name of joint venture: _____
Address of joint venture: _____
Phone number of joint venture: _____
2. Identify each non-MBE/WBE venturer(s): _____
Name of Firm: _____
Address: _____
Phone: _____
Contact person for matters concerning MBE/WBE compliance: _____
3. Identify each MBE/WBE venturer(s): _____
Name of Firm: _____
Address: _____
Phone: _____
Contact person for matters concerning MBE/WBE compliance: _____
4. Describe the role(s) of the MBE and/or WBE venturer(s) in the joint venture:

5. Attach a copy of the joint venture agreement. In order to demonstrate the MBE and/or WBE venturer's share in the ownership, control, management responsibilities, risks and profits of the joint venture, the proposed joint venture agreement must include specific details related to: (1) the contributions of capital and equipment; (2) work items to be performed by the MBE/WBEs own forces; (3) work items to be performed under the supervision of the MBE/WBE venturer; and (4) the commitment of management, supervisory and operative personnel employed by the MBE/WBE to be dedicated to the performance of the project.
6. Ownership of the Joint Venture.

- a. What are the percentage(s) of MBE/WBE ownership of the joint venture? _____
MBE/WBE ownership percentage(s) _____
Non-MBE/WBE ownership percentage(s) _____
- b. Specify MBE/WBE percentages for each of the following (provide narrative descriptions and other detail as applicable):
- i. Profit and loss sharing: _____
 - ii. Capital contributions:
 - 1. Dollar amounts of initial contribution: _____
 - 2. Dollar amounts of anticipated on-going contributions: _____
- c. Contributions of equipment (Specify types, quality and quantities of equipment to be provided by each venturer):

- d. Other applicable ownership interests, including ownership options or other agreements which restrict or limit ownership and/or control:

- e. Provide copies of all written agreements between venturers concerning this project.
- f. Identify each current City of Chicago contract (and each contract completed during the past two (2) years) by a joint venture of two or more firms participating in this joint venture:

7. Control of and Participation in the Joint Venture. Identify by name and firm those individuals who are, or will be, responsible for, and have the authority to engage in the following management functions and policy decisions. (Indicate any limitations to their authority such as dollar limits and co-signatory requirements.):
- a. Joint venture check signing:

 - b. Authority to enter contracts on behalf of the joint venture:

- c. Signing, co-signing and/or collateralizing loans:

- d. Acquisition of lines of credit:

- e. Acquisition and indemnification of payment and performance bonds:

- f. Negotiating and signing labor agreements:

- g. Management of contract performance. (Identify by name and firm only):

- i. Supervision of field operations: _____
ii. Major purchases: _____
iii. Estimating: _____
iv. Engineering: _____

8. Financial Controls of joint venture:

- a. Which firm and/or individual will be responsible for keeping the books of account?

- b. Identify the managing partner, if any, and describe the means and measure of their compensation:

- c. What authority does each venturer have to commit or obligate the other to insurance and bonding companies, financing institutions, suppliers, subcontractors, and/or other parties participating in the performance of this contract or the work of this project?

9. State the approximate number of operative personnel (by trade) needed to perform the joint ventures work under this contract. Indicate whether they will be employees of the non-MBE/WBE firm, the MBE/WBE firm, or the joint venture.

Trade	Non-MBE/WBE Firm (Number)	MBE/WBE (Number)	Joint Venture

Note: If any personnel proposed for this project will be employees of the joint venture:

Are any proposed joint venture employees currently employed by either venturer?

Currently employed by non-MBE/WBE _____ (number) Employed by MBE/WBE _____

Identify by name and firm the individual who will be responsible for hiring joint venture employees:

Which venturer will be responsible for the preparation of joint venture payrolls?

Please state any material facts of additional information pertinent to the control and structure of this joint venture.

The undersigned affirms that the foregoing statements are correct and include all material information necessary to identify and explain the terms and operations of our joint venture and the intended participation of each venturer in the undertaking. Further, the undersigned covenant and agree to provide to the City current, complete and accurate information regarding actual joint venture work and the payment therefore, and any proposed changes in any provision of the joint venture agreement, and to permit the audit and examination of the books, records and files of the joint venture, or those of each venturer relevant to the joint venture by authorized representatives of the City or the Federal funding agency.

Any material misrepresentation will be grounds for terminating any contract which may be awarded and for initiating action under federal or state laws concerning false statements.

Note: If, after filing this Schedule B and before the completion on the joint ventures work on the project, there is any change in the information submitted, the joint venture must inform the City of Chicago, either directly or through the prime contractor if the joint venture is a subcontractor.

Name of MBE/WBE Partner Firm

Name of Non-MBE/WBE Partner Firm

Signature of Affiant

Signature of Affiant

Name and Title of Affiant

Name and Title of Affiant

Date _____

Date _____

On this _____ day of, 20____, the above-signed officers

Names of affiants: _____,

personally appeared and, known to me be the persons described in the foregoing Affidavit, acknowledged that they executed the same in the capacity therein stated and for the purpose therein contained.

IN WITNESS WHEREOF, I hereunto set my hand and official seal.

Notary Public Signature: _____

(Seal)

Commission Expires: _____

Attachment C – ASSIST AGENCIES

Alliance of Business Leaders & Entrepreneurs
(ABLE)
150 N. Michigan Ave. Suite 2800
Chicago, IL 60601
Phone: (312) 624-7733
Fax: (312) 624-7734
Web: www.ablechicago.com

Federation of Women Contractors
5650 S. Archer Avenue
Chicago, IL 60638
Phone: (312) 360-1122
Fax: (312) 360-0239
Web: www.fwcchicago.com

Alliance of Minority and Female Contractors
c/o Federation of Women Contractors
5650 S. Archer Avenue
Chicago, IL 60638
Phone: (312) 360-1122
Fax: (312) 360-0239

Hispanic American Construction Industry
Association (HACIA)
901 West Jackson Boulevard, Suite 205
Chicago, IL 60607
Phone: (312) 666-5910
Fax: (312) 666-5692
Web: www.haciaworks.org

American Brotherhood of Contractors Business
Development Center
11509 S. Elizabeth
Chicago, IL 60643
Phone: (773) 928-2225
Fax: (773) 928-2209
Web: www.american-brotherhood.org

Illinois Black Chamber of Commerce
331 Fulton Street, Suite 530
Peoria, IL 61602
Phone: (309) 740-4430
Fax: (309) 672-1379
www.ilbcc.org

Asian American Institute
4753 N. Broadway St. Suite 904
Chicago, IL 60640
Phone: (773) 271-0899
Fax: (773) 271-1982
Web: www.aaichicago.org

Illinois Hispanic Chamber of Commerce
855 W. Adams, Suite 100
Chicago, IL 60607
Phone: (312) 425-9500
Fax: (312) 425-9510
Web: www.ihccbusiness.net

Association of Asian Construction Enterprises
333 N. Ogden Avenue
Chicago, IL 60607
Phone: (847) 525-9693
Email: nakmancorp@aol.com

Latin American Chamber of Commerce
3512 West Fullerton Avenue
Chicago, IL 60647
Phone: (773) 252-5211
Fax: (773) 252-7065
Web:
www.latinamericanchamberofcommerce.com

Black Contractors United
400 W. 76th Street, Suite 200
Chicago, IL 60620
Phone: (773) 483-4000
Fax: (773) 483-4150
Web: www.blackcontractorsunited.com

National Association of Women Business Owners
Chicago Chapter
230 E. Ohio, Suite 400
Chicago, IL 60611
Phone: (312) 224-2605
Fax: (312) 644-8557
Web: www.nawbochicago.org

Chatham Business Association Small Business
Development, Inc.
8441 S. Cottage Grove Avenue
Chicago, IL 60619
Phone: (773)994-5006
Fax: (773)994-9871
Web: www.cbaworks.org

National Organization of Minority Engineers
33 West Monroe, Suite 1540
Chicago, IL 60603
Phone: (312) 425-9560
Fax: (312) 425-9564
Web: www.nomeonline.org

Chicago Area Gay & Lesbian
Chamber of Commerce
3656 N. Halsted
Chicago, IL 60613
Phone: (773) 303-0167
Fax: (773) 303-0168
Web: www.glchamber.org

Rainbow/PUSH Coalition
International Trade Bureau
930 E. 50th Street
Chicago, IL 60615
Phone: (773) 256-2781
Fax: (773) 373-4104
Web: www.rainbowpush.org

Chicago Minority Supplier Development
Council, Inc.
105 W. Adams, Suite 2300
Chicago, IL 60603-6233
Phone: (312) 755-8880
Fax: (312) 755-8890
Web: www.chicagomsdc.org

South Shore Chamber, Incorporated
Black United Funds Bldg.
1750 E. 71st Street
Chicago, IL 60649-2000
Phone: (773) 955- 9508

Chicago Urban League
4510 S. Michigan Ave.
Chicago, IL 60653
Phone: (773) 285-5800
Fax: (773) 285-7772
Web: www.cul-chicago.org

Suburban Minority Contractors Association
1250 Grove Ave. Suite 200
Barrington, IL 60010
Phone: (847) 852-5010
Fax: (847) 382-1787
Web: www.suburbanblackcontractors.org

Chicago Women in Trades (CWIT)
4425 S. Western Blvd.
Chicago, IL 60609-3032
Phone: (773) 376-1450
Fax: (312) 942-0802
Web: www.chicagowomenintrades.org

United Neighborhood Organization (UNO)
954 W. Washington Blvd., 3rd Floor
Chicago, IL 60607
Phone: (312) 432-6301
Fax: (312) 432-0077
Web: www.uno-online.org

Coalition for United Community Labor Force
1253 W. 63rd Street
Chicago, IL 60636
Phone: (312) 243-5149

Uptown Center Hull House
4520 N. Beacon Street
Chicago, IL 60640
Phone: (773) 561-3500
Fax: (773) 561-3507
Web: www.hullhouse.org

Cosmopolitan Chamber of Commerce
203 N. Wabash, Suite 518
Chicago, IL 60601
Phone: (312) 499-0611
Fax: (312) 332-2688
Web: www.cosmochamber.org

Women Construction Owners & Executives
(WCOE)
Chicago Caucus
308 Circle Avenue
Forest Park, IL 60130
Phone: (708) 366-1250
Fax: (708) 366-5418
Web: www.wcoeusa.org

Englewood Black Chamber of Commerce
P.O. Box 21453
Chicago, IL 60621

Women's Business Development Center
8 South Michigan Ave., Suite 400
Chicago, IL 60603
Phone: (312) 853-3477
Fax: (312) 853-0145
Web: www.wbdc.org

January 2012



SCHEDULE C-2
Letter of Intent to Perform as a
Subcontractor, Supplier, or Consultant

FOR
NON-CONSTRUCTION
PROJECTS ONLY
TARGET MARKET

Project Name: _____ Specification No.: _____

From: _____
(Name of Firm)

To: _____ and the City of Chicago.
(Name of Prime Contractor)

FOR MBE/WBE FIRMS ONLY: The MBE or WBE status of the undersigned is confirmed by the attached City of Chicago or Cook County Certification Letter, effective _____ to _____.
(Date) (Date)

The undersigned is prepared to perform the following services in connection with the above named project/contract. If more space is required to fully describe the proposed scope of work and/or payment schedule, attach additional sheets as necessary.

The above described performance is offered for the following price and described terms of payment:

SUB-SUBCONTRACTING LEVELS

A zero (0) must be shown in each blank if the subcontractor will not be subcontracting any of the work listed or attached to this schedule.

_____ % of the dollar value of the subcontract that will be subcontracted to non MBE/WBE contractors.

_____ % of the dollar value of the subcontract that will be subcontracted to MBE or WBE contractors.

NOTICE: If any of the subcontractor's scope of work will be subcontracted, list the name of the vendor and attach a brief explanation, description and pay item number of the work that will be subcontracted.

The undersigned will enter into a formal written agreement for the above work with you as a Prime Contractor, conditioned upon your execution of a contract with the City of Chicago, within three (3) business days of your receipt of a signed contract from the City of Chicago.

The undersigned has entered into a formal written mentor protégé agreement as a subcontractor/protégé with you as a Prime Contractor/mentor: () Yes () No

NOTICE: THIS SCHEDULE AND ATTACHMENTS REQUIRE ORIGINAL SIGNATURES.

(Signature of President/Owner/CEO or Authorized Agent) (Date)

(Name/Title-Please Print)

(Email & Phone Number)



SCHEDULE D-2
Affidavit of Target Market Prime Contractor

**FOR
NON-CONSTRUCTION
PROJECTS ONLY**

**MUST BE SUBMITTED WITH THE BID. FAILURE TO SUBMIT THE SCHEDULE D-2 WILL CAUSE
THE BID TO BE REJECTED. DUPLICATE AS NEEDED.**

Project Name: _____

Specification No.: _____

I HEREBY DECLARE AND AFFIRM that I am a duly authorized representative of

(Name of Prime Consultant/Contractor)

and that I have personally reviewed the material and facts set forth herein describing our proposed plan to achieve the MBE/WBE goals of this contract.

All MBE/WBE firms included in this plan have been certified as such by the City of Chicago or Cook County (Letters of Certification Attached).

I. Direct Participation of MBE/WBE Firms

NOTE: The bidder/proposer shall, in determining the manner of MBE/WBE participation, first consider involvement with MBE/WBE firms as joint venture partners, subcontractors, and suppliers of goods and services directly related to the performance of this contract.

- A. The MBE and/or WBE bidder (s) is to attach a copy of their City of Chicago Letter of Certification.
- B. If bidder/proposer is a joint venture with all joint venture partners are certified MBEs or WBEs, attach copies of Letters of Certification, the Schedule B-2 form, and a copy of Joint Venture Agreement clearly describing the role of each MBE/WBE firm(s) and its ownership interest in the joint venture.
- C. Complete this section for each MBE/WBE Subcontractor/Supplier/Consultant participating on this contract:

1. Name of Subcontractor: _____

Address: _____

Contact Person: _____

Phone Number: _____

Dollar Value of Participation \$ _____

Percentage of Participation % _____

Type of Firm: MBE WBE

Mentor Protégé Agreement (attach executed copy): () Yes () No Add'l Percentage Claimed: ¹ _____%

Total Participation % _____

2. Name of Subcontractor: _____

Address: _____

¹ The Prime Contractor may claim an additional 0.333 percent participation credit (up to a maximum of five (5) percent) for every one (1) percent of the value of the contract performed by the MBE/WBE protégé firm.

Schedule D-2: Affidavit of Target Market Prime Contractor

Contact Person: _____

Phone Number: _____

Dollar Value of Participation \$ _____

Percentage of Participation % _____

Type of Firm: MBE _____ WBE _____

Mentor Protégé Agreement (attach executed copy): (☐) Yes (☐) No Add'l Percentage Claimed: _____%

Total Participation % _____

3. Name of Subcontractor: _____

Address: _____

Contact Person: _____

Phone Number: _____

Dollar Value of Participation \$ _____

Percentage of Participation % _____

Type of Firm: MBE _____ WBE _____

Mentor Protégé Agreement (attach executed copy): (☐) Yes (☐) No Add'l Percentage Claimed: _____%

Total Participation % _____

4. Name of Subcontractor: _____

Address: _____

Contact Person: _____

Phone Number: _____

Dollar Value of Participation \$ _____

Percentage of Participation % _____

Type of Firm: MBE _____ WBE _____

Mentor Protégé Agreement (attach executed copy): (☐) Yes (☐) No Add'l Percentage Claimed: _____%

Total Participation % _____

5. Attach Additional Sheets as Needed

II. Indirect Participation of MBE/WBE Firms

NOTE: This section need not be completed if the MBE/WBE goals have been met through the direct participation outlined in Section I. If the MBE/WBE goals have not been met through direct participation, Contractor will be expected to demonstrate that the proposed MBE/WBE direct participation represents the maximum achievable under the circumstances. Only after such a demonstration will indirect participation be considered.

MBE/WBE Subcontractors/Suppliers/Consultants proposed to perform work or supply goods or services where such

Schedule C10-Monitor/Protégé/Target/Vendor/Prime Contractor

performance does not directly relate to the performance of this contract:

1. Name of MBE/WBE: _____
Address: _____
Contact Person: _____
Phone Number: _____
Dollar Value of Participation \$: _____
Percentage of Participation %: _____
Mentor Protégé Agreement (attach executed copy): () Yes () No Add'l Percentage Claimed: _____ %
Total Participation %: _____
2. Name of MBE/WBE: _____
Address: _____
Contact Person: _____
Phone Number: _____
Dollar Value of Participation \$: _____
Percentage of Participation %: _____
Mentor Protégé Agreement (attach executed copy): () Yes () No Add'l Percentage Claimed: _____ %
Total Participation %: _____
3. Name of MBE/WBE: _____
Address: _____
Contact Person: _____
Phone Number: _____
Dollar Value of Participation \$: _____
Percentage of Participation %: _____
Mentor Protégé Agreement (attach executed copy): () Yes () No Add'l Percentage Claimed: _____ %
Total Participation %: _____
4. Name of MBE/WBE: _____
Address: _____
Contact Person: _____
Phone Number: _____
Dollar Value of Participation \$: _____

Schedule D-2: Affidavit of Target Based Price Completion

Percentage of Participation % _____

Mentor Protégé Agreement (attach executed copy): () Yes () No Add'l Percentage Claimed: _____%

Total Participation % _____

5. Attach Additional Sheets as Needed

III. Non-MBE/WBE Firms

Complete this section for each non-MBE/WBE Subcontractor/Supplier/Consultant performing work on this contract:

1. Name of Subcontractor: _____

Address: _____

Contact Person: _____

Phone Number: _____

Dollar Value of Work Performed \$ _____

Percentage of Work Performed _____%

2. Name of Subcontractor: _____

Address: _____

Contact Person: _____

Phone Number: _____

Dollar Value of Work Performed \$ _____

Percentage of Work Performed _____%

3. Name of Subcontractor: _____

Address: _____

Contact Person: _____

Phone Number: _____

Dollar Value of Work Performed \$ _____

Percentage of Work Performed _____%

4. Name of Subcontractor: _____

Address: _____

Contact Person: _____

Phone Number: _____

Dollar Value of Work Performed \$ _____

Percentage of Work Performed _____%

Notarized True Affidavit of the qualified prime contractor

5. Attach Additional Sheets as Needed

The Contractor designates the following person as its MBE/WBE Liaison Officer:

(Name- Please Print or Type)

(Phone)

I DO SOLEMNLY DECLARE AND AFFIRM UNDER PENALTIES OF PERJURY THAT THE CONTENTS OF THE FOREGOING DOCUMENT ARE TRUE AND CORRECT, THAT NO MATERIAL FACTS HAVE BEEN OMITTED, AND THAT I AM AUTHORIZED ON BEHALF OF THE PRIME CONTRACTOR TO MAKE THIS AFFIDAVIT.

(Name of Prime Contractor – Print or Type)

State of:

(Signature)

County of:

(Name/Title of Affiant – Print or Type)

(Date)

On this _____ day of _____, 20____, the above signed officer _____
(Name of Affiant)

personally appeared and, known by me to be the person described in the foregoing Affidavit, acknowledged that (s)he executed the same in the capacity stated therein and for the purposes therein contained.

IN WITNESS WHEREOF, I hereunto set my hand and seal.

(Notary Public Signature)

SEAL

Commission Expires:

EXHIBIT 7 CONTRACT INSURANCE REQUIREMENTS

CONTRACT INSURANCE REQUIREMENTS AND INSURANCE CERTIFICATE

Department of Innovation and Technology Information Technology Infrastructure Services

A. INSURANCE REQUIRED

Contractor must provide and maintain at Contractor's own expense, during the term of the Agreement and during the time period following expiration if Contractor is required to return and perform any work, services or operations, the insurance coverages and requirements specified below, insuring all work, services, or operations related to the Agreement.

1) Workers Compensation and Employers Liability (Primary and Umbrella)

Workers Compensation Insurance, as prescribed by applicable law covering all employees who are to provide work, services or operations under this Agreement and Employers Liability coverage with limits of not less than \$500,000 each accident; \$500,000 disease-policy limit; and \$500,000 disease each employee, or the full per occurrence limits of the policy, whichever is greater.

Contractor may use a combination of primary and excess/umbrella policy/policies to satisfy the limits of liability required herein. The excess/umbrella policy/policies must provide the same coverages/follow form as the underlying policy/policies.

2) Commercial General Liability (Primary and Umbrella)

Commercial General Liability Insurance or equivalent must be maintained with limits of not less than \$1,000,000 per occurrence, or the full per occurrence limits of the policy, whichever is greater, for bodily injury, personal injury, and property damage liability. Coverages must include but not be limited to the following: All premises and operations, products/completed operations, separation of insureds, defense, and contractual liability (not to include Endorsement CG 21 39 or equivalent).

The City and other entities as required by City must be provided additional insured status with respect to liability arising out of Contractor's work, services or operations performed on behalf of the City. The City's additional insured status must apply to liability and defense of suits arising out of Contractor's acts or omissions, whether such liability is attributable to the Contractor or to the City on an additional insured endorsement form acceptable to the City. The full policy limits and scope of protection also will apply to the City as an additional insured, even if they exceed the City's minimum limits required herein. Contractor's liability insurance must be primary without right of contribution by any other insurance or self-insurance maintained by or available to the City.

Contractor may use a combination of primary and excess/umbrella policy/policies to satisfy the limits of liability required herein. The excess/umbrella policy/policies must provide the same coverages/follow form as the underlying policy/policies.

3) Automobile Liability (Primary and Umbrella)

When any motor vehicles (owned, non-owned and hired) are used in connection with work, services, or operations to be performed, Automobile Liability Insurance must be maintained by the Contractor with limits of not less than \$1,000,000 per occurrence or the full per occurrence limits of the policy, whichever is greater, for bodily injury and property damage. The City is to be added as an additional insured on a primary, non-contributory basis.

Contractor may use a combination of primary and excess/umbrella policy/policies to satisfy the limits of liability required herein. The excess/umbrella policy/policies must provide the same coverages/follow form as the underlying policy/policies.

4) Excess/Umbrella

Excess/Umbrella Liability Insurance must be maintained with limits of not less than \$4,000,000 per occurrence, or the full per occurrence limits of the policy, whichever is greater. The policy/policies must provide the same coverages/follow form as the underlying Commercial General Liability, Automobile Liability, Employers Liability and Completed Operations coverage required herein and expressly provide that the excess or umbrella policy/policies will drop down over reduced and/or exhausted aggregate limit, if any, of the underlying insurance. The Excess/Umbrella policy/policies must be primary without right of contribution by any other insurance or self-insurance maintained by or available to the City.

Contractor may use a combination of primary and excess/umbrella policies to satisfy the limits of liability required in sections A.1, A.2, A.3 and A.4 herein.

5) Errors & Omissions/Professional Liability

When any system technicians/engineers, web architects/technicians, web/cyber engineers, project/program administrators/managers, electronic data processing (EDP) professionals including but not limited to system programmers, hardware and software designers/consultants, if applicable or any other professional consultants perform work, services, or operations in connection with this Agreement, Professional Liability Insurance covering acts, errors, or omissions must be maintained with limits of not less than \$5,000,000. Coverage must include performance of or failure to perform EDP, performance of or failure to perform other computer services and failure of software product to perform the function for the purpose intended. When policies are renewed or replaced, the policy retroactive date must coincide with, or precede start of work, services and operations on the Agreement. A claims-made policy which is not renewed or replaced must have an extended reporting period of two (2) years.

6) All Risk Property/Installation

All Risk Property/Installation Insurance must be maintained by the Contractor at full replacement cost insuring loss or damage to City of Chicago property including Department of Innovation and Technology system /equipment, computer hardware and software devices, equipment, materials, parts and supplies that are part of this Agreement during the course of design, development, installation, upgrade and testing until City acceptance. Coverage is to be provided for the City of Chicago property/data while in the care, custody and control of Contractor at Contractor site. The City of Chicago is to be named as an additional insured and loss payee.

Hosting Site

Contractor is to provide evidence of All Risk Property Insurance to protect against loss or damage to, or destruction of the property (Hosting) Site of Contractor that is part of the Agreement.

Contractor is responsible for all loss or damage to personal property (including materials, equipment, tools and supplies) owned, rented or used by Contractor.

7) Cyber Liability

Cyber Liability must be maintained with limits of not less than \$2,000,000 for each occurrence or claim. Coverage must include but not be limited to network security and privacy liability including computer or network system attacks (liability arising from the loss or disclosure of confidential information), privacy breach response coverage and costs, regulatory liability including fines and penalties, denial or loss of service, introduction, implantation, and/or spread of malicious software code, unauthorized access to or use of computer systems, theft of data, and no exclusion/restriction for unencrypted portable devices/media may be on the policy. The City must be named as an additional insured and if policy contains an insured vs insured exclusion, the exclusion must be amended and not be applicable to the City.

B. Additional Requirements

Evidence of Insurance. Contractor must furnish the City, Chicago Department of Procurement Services, 121 N. LaSalle Street, Room 806, Chicago, IL. 60602, original certificates of insurance and additional insured endorsement, or other evidence of insurance, to be in force on the date of this Agreement, and renewal certificates of Insurance and endorsement, or such similar evidence, if the coverages have an expiration or

renewal date occurring during the term of this Agreement. Contractor must submit evidence of insurance prior to execution of Agreement. The receipt of any certificate does not constitute agreement by the City that the insurance requirements in the Agreement have been fully met or that the insurance policies indicated on the certificate are in compliance with all requirements of Agreement. The failure of the City to obtain, nor the City's receipt of, or failure to object to a non-complying insurance certificate endorsement or other insurance evidence from Contractor its insurance broker(s) and/or insurer(s) will not be construed as a waiver by the City of any of the required insurance provisions. Contractor must advise all insurers of the Agreement provisions regarding insurance. The City in no way warrants that the insurance required herein is sufficient to protect Contractor for liabilities which may arise from or relate to the Agreement. The City reserves the right to obtain complete, certified copies of any required insurance policies at any time.

Failure to Maintain Insurance. Failure of the Contractor to comply with required coverage and terms and conditions outlined herein will not limit Consultant's liability or responsibility nor does

it relieve Contractor of the obligation to provide insurance as specified in this Agreement. Nonfulfillment of the insurance conditions may constitute a violation of the Agreement, and the City retains the right to suspend this Agreement until proper evidence of insurance is provided, or the Agreement may be terminated.

Notice of Material Change, Cancellation or Non-Renewal. Contractor must provide for sixty (60) days prior written notice to be given to the City in the event coverage is substantially changed, canceled or non-renewed and ten (10) days prior written notice for non-payment of premium.

Deductibles and Self-Insured Retentions. Any deductibles or self-insured retentions on referenced insurance coverages must be borne by Consultant.

Waiver of Subrogation. Contractor hereby waives its rights and its insurer(s)' rights of and agrees to require their insurers to waive their rights of subrogation against the City under all required insurance herein for any loss arising from or relating to this Agreement. Contractor agrees to obtain any endorsement that may be necessary to affect this waiver of subrogation, but this provision applies regardless of whether or not the City received a waiver of subrogation endorsement for Consultant's insurer(s).

Contractor's Insurance Primary. All insurance required of Contractor under this Agreement shall be endorsed to state that Contractor's insurance policy is primary and not contributory with any insurance carrier by the City.

No Limitation as to Contractor's Liabilities. The coverages and limits furnished by Contractor in no way limit the Contractor's liabilities and responsibilities specified within the Agreement or by law.

No Contribution by City. Any insurance or self-insurance programs maintained by the City do not contribute with insurance provided by Contractor under this Agreement.

Insurance not Limited by Indemnification. The required insurance to be carried is not limited by any limitations expressed in the indemnification language in this Agreement or any limitation placed on the indemnity in this Agreement given as a matter of law.

Insurance and Limits Maintained. If Contractor maintains higher limits and/or broader coverage than the minimums shown herein, the City requires and shall be entitled the higher limits and/or broader coverage maintained by Contractor. Any available insurance proceeds in excess of the specified minimum limits of insurance and coverage shall be available to the City.

Joint Venture or Limited Liability Company. If Contractor is a joint venture or limited liability company, the insurance policies must name the joint venture or limited liability company as a named insured.

Other Insurance obtained by Contractor. If Contractor desires additional coverages, the Contractor will be responsible for the acquisition and cost.

Insurance required of Subcontractors. Contractor shall name the Subcontractor(s) as a named insured(s) under Consultant's insurance or Contractor will require each Subcontractor(s) to provide and maintain

Commercial General Liability, Commercial Automobile Liability, Worker's Compensation and Employers Liability Insurance and when applicable Excess/Umbrella Liability Insurance with coverage at least as broad as outlined in Section A, Insurance Required. The limits of coverage will be determined by Contractor. Contractor shall determine if Subcontractor(s) must also provide any additional coverage or other coverage outlined in Section A, Insurance Required. Contractor is responsible for ensuring that each Subcontractor has named the City as an additional insured where required on an additional insured endorsement form acceptable to the City. Contractor is also responsible for ensuring that each Subcontractor has complied with the required coverage and terms and conditions outlined in this Section B, Additional Requirements. When requested by the City, Contractor must provide to the City certificates of insurance and additional insured endorsements or other evidence of insurance. The City reserves the right to obtain complete, certified copies of any required insurance policies at any time. Failure of the Subcontractor(s) to comply with required coverage and terms and conditions outlined herein will not limit Consultant's liability or responsibility.

City's Right to Modify. Notwithstanding any provisions in the Agreement to the contrary, the City, Department of Finance, Risk Management Office maintains the right to modify, delete, alter or change these requirements.

EXHIBIT 8 CONTRACTUAL REQUIREMENTS RELATING TO HIPAA

CONTRACTUAL REQUIREMENTS RELATED TO HIPAA

The terms below that are capitalized and in bold have the same meanings as set forth in the Health Insurance Portability and Accountability Act. See 45 CFR parts 160 and 164.

1. Contractor must not use or further disclose Protected Health Information (“PHI”) other than as permitted or required by this Agreement or as Required by Law. (<http://www.hhs.gov/ocr/hipaa/>)
2. Contractor must use appropriate safeguards to prevent the use or disclosure of PHI other than as provided for in this Agreement.
3. Contractor must mitigate to the extent practicable any harmful effect that is known to Contractor of a use or disclosure of PHI by Contractor in violation of the requirements of this Agreement.
4. Contractor must report any use or disclosure of the PHI not provided for by this Agreement to the City.
5. Contractor must ensure that any agent, including a subcontractor, to whom it provides PHI received from, or created or received by Contractor on behalf of the City agrees to the same restrictions and conditions that apply through this Agreement to Contractor with respect to such information.
6. If the Contractor has PHI in a Designated Record Set then Contractor must provide access, at the request of the City, and in the time and manner designated by the City, to PHI in a Designated Record Set, to City or, as directed by City, to an Individual in order to meet the requirements under 45 CFR 164.524.
7. If the Contractor has PHI in a Designated Record Set then Contractor must make any amendments to PHI in a Designated Record Set that the City directs or agrees to pursuant to 45 CFR 164.526 at the request of City or an Individual, and in the time and manner designated by City.
8. Contractor must make internal practices, books and records relating to the use and disclosure of PHI received from, or created or received by Contractor on behalf of, City available to the City, or at the request of the City to the Secretary, in a time and manner designated by the City or the Secretary, for purposes of the Secretary determining City’s compliance with the Privacy Rule.
9. Contractor must document the disclosure of PHI and information relating to such disclosures as would be required for City to respond to a request by an Individual for an accounting of disclosures of PHI in accordance with 45 CFR 164.528.
10. Contractor must provide to City or an Individual, in time and manner designated by City, information collected which relates to the disclosure of PHI, to permit City to respond to a request by an Individual for an accounting of disclosures of PHI in accordance with 45 CFR 164.528.
11. Contractor must either return all PHI to the City or destroy it, at the City’s option, upon termination or expiration of this Agreement.
12. Contractor must implement administrative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of the electronic health information that it creates, receives, maintains, or transmits on behalf of the City as required by 45 CFR part 164.
13. Contractor must ensure that any agent, including a subcontractor, to whom it provides such information agrees to implement reasonable and appropriate safeguards to protect it.
14. Contractor must report to the City any security incident of which it becomes aware.

EXHIBIT 9 DATA POLICY WITH CONTRACTOR

DATA POLICY/DATA WITH CONTRACTOR

"Breach" means the acquisition, access, use, or disclosure of Protected Information that compromises the security or privacy of the Protected Information.

"Contractor" means an entity that receives or encounters Protected Information. Contractor includes, without limitation, entities that store Protected Information, or host applications that process Protected Information. The provisions of this Data Policy includes not only the entity that is a signatory to this Policy but all subcontractors, of whatever tier, of that entity; the signatory must inform and obtain the agreement of such subcontractors to the terms of this Data Policy.

"Protected Information" means all data provided by City to Contractor or encountered by Contractor in the performance of the services to the City, including, without limitation, all data sent to Contractor by City and/or stored by Contractor on its servers. Protected Information includes, but is not limited to, employment records, medical and health records, personal financial records (or other personally identifiable information), research data, and classified government information. To the extent there is any uncertainty as to whether any data constitutes Protected Information, the data in question shall be treated as Protected Information.

Information Security. Contractor agrees to the following:

- 1.1. General. Notwithstanding any other obligation of Contractor under this policy, Contractor agrees that it will not lose, alter, or delete, either intentionally or unintentionally, any Protected Information, and that it is responsible for the safe-keeping of all such information, except to the extent that the City directs the Contractor in writing to do so.
- 1.2. Access to Data. In addition to the records to be stored / maintained by Contractor, all records that are possessed by Contractor in its service to the City of Chicago to perform a governmental function are public records of the City of Chicago pursuant to the Illinois Freedom of Information Act (FOIA), unless the records are exempt under the Act. FOIA requires that the City produce records in a very short period of time. If the Contractor receives a request from the City to produce records, the Contractor shall do so within 72 hours of the notice.
- 1.3. Minimum Standard for Data at Rest and Data in Motion. Contractor must, at a minimum, comply, in its treatment of Protected Information, with National Institute of Standards and Technology (NIST) Special Publication 800-53 Moderate Level Control. Notwithstanding this requirement, Contractor acknowledges that it must fully comply with each additional obligation contained in this policy. If data is protected health information or electronic protected health information, as defined in the Health Insurance Portability and Accountability Act and Health Information Technology for Economic and Clinical Health Act (HIPAA/HITECH) and regulations implementing these Acts (see 45 CFR Parts 160 and 164), it must be secured in accordance with "Guidance Specifying the Technologies and Methodologies that Render Protected Health Information Unusable, Unreadable, or Indecipherable to Unauthorized Individuals," available on the United States Department of Health and Human Services (HHS) website (<http://www.hhs.gov/ocr/privacy/hipaa/administrative/breachnotificationrule/index.html>), or at Volume 74 of the Federal Register, beginning at page 42742. That guidance from the HHS states that valid encryption processes for protected health information data at rest (e.g., protected health information resting on a server), must be consistent with the NIST Special Publication 800-111, Guide for Storage Encryption Technologies for End User Devices. Valid encryption processes for protected health

information data in motion (e.g., transmitted through a network) are those which comply with NIST Special Publications 800-52, Guidelines for the Selection and Use of Transport Layer Security Implementation; 800-77, Guide to IPsec VPNs; or 800-113, Guide to SSL VPNs, or others which are Federal Information Processing Standards (FIPS) 140-2 validated.

Where Data is to be Stored. All data must be stored only on computer systems located in the continental United States.

- 1.4. Requirement to Maintain Security Program. Contractor acknowledges that the City has implemented an information security program to protect the City's information assets, which Program is available on the City website at http://www.cityofchicago.org/city/en/depts/doi/supp_info/initiatives_informationsecurity.html ("City Program"). Contractor shall be responsible for establishing and maintaining an information security program that is designed to: (i) ensure the security and confidentiality of Protected Information; (ii) protect against any anticipated threats or hazards to the security or integrity of Protected Information; (iii) protect against unauthorized access to or use of Protected Information; (iv) ensure the proper disposal of Protected Information; and, (v) ensure that all subcontractors of Contractor, if any, comply with all of the foregoing.
- 1.5. Undertaking by Contractor. Without limiting Contractor's obligation of confidentiality as further described herein, in no case shall the safeguards of Contractor's information security program be less stringent than the information security safeguards used by the City Program.
- 1.6. Right of Audit by the City of Chicago. The City of Chicago shall have the right to review Contractor's information security program prior to the commencement of Services and from time to time during the term of this Agreement. During the performance of the Services, from time to time and without notice, the City of Chicago, at its own expense, shall be entitled to perform, or to have performed, an on-site audit of Contractor's information security program. In lieu of an on-site audit, upon request by the City of Chicago, Contractor agrees to complete, within forty-five (45) days of receipt, an audit questionnaire provided by the City of Chicago or the City of Chicago's designee regarding Contractor's information security program.
- 1.7. Audit by Contractor. No less than annually, Contractor shall conduct an independent third-party audit of its information security program and provide such audit findings to the City of Chicago, all at the Contractor's sole expense.
- 1.8. Audit Findings. Contractor shall implement at its sole expense any remedial actions as identified by the City as a result of the audit.
- 1.9. Demonstrate Compliance - PCI. No less than annually, as defined by the City of Chicago and where applicable, the Contractor agrees to demonstrate compliance with PCI DSS (Payment Card Industry Data Security Standard). Upon City's request, Contractor must be prepared to demonstrate compliance of any system or component used to process, store, or transmit cardholder data that is operated by the Contractor as part of its service. Similarly, upon City's request, Contractor must demonstrate the compliance of any third party it has sub-contracted as part of the service offering. As evidence of compliance, the Contractor shall provide upon request a current attestation of compliance signed by a PCI QSA (Qualified Security Assessor).
- 1.10. Demonstrate Compliance – HIPAA / HITECH. If the Protected Information includes protected health information or electronic protected health information covered under HIPAA/HITECH, Contractor must execute, and be governed by, the provisions in its contract with the City regarding HIPAA/HITECH, the regulations implementing those Acts, and the Business Associate Agreement in its contract with the City. As specified in 1.3, protected health information must be secured in accordance with the "Guidance

Specifying the Technologies and Methodologies that Render Protected Health Information Unusable, Unreadable, or Indecipherable to Unauthorized Individuals.”

- 1.11. Data Confidentiality. Contractor shall implement appropriate measures designed to ensure the confidentiality and security of Protected Information, protect against any anticipated hazards or threats to the integrity or security of such information, protect against unauthorized access or disclosure of information, and prevent any other action that could result in substantial harm to the City of Chicago or an individual identified with the data or information in Contractor’s custody.

- 1.12. Compliance with All Laws and Regulations. Contractor agrees that it will comply with all laws and regulations.

Limitation of Access. Contractor will not knowingly permit any Contractor personnel to have access to any City of Chicago facility or any records or data of the City of Chicago if the person has been convicted of a crime in connection with (i) a dishonest act, breach of trust, or money laundering, or (ii) a felony. Contractor must, to the extent permitted by law, conduct a check of public records in all of the employee’s states of residence and employment for at least the last five years in order to verify the above. Contractor shall assure that all contracts with subcontractors impose these obligations on the subcontractors and shall monitor the subcontractors’ compliance with such obligations.

- 1.13. Data Re-Use. Contractor agrees that any and all data exchanged shall be used expressly and solely for the purposes enumerated in the Agreement. Data shall not be distributed, repurposed or shared across other applications, environments, or business units of Contractor. As required by Federal law, Contractor further agrees that no City of Chicago data of any kind shall be revealed, transmitted, exchanged or otherwise passed to other Contractors or interested parties except on a case-by-case basis as specifically agreed to in writing by an officer of the City of Chicago with designated data, security, or signature authority.

- 1.14. Safekeeping and Security. Contractor will be responsible for safekeeping all keys, access codes, passwords, combinations, access cards, personal identification numbers and similar security codes and identifiers issued to Contractor’s employees, agents or subcontractors. Contractor agrees to require its employees to promptly report a lost or stolen access device or information to their primary business contact and to the City of Chicago Information Security Office.

- 1.15. Mandatory Disclosure of Protected Information. If Contractor is compelled by law or regulation to disclose any Protected Information, the Contractor will provide to the City of Chicago with prompt written notice so that the City of Chicago may seek an appropriate protective order or other remedy. If a remedy acceptable to the City of Chicago is not obtained by the date that the Contractor must comply with the request, the Contractor will furnish only that portion of the Protected Information that it is legally required to furnish, and the Contractor shall require any recipient of the Protected Information to exercise commercially reasonable efforts to keep the Protected Information confidential.

- 1.16. Data Breach. Contractor agrees to comply with all laws and regulations relating to data breach, including without limitation, the Illinois Personal Information Protection Act and other applicable Illinois breach disclosure laws and regulations. Data breaches of protected health information and electronic protected health information shall be governed by the provisions regarding HIPAA/HITECH, and the regulations implementing those Acts, in the Contractor’s contract with the City, specifically the Business Associate Agreement in such contract. Contractor will immediately notify the City if security of any Protected Information has been breached and will provide information as to that breach in such detail as requested by the City. Contractor will, if requested by the City, notify any affected individuals of such breach at the sole cost of the Contractor.

- 1.17. Data Sanitization and Safe Disposal. All physical and electronic records must be retained per federal, state and local laws and regulations, including the Local Records Act. Where disposal is approved, the Contractor agrees that prior to disposal or reuse of all magnetic media (e.g. hard disk, floppy disk, removable media, etc.) which may have contained City of Chicago data shall be submitted to a data sanitization process which meets or exceeds DoD 5220.28-M 3-pass specifications. Certification of the completion of data sanitization shall be provided to the City of Chicago within 10 days of completion. Acceptance of Certification of Data Sanitization by the Information Security Office of the City of Chicago is required prior to media reuse or disposal. All other materials which contain City of Chicago data shall be physically destroyed and shredded in accordance to NIST Special Publication 800-88, Guidelines for Media Sanitization, specifications.
- 1.18. End of Agreement Data Handling. The Contractor agrees that upon termination of this Agreement it shall return all data to the City of Chicago in a useable electronic form, and erase, destroy, and render unreadable all data in its entirety in accordance to the prior stated Data Sanitization and Safe Disposal provisions. Data must be rendered in a manner that prevents its physical reconstruction through the use of commonly available file restoration utilities. Certification in writing that these actions have been completed must be provided within 30 days of the termination of this Agreement or within 7 days of a request of an agent of the City of Chicago, whichever shall come first.

EXHIBIT 10 LOCAL AND OTHER PREFERENCES

LOCAL AND OTHER PREFERENCES: ADJUSTMENTS TO THE COST PROPOSAL AND AFFIDAVITS

A. City-based Businesses (Chicago Business Preference)

For purposes of this section only, the following definitions shall apply:

"City-based business" means a person who (i) conducts meaningful day-to-day business operations at a facility located within the city and reports such facility to the Internal Revenue Service as a place of employment for the majority of its regular, full-time workforce; (ii) holds any appropriate city license; and (iii) is subject to applicable city taxes.

"Contract" means any contract, purchase order or agreement awarded by the city and whose cost is to be paid from funds belonging to or administered by the city; provided that a contract does not include: (i) a delegate agency contract; (ii) a lease of real property; or (iii) a collective bargaining agreement.

"Prime Contractor" means a person who is a city-based business and the primary contractor on a contract. A "Prime Contractor" does not include any subcontractors.

If these RFP Documents pertain to a Contract having an estimated contract value of \$100,000 or more, the CPO may apply a bid preference ("City Based Business Preference") of two percent of the cost proposal, in accordance with section 2-92-412 of the MCC, to any qualified Respondent that is a prime contractor.

Respondents desiring to take advantage of the City Based Business Preference must submit documentation with their Proposal that Respondent is a City-Based Business: a "City-Based Business Affidavit" and a copy of any Chicago business license(s) if applicable.

B. Alternatively Powered Vehicles Proposal Incentive

i. Definitions for Alternatively Powered Vehicles Bid Incentive

For purposes of this Section B only, the following definitions apply:

"Alternative fuel" has the meaning ascribed to that term in the Energy Policy Act of 1992, and the rules promulgated by the United States Department of Energy pursuant to that Act. The term "alternative fuel" includes but is not limited to natural gas, liquefied petroleum gas, hydrogen, ethanol E85 or electricity;

"Alternatively powered vehicle" means a vehicle that:

- (a) is fueled by alternative fuel; provided that if a vehicle is capable of being powered by alternative fuel and traditional petroleum-based gasoline or petroleum-based diesel fuel, the vehicle must be powered by the alternative fuel for no less than 80% BTUs consumed during the three months prior to the submission of the bid; or
- (b) is commonly referred to as a hybrid vehicle that is capable of being powered by a combination of any fuel and an alternative power source and the alternative power source includes an energy storage system to store generated or accumulated energy which substantially reduces the fuel use and emissions when compared to a standard vehicle of the same age, type and size; or
- (c) is fueled by a biodiesel blend; provided that the vehicle is powered by the biodiesel blend for no less than 80% of the gallons consumed during the three months prior to the submission of the bid; or
- (d) is fueled by traditional petroleum-based gasoline or petroleum-based diesel fuel, but powered by an engine substantially more efficiently designed than a standard vehicle of the same age, type and size; provided that the vehicle is rated by the United States Environmental Protection Agency in the top 5% for fuel efficiency for similar vehicles.

An "alternatively powered vehicle" does not include any vehicle which is: (i) primarily used in a warehouse or similar type of enclosed structure; (ii) required to use, or given credit for using, alternative fuel by any federal, state or local law; or (iii) subject to Section 2-92-595 of the Municipal Code of Chicago.

"Biodiesel blend" has the meaning ascribed to that term in Section 2-92-595 of the Municipal Code of Chicago.

"Construction project" has the meaning ascribed to that term in Section 2-92-335 of the Municipal Code of Chicago.

"Contract" means any contract, purchase order, construction project, or other agreement (other than a delegate agency contract or lease of real property or collective bargaining agreement) awarded by the city and whose cost is to be paid from funds belonging to or administered by the city.

"Contract cost proposal" means the total dollar amount a Respondent proposes as its cost proposal on an RFP without factoring any incentive or preference.

"Eligible business" means a business located within the counties of Cook, DuPage, Kane, Lake, McHenry or Will in the State of Illinois (the "Six County Region"), and as to which: (1) a majority of the business' fleet is located and used within the Six County Region; and (2) a majority of those vehicles located and used within the Six County Region are alternatively powered vehicles.

"Fleet" means 10 or more vehicles that are owned, operated, leased or otherwise controlled by a business.

"Proposal Incentive" means an amount deducted, for proposal evaluation purposes only, from the Respondent's cost proposal in order to calculate the cost or price to be used to evaluate the proposal.

"Vehicle" means every device powered by a motor or engine and by, upon, or in which any person or property is or may be transported or drawn upon a street or highway, except a "vehicle" shall not include motorized wheelchairs, golf carts, neighborhood electric vehicles, as that term is defined in Section 9-4-010 of the Municipal Code of Chicago, devices moved solely by human power, devices used exclusively upon stationary rails or tracks, or snowmobiles, as defined in the Snowmobile Registration and Safety Act of Illinois.

ii. Eligibility for Alternatively Powered Vehicles Proposal Incentive

If these RFP Documents pertain to a Contract having an estimated contract value of \$100,000 or more, the CPO may apply a proposal incentive of 1/2% to the contract cost proposal of a qualified respondent when the qualified respondent is an eligible business.

The incentive is used only to calculate an amount to be used in evaluating the price, and it will not affect the price of any contract that may ultimately be awarded.

For purposes of this section the total dollar value of a construction project contract includes both materials and labor.

(b) As a condition of being awarded a contract after claiming this incentive, the eligible business shall continue to meet the definition of an eligible business during the term of the contract.

(c) The contractor shall maintain adequate records necessary to monitor compliance with this section and shall submit such reports as required by the chief procurement officer. Full access to the contractor's and subcontractors' records shall be granted to the chief procurement officer, the commissioner of the supervising department, the inspector general, or any duly authorized representative thereof. The contractor and subcontractors shall maintain all relevant records for a period of no less than seven years after final acceptance of the work.

(d) A Respondent desiring to receive an incentive pursuant to this section shall include with its bid submission the Affidavit of Eligible Business for Proposal Incentive for Alternative Powered Vehicles, which affirms that the Respondent satisfies all pertinent requirements as an eligible business.

(e) Upon completion of the work, any eligible business that receives a preference but that fails to meet the definition as an eligible business during the term of the contract shall be fined in an amount equal to three times the amount of the incentive.

(f) This section shall not apply to any contract to the extent that the requirements imposed by this section are inconsistent with procedures or standards required by any law or regulation of the United States or the State of Illinois to the extent such inconsistency is not permitted under law or the home rule powers of the city.

C. Veteran-Owned Small Local Business Enterprises and Eligible Joint Ventures

For purposes of this section only, the following definitions shall apply:

"Bid incentive" means an amount deducted, for bid evaluation purposes only, from the contract base bid in order to calculate the bid price to be used to evaluate the bid on a competitively bid contract.

"Contract base bid" means the total dollar amount a contractor bids on a contract without factoring any bid incentive or percentage reductions to the bid amount.

"Eligible joint venture" means an association of one or more small business enterprises in combination with one or more veteran-owned business enterprises, proposing to perform as a single for-profit business enterprise, in which each joint venture partner contributes property, capital, efforts, skill and knowledge. Joint ventures must have an agreement in writing specifying the terms and conditions of the relationship between the partners and their respective roles in the contract.

"Owned" means, as MCC 2-92-670 may be updated from time to time, having all of the customary incidents of ownership, including the right of disposition, and sharing in all of the risks, responsibilities and profits commensurate with the degree of ownership.

"Small business enterprise" means, as MCC 2-92-670 may be updated from time to time, a small business as defined by the U.S. Small Business Administration, pursuant to the business size standards found in 13 C.F.R. Part 121, relevant to the scope(s) of work the firm seeks to perform on city contracts. A firm is not an eligible small business enterprise in any city fiscal year in which its gross receipts, averaged over the firm's previous five fiscal years, exceed the size standards of 13 C.F.R. Part 121.

"Veteran-owned business enterprise" means an enterprise which: (1) is at least 51 percent owned by one or more veterans, or in the case of a publicly held corporation, at least 51 percent of all classes of the stock of which is owned by one or more veterans, whose management, policies, major decisions and daily business operations are independently managed and controlled by one or more veterans; or (2) has been certified by the State of Illinois as a qualified service-disabled veteran-owned small business or a qualified veteran-owned small business pursuant to 30 ILCS 500/45-57.

"Veteran-owned small local business" means a business that is both a veteran-owned business enterprise and a small local business enterprise as defined in Section 2-92-670.

"Veteran" means a person who has served in the United States armed forces and was discharged or separated under honorable conditions.

Unless otherwise prohibited by any federal, state or local law, the CPO shall allocate a bid incentive of 5% of the contract base price, in accordance with section 2-92-418 of the MCC, to any qualified bidder that is a veteran-owned small local business or an eligible joint venture.

Bidders desiring to receive this incentive must submit an affidavit and other supporting documents demonstrating that the bidder satisfies all pertinent requirements as a veteran-owned small local business or an eligible joint venture.

As a condition of being awarded the bid incentive, the veteran-owned small local business or eligible joint venture shall continue to meet the definition of a veteran-owned small local business or an eligible joint venture. If a contract is awarded to the veteran-owned small local business or eligible joint venture, upon completion of the work, any veteran-owned small local business or eligible joint venture that receives a bid preference but fails to meet the definition of a veteran-owned small local business or eligible joint venture during the term of the contract for which the bid incentive was awarded shall be fined in an amount equal to three times the amount of the bid incentive awarded.

The contractor shall maintain adequate records necessary to ensure compliance with this section and shall submit such reports as required by the chief procurement officer. Full access to the contractor's and subcontractors' records shall be granted to the chief procurement officer, the commissioner of the supervising department, the inspector general, or any duly authorized representative thereof. The contractor and subcontractor shall maintain all relevant records a period that is the longer of seven years or as after final acceptance of the work in accordance with the Local Records Act.

D. Commitment Regarding Business Enterprises Owned By People With Disabilities (BEPD)

i. Policy and Terms

It is the policy of the City that businesses certified as Business Enterprises owned by People with Disabilities (BEPD) in accordance with MCC 2-92-337 *et seq.*, *Regulations Governing Certification of Business Enterprises owned by People with Disabilities*, and all other Regulations promulgated under the aforementioned sections of the Municipal Code; shall have the full and fair opportunities to participate fully in the performance of this Contract. Therefore, the Bidder or Contractor shall not discriminate against any person or business on the basis of disability, and shall take affirmative actions to ensure BEPDs shall have full and fair opportunities to compete for and perform subcontracts for supplies or services.

Failure to carry out the commitments and policies set forth herein shall constitute a material breach of the Contract and may result in the termination of the Contract or such remedy as the City deems appropriate.

ii. Definitions

For purposes of this section only, the following definitions apply:

- (A) "Business Enterprises owned or operated by People with Disabilities" or "BEPD" has the same meaning ascribed to it in section 2-92-586.
- (B) "Bid incentive" means an amount deducted, for bid evaluation purposes only, from the contract base bid in order to calculate the bid price to be used to evaluate the bid on a competitively bid contract.
- (C) "Contract base bid" means the total dollar amount a contractor bids on a contract without factoring any bid incentive or percentage reductions to the bid amount.

iii. Commitments

Where not otherwise prohibited by federal, state, or local law, the CPO shall allocate to any qualified bidder the following bid incentive for utilization of a BEPD as a prime contractor or subcontractor in the performance of the contract.

% of total dollar contract amount performed by BEPD	Bid incentive
2 to 5%	1% of the contract base bid
6 to 9%	2% of the contract base bid
10 to 13%	3% of the contract base bid
14% or more	4% of the contract base bid

The bid incentive shall be calculated and applied in accordance with the provisions of this section. The bid incentive is used only to calculate an amount to be used in evaluating the bid. The bid incentive does not affect the contract price.

Upon completion of the work, any Contractor that has failed to retain the percentage of BEPD subcontractors for which a bid incentive was taken into consideration in awarding of a contract shall be fined an amount equal to three times the amount of the bid incentive allocated, unless the Contractor can demonstrate that due to circumstances beyond the Contractor's control, the Contractor for good cause was unable to retain the percentage of BEPD participants throughout the duration of the contract period.

iv. Records and Reports

The Contractor shall maintain accurate and detailed books and records necessary to monitor compliance with this section and shall submit such reports as required by the CPO, or the commissioner of the supervising department.

Full access to the Contractor's and Subcontractor's records shall be granted to the CPO, the commissioner of the supervising department, or any duly authorized representative thereof. The Contractor and Subcontractors shall maintain all relevant records for a period of at least three years after final acceptance of the work.

CITY-BASED BUSINESS AFFIDAVIT

The City-Based Business preference of 2% is applicable to Contracts funded in whole by City funds. Respondent must complete this form and provide a copy of its Chicago business license(s) if applicable, if it desires to be considered for this preference. Respondents that do not complete this page will not be regarded as City-Based Businesses. If Respondent's operations are at multiple locations in the City of Chicago, use additional sheets if necessary.

1. Is Respondent a "City-Based Business" as defined in the "Local and Other Preferences" portion of this solicitation and in MCC 2-92-412?
() Yes () No
2. Does the Respondent report to the Internal Revenue Service that the place of employment for the majority (more than 50%) of its regular, full-time workforce is a facility within the City of Chicago?
() Yes () No
3. Does the Respondent conduct meaningful day-to-day business operations at a facility within the City of Chicago?
() Yes () No
4. Street address of business location within the City of Chicago (P.O. address not accepted):

5. Describe the business activities are carried out at the location listed above: _____

6. How many full-time regular employees are currently employed at the location listed above? _____
7. Total number of full-time regular employees employed at all locations worldwide? _____
8. List City of Chicago business license(s) held; attach copies. If none are required, indicate "none required":

Respondent understands that it may be required to produce records to the Chief Procurement Officer to verify the information provided.

Under penalty of perjury the person signing below: (1) warrants that he/she is authorized to execute this Affidavit on behalf of Respondent, and (2) warrants that all certifications and statements contained in this Affidavit are true, accurate, and complete as of the date of execution.

Name of Respondent: _____
(Print or Type)

Signature of Authorized Officer: _____
(Signature)

Title of Signatory: _____
(Print or Type)

State of _____

County of _____

Signed and sworn (or affirmed) to before me on _____ (date) by _____ (name/s of person/s making statement).

(Signature of Notary Public)

(Seal)

INCENTIVE FOR ALTERNATIVELY POWERED VEHICLES AFFIDAVIT

An Eligible Business incentive for alternatively powered vehicles may be applicable. Respondent must complete this form if it desires to be considered for this incentive. Respondents who do not complete and submit this form with their proposals will be deemed to be non-Eligible Businesses.

1. Is Respondent a business located within the counties of Cook, DuPage, Kane, Lake, McHenry or Will in the State of Illinois (the "Six County Region")? () Yes () No

2. Street address of principal place of business: _____

3. How many total vehicles, as defined in the Local and Other Preferences section of this solicitation, "Incentive for Alternately Powered Vehicles," are currently owned, operated, leased or otherwise controlled by respondent?

Line 3(a): _____

4. How many of respondent's vehicles are located and used within the Six County Region?

Line 4(a): number of vehicles _____

Line 4(b): percentage of fleet (line 4(a) divided by line 3(a)) _____ %

5. How many of respondent's vehicles located and used within the Six County Region are alternatively powered vehicles, as defined in the Local and Other Preferences section of this solicitation, "Incentive for Alternately Powered Vehicles?"

Line 5(a): number of vehicles _____

Line 5(b): percentage of Six County fleet (line 5(a) divided by line 4(a)) _____ %

Respondent understands that it may be required to produce records to the chief procurement officer to verify the information provided.

Under penalty of perjury the person signing below: (1) warrants that he/she is authorized to execute this Affidavit on behalf of bidder, and (2) warrants that all certifications and statements contained in this Affidavit are true, accurate, and complete as of the date of execution.

Name of Respondent: _____
(Print or Type)

Signature of Authorized Officer: _____
(Signature)

Title of Signatory: _____
(Print or Type)

State of _____

County of _____

Signed and sworn (or affirmed) to before me on _____ (date) by
_____ (name/s of person/s making statement).

(Signature of Notary Public)
(Seal)

VETERAN-OWNED SMALL LOCAL BUSINESS ENTERPRISE AND ELIGIBLE JOINT VENTURE AFFIDAVIT

Bidder must complete this form if it desires to be considered for the bid incentive as described in Section 2-92-418 of the Municipal Code of Chicago ("MCC") for Veteran-Owned Small Local Businesses and Eligible Joint Ventures. Bidders that do not complete this page will not be regarded as veteran-owned small local businesses or eligible joint ventures. Please use additional sheets if necessary. Attach all relevant certifications and/or support documents.

1. Is bidder a "veteran-owned small local business" as defined in Exhibit 10 Section C of this bid solicitation and in MCC 2-92-418?
() Yes () No If Yes, skip to #5 below.
2. Is bidder an "eligible joint venture" as defined in Exhibit 10 Section C of this bid solicitation and in MCC 2-92-418?
() Yes () No
3. Is at least one member of the eligible joint venture a "small business enterprise" as defined in MCC 2-92-670?
() Yes () No
4. Is at least one member of the eligible joint venture a "veteran-owned business enterprise" as that term is defined in MCC 2-92-670?
() Yes () No
5. Is the veteran-owned business identified in either #1 or #4 above certified by the State of Illinois as a qualified service-disabled veteran-owned small business or a qualified veteran-owned small business pursuant to 30 ILCS 500/45-57? If yes, please provide appropriate documentation.
() Yes () No
6. If the answer to # 5 above is no, is the veteran-owned business an enterprise which is at least 51 percent owned by one or more veterans, or in the case of a publicly held corporation, at least 51 percent of all classes of stock of which are owned by one or more veterans?
() Yes () No
7. If qualifying as a veteran-owned business under the requirements of #6 above, please list all owners, their percentage of ownership interest, and provide appropriate documentation demonstrating status as veteran, as that term is defined in MCC 2-92-418.

8. List City of Chicago business license(s) held. If none are required, indicate "none required": _____

9. Provide address of the veteran-owned business, including the County in which it is located. _____

County: _____

Bidder understands that it may be required to produce records to the chief procurement officer to verify the information provided.

Under penalty of perjury the person signing below: (1) warrants that he/she is authorized to execute this Affidavit on behalf of bidder, and (2) warrants that all certifications and statements contained in this Affidavit are true, accurate, and complete as of the date of execution.

Bidder must complete the applicable signature line(s) on the following page.

Required Signature for All Applicants

Name of Veteran-Owned Business: _____

(Print or Type)

Signature of Authorized Officer for Veteran-Owned Business: _____
(Signature)

Title of Signatory: _____
(Print or Type)

Additional Required Signatures for Eligible Joint Venture Applicants

Name of Joint Venture (for eligible joint ventures only): _____
(Print or Type)

Name of SBE (for eligible joint ventures only): _____
(Print or Type)

Signature of Authorized Officer for SBE (for eligible joint ventures only): _____
(Signature)

Title of Signatory: _____
(Print or Type)

State of _____

County of _____

Signed and sworn (or affirmed) to before me on _____ (date) by
_____ (name/s of person/s making statement).

(Signature of Notary Public)

(Seal)

BIDDER'S COMMITMENT TO UTILIZE BUSINESS ENTERPRISES OWNED BY PEOPLE WITH DISABILITIES (BEPD)

The BEPD Incentive as described in Section 2-92-337 of the Municipal Code of Chicago ("MCC") is applicable to competitively bid contracts funded in whole by City funds. Bidder must submit this form with the bid if it desires to be considered for this bid incentive. Bidders that do not submit this page with their bid will not be eligible for this bid incentive. Attach additional sheets if necessary.

Note: The CPO may request additional information or documentation before determining to apply the preference.

1. Contract title: _____
Specification #: _____

2. The value of work performed by BEPD prime contractors or subcontractors (as defined in MCC 2-92-586 and the applicable bid solicitation) that Bidder commits to provide will be what percentage of the total dollar value of the contract?

() 2% to 5%-- 1% incentive () 6% to 9%-- 2% incentive

() 10% to 13%-- 3% incentive () 14% or greater-- 4% incentive

Bidder understands that if it fails to utilize the committed percentage of BEPD subcontractors, under MCC 2-92-337 it may be fined in an amount equal to three times the amount of the bid incentive allocated, unless the prime contractor can demonstrate that due to circumstances beyond the prime contractor's control, the prime contractor for good cause was unable to retain the percentage of BEPD subcontractors throughout the duration of the contract period.

Bidder understands that it may be required to produce records to the CPO to verify the information provided.

Under penalty of perjury the person signing below: (1) warrants that he/she is authorized to execute this Affidavit on behalf of bidder, and (2) warrants that all certifications and statements contained in this Affidavit are true, accurate, and complete as of the date of execution.

Name of Bidder: _____
(Print or Type)

Signature of Authorized Officer: _____
(Signature)

Title of Signatory: _____
(Print or Type)

State of _____

County of _____

Signed and sworn (or affirmed) to before me on _____ (date) by

_____ (name/s of person/s making statement).

(Signature of Notary Public)

(Seal)

EXHIBIT 11 SAMPLE PROFESSIONAL SERVICES AGREEMENT

CITY OF CHICAGO SAMPLE PROFESSIONAL SERVICES AGREEMENT

The sample Professional Services Agreement is provided in a separate PDF document along with this solicitation and is available on the DPS website, www.cityofchicago.org/bids.

Respondents are directed to review the provided Professional Services Agreement:
filename: Spec416117_Exhibit_11.pdf

EXHIBIT 12 NON-DISCLOSURE AGREEMENT (NDA)

Subject: Request for Proposals (RFP) for Information Technology Infrastructure Services
Specification No. 416117

I, the undersigned, on behalf of myself, and all persons and entities involved with the proposal that I have submitted in connection with the above RFP, represent and warrant as follows:

I understand that I may be given information belonging to the City during the “Discovery Phase” of the solicitation, and at various other parts of the solicitation, selection, and negotiation process. I understand and acknowledge that all such information is owned by the City of Chicago and is confidential.

I agree to hold in the strictest confidence any such information disclosed to me, and I agree to use the information disclosed to me for the sole purpose of, and only to the extent necessary, to prepare my proposal. I agree not to disclose any documents to any third party, with the exception of subcontractors or other entities associated with my proposal, and only for the purpose, and to the extent necessary, for preparation of my proposal. I represent that I have obtained from each of my subcontractors, as well as from any other entity associated with my proposal, an executed copy of this NDA, binding them to follow the restrictions contained herein.

While in my possession, any related information and material must be maintained in such a way as to assure confidentiality in accordance with the City’s Data Policy attached to the RFP. Subject to the permitted use of the information as described above, I further understand that it is a breach of ethical standards to knowingly use confidential information for actual or anticipated gain, or for the actual or anticipated gain of any other person.

Respondent Signature

Date

Print Name

Company Name

Subscribed and Sworn to me this

_____ day of _____, 20____

Notary Public

My Commission Expires: _____

Attachment D – City of Chicago (CoC) and Agencies Hardware List

1.0 Desktops/Laptop/Workstations

CoC and Agencies	19,000
------------------	--------

2.0 Servers

Server type	Quantity
Total Servers	1641

3.0 Network Storage Devices – NAS/SA

Device Type	Capacity/TB

Various Systems	SAN	2100 TB

4.0 Storage Devices – DASD/TAPE/BACKUP

Device type		Quantity
Device Type/System	DASD/tape/Backup Server	13

5.0 Network and Security Devices

Equipment	Quantity

Total	2838

6.0 MS Exchange 365 Servers

On Microsoft network hardware

7.0 Department of Aviation Custom Equipment

Device Type
Flight Information Display Systems (FIDS)
Baggage Information Display Systems (BIDS)
Gate Information Display Systems (GIDS)

FIDS/BIDS/GIDS have been developed and are maintained by the Aviation department. These display systems support a view of all airlines in multiple locations as well as specific airlines at select gate locations in terminals at **O'Hare**.

Attachment E -City of Chicago Systems

Application Software	Service Level Agreement(SLA) Type
ADFS	Critical
Admin Hearing	Critical
Avaya AEP (IVR System)	Critical
Avaya WFO (Work Force Optimization)	High
BACP Permitting	High
BACP Online Permit	High
Banner	Critical
Business Objects	High
Card Access System	Critical
Cashiering	Critical
CATA	Critical
Chicago Billing system	Critical
Cisco Unified Communication Manager	Critical
City 311	Critical
City Stickers	Critical
CoC.org	Critical
CPM	High
CSR	Critical
DOB	Critical
eCheckOut	Critical
EEDMS	Medium
Email	Critical
Enterprise Vault	High
ePay	Critical
ePlan	High
eProcurement	High
eSmart	High
EXADATA	Critical
FMPS-CHIPPS	Critical
GIS	Critical
HAN (Health Alert Network)	Critical
Hansen 7	Critical
Hansen 8	Critical
IRIS	Critical
Online EDS	Critical

Taleo	High
Water IDR	Critical
Web Portal	Critical
Tools Software	SLA Type
ServiceNow - ITSM Tool	Critical
SCCM	High
SCOM	High
LAN Desk	High
SCCM Remote Control	High
ServiceNow Remote Control	High
Existing Storage Monitoring and Management Tools	High
Service Desk Knowledge Management Tool	High
Infoblox	High
Network Tools and Operating Systems	SLA Type
Cisco IOS	Critical
F5 Operating Systems	Critical
McAfee Anti-Virus	Critical
McAfee Endpoint Encryption	Critical
Palo Alto OS	Critical
Fujitsu Network OS	Critical
Desktop Operating Systems	SLA Type
MAC OS	High
Windows OS	High
Linux	High
Virtualization Platforms	SLA Type
Microsoft HyperV	Critical
VMWare ESX	Critical
Citrix	High
Slackware 8.0.0	High
Backup and Recovery	SLA Type
Commvault - Simpana	High
Storage Devices (native software management tools and replication)	
Hitachi	High
Dell SAN/NAS - (includes all EMC products)	High
Open Systems OS	SLA Type
UNIX - Sun Solaris	High
Linux-RedHat	High
SUSE Linux Server	High
UBUNTO	High

MS Windows Server OS	SLA Type
Windows Server OS	High
Middleware	SLA Type
Have separate support contract -Assist Application team in trouble shooting middleware issues	
JBOSS	
WebLogic	
SharePoint	
IIS	
Oracle Application Server	
WebSphere	
Glassfish	
Tomcat	
3rd Party Platform	
Have separate support contract - Assist Application team in trouble shooting 3rd pary platforms	
ESRI ARCGIS Server	
ICN/FileNet	

Attachment F - DeskTop Images

1.0 Windows Desktop OS

Windows OS
Linux

2.0 MAC Desktop OS

MAC 10.12.1 and latest

Attachment G - Microsoft SQL Server List

[illegible]

Attachment H - Data Center Middleware List

Vendor Support Contracts	Coverage
Commvault Backup Software	24 X 7 Telephone
EMC Hardware & Software	24 X7 Onsite / Telephone
Oracle Exadata Hardware & Software 24 X7 onsite/ Telephone	24 X 7 Onsite /Telephone/Remote Access
Microsoft Server Operating System	24 X 7 Telephone
Rocket Blue Zone 3270 Software	9 X 5 Telephone
Redhat Linux Operating System	24 X 7 Telephone
SFTP IPSwitch Software	9 X 5 Telephone
Veritas Storage Foundation Suite, Enterprise Vault, Volume Replicaton	24 X 7 Telephone
Vsphere 5.5 Vmware Software	24 X 7 Telephone
Citrix 6.5 Xen App/ Server Platform	9 X 5 Telephone

Attachment I - Location List

DATA CENTERS		
City of Chicago Data Center 1		
City of Chicago Data Center 2		
Department of Aviation Data Center 1		
Department of Aviation Data Center 2		
OEMC Data Center 1		
CPD Data Center 1		
PHYSICAL ADDRESS	BUILDING NAME	DEPARTMENT(S)
2111 W LEXINGTON ST	311 CITY SERVICES	311
10101 S STONY ISLAND AVE	101ST AND STONY ISLAND FLEET MAINTENANCE FACILITY	2FM
10420 S VINCENNES AVE	FUEL FACILITY FS008	2FM
1345 W 103RD ST	FLEET MAINTENANCE FACILITY	2FM
1685 N THROOP ST	NORTH AND THROOP FLEET MAINTENANCE FACILITY	2FM
25 W 65TH ST	65TH AND STATE ST. FUEL FACILITY FS009	2FM
3100 S SACRAMENTO AVE	LIGHT DUTY SHOP	2FM
3104 W HARRISON ST	POLICE MOTOR MAINTENANCE GARAGE NO. 3	2FM
3245 N CAMPBELL AVE	POLICE MOTOR MAINTENANCE GARAGE NO. 4	2FM
4231 W FERDINAND ST	NW FUEL FACILITY FS003	2FM
4233 W FERDINAND ST	NW FLEET MAINTENANCE	2FM
4820 W SUNNYSIDE AVE	FUEL FACILITY FS005	2FM
5150 W 63RD ST	MIDWAY FLEET MAINTENANCE FACILITY	2FM
5219 S WENTWORTH AVE	POLICE MOTOR MAINTENANCE GARAGE NO. 1	2FM
727 E 111TH ST	POLICE MOTOR MAINTENANCE GARAGE NO. 2	2FM
1635 W MELROSE ST	DEPARTMENT OF FINANCE PARKING LOT NO. 29	2FM/DOF
2630 N EMMETT ST	DEPARTMENT OF FINANCE PARKING LOT NO. 65	2FM/DOF
1405 E 62ND PL	VACANT EC 63	2FM/DPD
1501 W SCHOOL ST	VACANT 44TH WARD YARD	2FM/DPD
1723 W GREENLEAF AVE	VACANT EC 102	2FM/DPD
1817 S PULASKI RD	24TH WARD YARD	2FM/DPD
2121 W 95TH ST	VACANT BEVERLY LIBRARY	2FM/DPD
2460 W CORTLAND ST	VACANT 26TH WARD YARD	2FM/DPD
2724 W CERMAK RD	VACANT MARSHALL LIBRARY	2FM/DPD
2817 N NATOMA AVE	VACANT 36TH WARD YARD	2FM/DPD
300 E 29TH ST	VACANT PD 21	2FM/DPD
3501 S LOWE AVE	VACANT PD 9	2FM/DPD
3515 W 63RD ST	VACANT PD 8	2FM/DPD
4005 S DEARBORN ST	VACANT EC 16	2FM/DPD
4005 W WEST END AVE	FIRE ENGINE COMPANY 95	2FM/DPD
4835 N LIPPS AVE	VACANT 45TH WARD YARD	2FM/DPD
6145 S THROOP ST	VACANT 16TH WARD YARD	2FM/DPD
6411 S CENTRAL AVE	VACANT FIRE STATION	2FM/DPD

6858 S INDIANA AVE	VACANT EC	2FM/DPD
714 N KEDZIE AVE	FIRE STATION	2FM/DPD
2741 S WESTERN AVE	DAVID R. LEE ANIMAL CONTROL	ACC
2350 W OGDEN AVE	TAXI DRIVER REGISTRATION FACILITY	BACP
2420 W PERSHING RD	TAXI TESTING	BACP
50 W WASHINGTON ST	DALEY CENTER	BACP
69 W WASHINGTON ST	69 W. WASHINGTON	BOEC
5430 W GALE ST	CITY CLERK NORTH SIDE SATELLITE	CC
1501 W PERSHING RD	CDOT INHOUSE CONSTRUCTION	CDOT
1533 S ASHLAND AVE	CDOT POLE YARD	CDOT
2451 S ASHLAND AVE	ELECTRICITY DIVISION WAREHOUSE/GARAGE	CDOT
3124 S SACRAMENTO AVE	BRIDGE REPAIR SHOP AND WAREHOUSE	CDOT
7800 S OAKLEY AVE	CDOT BUREAU OF ELECTRICITY	CDOT
1642 N BESLY CT	HEALTH DEPARTMENT TRAINING AND DIASTER RECOVERY FACILITY	CDPH
2133 W LEXINGTON ST	WEST NILE ABATEMENT CENTER	CDPH
2160 W OGDEN AVE	SACHS CLINIC	CDPH
2400 S KEDZIE AVE	WESTSIDE HEALTH CLINIC	CDPH
3512 W MONTROSE AVE	EMERGENCY STORAGE	CDPH
4150 W 55TH ST	GREATER LAWN HEALTH CENTER	CDPH
4909 W DIVISION ST	AUSTIN CLINIC	CDPH
800 E 55TH ST	FAMILY FRIEND HEALTH CENTER/WIC OFFICE	CDPH
1713 S ASHLAND AVE	LOWER WEST NEIGHBORHOOD HEALTH CENTER	CDPH/Tenant
200 E 115TH ST	ROSELAND NEIGHBORHOOD HEALTH CENTER	CDPH/Tenant
2938 E 89TH ST	SOUTH CHICAGO HEALTH CENTER	CDPH/Tenant
641 W 63RD ST	ENGLEWOOD HEALTH CENTER	CDPH/Tenant
9059 S COTTAGE GROVE AVE	BURNSIDE COMMUNITY CENTER	CDPH/Tenant
101 E 79TH ST	FIRE ENGINE COMPANY 122	CFD
1010 S CLINTON ST	FIRE PREVENTION BUILDING	CFD
10400 S VINCENNES AVE	FIRE HOOK AND LADDER 24	CFD
10412 S VINCENNES AVE	ZONE 9 TRANSMITTER STATION	CFD
1044 N ORLEANS ST	FIRE DEPT - AIR MASK AND SAFETY	CFD
10458 S HOXIE AVE	FIRE ENGINE COMPANY 81 - DISTRICT 6	CFD
1052 W WAVELAND AVE	FIRE ENGINE COMPANY 78	CFD
10615 S EWING AVE	FIRE ENGINE COMPANY 74	CFD
1125 N ASHLAND AVE	FIRE ENGINE COMPANY 30	CFD
1129 W CHICAGO AVE	FIRE ENGINE COMPANY 14	CFD
11940 S PEORIA ST	FIRE ENGINE COMPANY 115	CFD
11958 S STATE ST	FIRE ENGINE COMPANY 75	CFD
1200 W WILSON AVE	FIRE ENGINE COMPANY 83	CFD
1244 N WESTERN AVE	FIRE ENGINE COMPANY 57	CFD
12701 S DOTY AVE	FIRE ENGINE COMPANY 80	CFD
13359 S BURLEY AVE	FIRE ENGINE COMPANY 97	CFD
1338 S CLINTON ST	FIRE ACADEMY - SOUTH	CFD
1360 S BLUE ISLAND AVE	FIRE ENGINE COMPANY 18	CFD
1440 E 67TH ST	FIRE ENGINE COMPANY 63	CFD
1724 W 95TH ST	FIRE ENGINE COMPANY 121	CFD
1747 N PULASKI RD	FIRE ENGINE COMPANY 76	CFD
1901 N DAMEN AVE	FIRE ENGINE COMPANY 35	CFD
202 E CHICAGO AVE	FIRE ENGINE COMPANY 98	CFD

212 W CERMAK RD	FIRE ENGINE COMPANY 8	CFD
2179 N STAVE ST	FIRE ENGINE COMPANY 43	CFD
2214 W BARRY AVE	FIRE ENGINE COMPANY 56	CFD
2215 W 51ST ST	FIRE ENGINE COMPANY 123	CFD
2236 W 69TH ST	FIRE ENGINE COMPANY 101	CFD
2322 W FOSTER AVE	FIRE ENGINE COMPANY 110	CFD
2323 N NATCHEZ AVE	FIRE ENGINE COMPANY 125	CFD
2343 S KEDZIE AVE	FIRE ENGINE COMPANY 109	CFD
25 S LAFLIN ST	FIRE ENGINE COMPANY 103	CFD
259 N COLUMBUS DR	FIRE ENGINE COMPANY 13	CFD
2714 N HALSTED ST	FIRE ENGINE COMPANY 55	CFD
2827 N PULASKI RD	FIRE ENGINE COMPANY 91	CFD
3002 W 42ND ST	FIRE ENGINE COMPANY 65	CFD
3015 W 31ST ST	FIRE SUPPLY AND LOGISTICS	CFD
3027 E 93RD ST	FIRE ENGINE COMPANY 46	CFD
3040 S SACRAMENTO AVE	EMS SUPPORT LOGISTICS	CFD
3042 S KEDVALE AVE	FIRE ENGINE COMPANY 99	CFD
3112 W 111TH ST	FIRE ENGINE COMPANY 92	CFD
324 S DESPLAINES ST	FIRE ENGINE COMPANY 5	CFD
330 W 104TH ST	FIRE ENGINE COMPANY 93	CFD
34 E 114TH ST	FIRE ENGINE COMPANY 62	CFD
3401 N ELSTON AVE	FIRE ENGINE COMPANY 106 - DISTRICT 2	CFD
3421 S CALUMET AVE	FIRE ENGINE COMPANY 19	CFD
3509 S LOWE AVE	FIRE ENGINE COMPANY 29	CFD
3637 W 59TH ST	FIRE ENGINE COMPANY 88	CFD
3918 N HARLEM AVE	FIRE ENGINE COMPANY 86	CFD
3945 W PETERSON AVE	FIRE ENGINE COMPANY 89	CFD
3950 S HONORE ST	FIRE WAREHOUSE	CFD
4017 N TRIPP AVE	FIRE ENGINE COMPANY 69	CFD
412 N KEDZIE AVE	FIRE ENGINE COMPANY 44	CFD
419 S WELLS ST	FIRE ENGINE COMPANY 1	CFD
432 E MARQUETTE RD	FIRE ENGINE COMPANY 47	CFD
4401 S ASHLAND AVE	FIRE ENGINE COMPANY 49	CFD
4426 N KEDZIE AVE	FIRE ENGINE COMPANY 124	CFD
444 N DEARBORN ST	FIRE PREVENTION BUREAU	CFD
4600 S COTTAGE GROVE AVE	FIRE ENGINE COMPANY 45	CFD
4625 N MILWAUKEE AVE	FIRE ENGINE COMPANY 108 - DISTRICT 3	CFD
4900 W CHICAGO AVE	FIRE ENGINE COMPANY 117 - DISTRICT 4	CFD
4911 W BELMONT AVE	FIRE ENGINE COMPANY 7	CFD
5000 S UNION AVE	FIRE ENGINE COMPANY 50	CFD
5200 W 63RD ST	FIRE ENGINE COMPANY 127 - DISTRICT 7 (MIDWAY)	CFD
5212 W HARRISON ST	FIRE ENGINE COMPANY 113	CFD
5258 W GRAND AVE	FIRE ENGINE COMPANY 68	CFD
53 E PERSHING RD	FIRE ENGINE COMPANY 16	CFD
5343 N CUMBERLAND AVE	FIRE ENGINE COMPANY 11	CFD
55 W ILLINOIS ST	FIRE ENGINE COMPANY 42	CFD
5559 S NARRAGANSETT AVE	FIRE ENGINE COMPANY 32	CFD
558 W DE KOVEN ST	R. J. QUINN ACADEMY	CFD
5758 W GRACE ST	FIRE ENGINE COMPANY 94	CFD
5955 S ASHLAND AVE	FIRE ENGINE COMPANY 116 - DISTRICT 5	CFD

6030 N AVONDALE AVE	FIRE ENGINE COMPANY 119	CFD
6030 N CLARK ST	FIRE ENGINE COMPANIES 59 AND 70	CFD
605 W ARMITAGE AVE	FIRE ENGINE COMPANY 22	CFD
6239 N CALIFORNIA AVE	FIRE ENGINE COMPANY 71	CFD
6424 N LEHIGH AVE	FIRE ENGINE COMPANY 79	CFD
7313 S KINGSTON AVE	FIRE ENGINE COMPANY 126	CFD
7340 N CLARK ST	FIRE ENGINE COMPANY 102	CFD
7659 S PULASKI RD	FIRE ENGINE COMPANY 64	CFD
8026 S KEDZIE AVE	FIRE ENGINE COMPANY 15	CFD
8120 S ASHLAND AVE	FIRE ENGINE COMPANY 129	CFD
817 E 91ST ST	FIRE ENGINE COMPANY 82	CFD
8630 S EMERALD AVE	FIRE ENGINE COMPANY 73	CFD
11035 S HOMEWOOD AVE	FIRE ENGINE COMPANY 120	CFD/DSS
1160 N LARRABEE ST	18TH DISTRICT POLICE STATION	CPD
11615 S INDIANA AVE	AREA SOUTH POLICE OPERATIONS	CPD
1300 W JACKSON BLVD	POLICE TRAINING ACADEMY	CPD
1412 S BLUE ISLAND AVE	12TH DISTRICT POLICE STATION	CPD
1438 W 63RD ST	7TH DISTRICT POLICE STATION	CPD
1718 S STATE ST	1ST DISTRICT POLICE STATION	CPD
1732 W BYRON ST	POLICE - SECURITY DETAIL	CPD
1759 W ADAMS ST	POLICE COUNSELING	CPD
1900 W MONTEREY AVE	22ND DISTRICT POLICE STATION	CPD
2150 N CALIFORNIA AVE	14TH DISTRICT POLICE STATION	CPD
2255 E 103RD ST	4TH DISTRICT POLICE STATION	CPD
2452 W BELMONT AVE	AREA NORTH DETECTIVES, 19TH DISTRICT LOCK-UP	CPD
3120 S HALSTED ST	9TH DISTRICT POLICE STATION	CPD
3151 W HARRISON ST	11TH DISTRICT POLICE STATION (AREA 4)	CPD
320 W TOUHY AVE	POLICE CANINE TRAINING UNIT	CPD
3315 W OGDEN AVE	10TH DISTRICT POLICE STATION	CPD
3340 W FILLMORE ST	HOMAN SQUARE	CPD
3420 W 63RD ST	8TH DISTRICT POLICE STATION	CPD
3920 S MICHIGAN AVE	POLICE EVIDENCE WAREHOUSE	CPD
4650 N PULASKI RD	17TH DISTRICT POLICE STATION	CPD
5101 S WENTWORTH AVE	2ND DISTRICT POLICE STATION (AREA 1)	CPD
5151 N MILWAUKEE AVE	16TH DISTRICT POLICE STATION	CPD
5400 N LINCOLN AVE	20TH DISTRICT POLICE STATION	CPD
5555 W GRAND AVE	25TH DISTRICT POLICE STATION AND AREA 5 GARAGE	CPD
5701 W MADISON ST	15TH DISTRICT POLICE STATION	CPD
6120 S RACINE AVE	GANG ENFORCEMENT/FORMER PD 7	CPD
627 N ALBANY AVE	INTERNAL AFFAIRS	CPD
6355 S WENTWORTH AVE	POLICE UNIT - SECURE COMMUNICATION TEST POINT	CPD
6464 N CLARK ST	24TH DISTRICT POLICE STATION	CPD
7040 S COTTAGE GROVE AVE	3RD DISTRICT POLICE STATION	CPD
7059 S SOUTH SHORE DR	MOUNTED PATROL	CPD
727 E 111TH ST	5TH DISTRICT POLICE STATION (AREA 2)	CPD
7808 S HALSTED ST	6TH DISTRICT POLICE STATION	CPD
850 W ADDISON ST	19TH DISTRICT POLICE STATION	CPD
3510 S MICHIGAN AVE	CHICAGO PUBLIC SAFETY HEADQUARTERS	CPD/CFD
1000 E 73RD ST	GREATER GRAND CROSSING LIBRARY	CPL
11001 S INDIANA AVE	PULLMAN LIBRARY	CPL

1101 W TAYLOR ST	ROOSEVELT LIBRARY	CPL
11010 S KEDZIE AVE	MOUNT GREENWOOD LIBRARY	CPL
11071 S HOYNE AVE	WALKER LIBRARY	CPL
115 S PULASKI RD	LEGLER LIBRARY	CPL
1150 W FULLERTON AVE	LINCOLN PARK LIBRARY	CPL
1226 W AINSLIE ST	BEZAZIAN LIBRARY	CPL
1350 W 89TH ST	BRAINERD LIBRARY	CPL
1605 N TROY ST	HUMBOLDT PARK LIBRARY	CPL
1659 W MELROSE ST	LINCOLN BELMONT LIBRARY	CPL
1701 N MILWAUKEE AVE	BUCKTOWN/WICKER PARK BRANCH LIBRARY	CPL
1745 W 63RD ST	WEST ENGLEWOOD LIBRARY	CPL
1805 S LOOMIS ST	RUDY LOZANO LIBRARY	CPL
1915 W 35TH ST	MCKINLEY PARK LIBRARY	CPL
1962 W 95TH ST	BEVERLY BRANCH LIBRARY	CPL
2100 S WENTWORTH AVE	CHINATOWN LIBRARY	CPL
2111 W 47TH ST	BACK OF THE YARDS LIBRARY	CPL
2311 S KEDZIE AVE	LITTLE VILLAGE BRANCH LIBRARY	CPL
2401 E 100TH ST	JEFFREY MANOR LIBRARY	CPL
2505 E 73RD ST	SOUTH SHORE LIBRARY	CPL
2708 S PULASKI RD	JOHN TOMAN LIBRARY	CPL
2807 W 55TH ST	GAGE PARK LIBRARY	CPL
3030 W FULLERTON AVE	LOGAN SQUARE LIBRARY	CPL
3048 E 130TH ST	HEGEWISCH LIBRARY	CPL
310 W DIVISION ST	NEAR NORTH BRANCH LIBRARY	CPL
3104 N NARRAGANSETT AVE	WEST BELMONT LIBRARY	CPL
3353 W 13TH ST	FREDRICK A. DOUGLASS LIBRARY	CPL
3400 S HALSTED ST	RICHARD J. DALEY LIBRARY	CPL
3401 W FOSTER AVE	ALBANY PARK LIBRARY	CPL
3548 W IRVING PARK RD	INDEPENDENCE BRANCH LIBRARY	CPL
3647 S STATE ST	CHICAGO BEE LIBRARY	CPL
400 S STATE ST	HAROLD WASHINGTON LIBRARY	CPL
4020 W 63RD ST	WEST LAWN LIBRARY	CPL
4101 W 79TH ST	SCOTTSDALE LIBRARY	CPL
4300 W NORTH AVE	NORTH PULASKI BRANCH LIBRARY	CPL
4314 S ARCHER AVE	BRIGHTON PARK LIBRARY	CPL
4400 W LAWRENCE AVE	MAYFAIR LIBRARY	CPL
4455 N LINCOLN AVE	SULZER REGIONAL LIBRARY	CPL
4801 S MICHIGAN AVE	GEORGE CLEVELAND HALL LIBRARY	CPL
4856 W CHICAGO AVE	WEST CHICAGO LIBRARY	CPL
4904 S LAKE PARK AVE	T.M. BLACKSTONE LIBRARY	CPL
5055 S ARCHER AVE	ARCHER HEIGHTS LIBRARY	CPL
5108 W BELMONT AVE	PORTAGE - CRAGIN LIBRARY	CPL
5363 W LAWRENCE AVE	JEFFERSON PARK LIBRARY	CPL
5440 S RACINE AVE	SHERMAN PARK LIBRARY	CPL
5615 W RACE AVE	AUSTIN LIBRARY	CPL
5630 N LINCOLN AVE	BUDLONG WOODS LIBRARY	CPL
5724 W NORTH AVE	NORTH AUSTIN LIBRARY	CPL
6000 N BROADWAY ST	EDGEWATER LIBRARY	CPL
6083 N NORTHWEST HWY	CARL B. RODEN LIBRARY	CPL
6100 W IRVING PARK RD	AUSTIN IRVING LIBRARY	CPL

6120 S KEDZIE AVE	CHICAGO LAWN LIBRARY	CPL
6151 S NORMAL BLVD	KELLY LIBRARY	CPL
6348 S ARCHER AVE	GARFIELD RIDGE LIBRARY	CPL
642 W 43RD ST	CANARYVILLE LIBRARY	CPL
6423 W 63RD PL	CLEARING LIBRARY	CPL
6435 N CALIFORNIA AVE	NORTHTOWN LIBRARY	CPL
644 W BELMONT AVE	JOHN MERLO LIBRARY	CPL
6871 W BELDEN AVE	GALEWOOD-MONT CLARE LIBRARY	CPL
6907 N CLARK ST	ROGERS PARK LIBRARY	CPL
733 N KEDZIE AVE	RICHARD M. DALEY LIBRARY	CPL
7454 W BALMORAL AVE	ORIOLE PARK LIBRARY	CPL
7455 W CORNELIA AVE	DUNNING LIBRARY	CPL
7506 S RACINE AVE	THURGOOD MARSHALL LIBRARY	CPL
8148 S STONY ISLAND AVE	AVALON BRANCH LIBRARY	CPL
830 W 119TH ST	WEST PULLMAN LIBRARY	CPL
8530 S KEDZIE AVE	WRIGHTWOOD - ASHBURN LIBRARY	CPL
9055 S HOUSTON AVE	SOUTH CHICAGO LIBRARY	CPL
929 W BUENA AVE	UPTOWN LIBRARY	CPL
9525 S HALSTED ST	WOODSON REGIONAL LIBRARY	CPL
1300 N ASTOR ST	MAXIMS	DCASE
163 E PEARSON ST	VISITOR CENTER	DCASE
1821 S INDIANA AVE	CLARKE HOUSE	DCASE
66 E RANDOLPH ST	GALLERY 37	DCASE
78 E WASHINGTON ST	CHICAGO CULTURAL CENTER	DCASE
800 S DESPLAINES ST	MAXWELL STREET PERMIT CENTER	DCASE
72 E RANDOLPH ST	72 E. RANDOLPH OFFICES	DCASE/Tenant
10426 S MICHIGAN AVE	ROSELAND SENIOR CENTER	DFSS
1767 E 79TH ST	ATLAS SENIOR CENTER	DFSS
2019 W LAWRENCE AVE	LEVY SENIOR CENTER	DFSS
2021 S MORGAN ST	PILSEN SENIOR CENTER	DFSS
2715 N CICERO AVE	KELVYN PARK SENIOR CENTER	DFSS
3160 N MILWAUKEE AVE	COPERNICUS SENIOR CENTER	DFSS
3900 S CALIFORNIA AVE	JUVENILE INTERVENTION AND SUPPORT FACILITY	DFSS
4100 N LONG AVE	PORTAGE PARK SENIOR CENTER	DFSS
4310 W NORTH AVE	TRINA DAVILA CENTER	DFSS
49 E 95TH ST	ABBOTT PARK CENTER	DFSS
5071 W CONGRESS PKWY	AUSTIN SATELLITE SENIOR CENTER	DFSS
6117 S KEDZIE AVE	SOUTHWEST SENIOR CENTER	DFSS
657 W 63RD ST	ENGLEWOOD SENIOR CENTER	DFSS
8650 S COMMERCIAL AVE	SOUTH CHICAGO CENTER	DFSS
9233 S BURLEY AVE	SOUTH CHICAGO SENIOR CENTER	DFSS
1140 W 79TH ST	AUBURN GRESHAM COMMUNITY CENTER	DFSS/Tenant
4314 S COTTAGE GROVE AVE	MARTIN LUTHER KING JR. CENTER	DFSS/Tenant
10101 S STONY ISLAND AVE	101ST AND STONY ISLAND SALT DOME	DSS
1150 N NORTH BRANCH ST	32ND AND 42ND WARD YARD	DSS
1320 W CONCORD PL	43RD WARD YARD	DSS
1619 E 73RD ST	5TH AND 6TH WARD YARD	DSS
1754 S CLARK ST	STREET OPERATIONS	DSS
1756 W 74TH ST	15TH AND 18TH WARD YARD	DSS
1827 N MONTICELLO AVE	35TH WARD YARD	DSS

1944 W CULLERTON ST	25TH WARD YARD	DSS
2352 S ASHLAND AVE	FORESTRY AND RODENT CONTROL HQ	DSS
2505 W GRAND AVE	1ST AND 27TH WARD YARD	DSS
3357 W 55TH ST	14TH WARD YARD	DSS
3400 S LAWNDALE AVE	22ND WARD YARD	DSS
3500 N SPAULDING AVE	DSS - SNOW OPERATIONS	DSS
3559 S MAPLEWOOD AVE	12TH WARD YARD	DSS
3720 W 55TH ST	13TH WARD YARD	DSS
3812 S IRON ST	GARAGE	DSS
4211 W FERDINAND ST	28TH WARD YARD	DSS
4211 W FERDINAND ST	SALT PILE	DSS
4233 W FERDINAND ST	GARAGE	DSS
4352 S COTTAGE GROVE AVE	4TH WARD YARD	DSS
4501 N MARINE DR	SALT PILE	DSS
4605 W LAWRENCE AVE	39TH WARD YARD	DSS
4619 W HOMER ST	SALT PILE	DSS
4830 W CHICAGO AVE	37TH WARD YARD	DSS
5556 S CENTRAL AVE	23RD WARD YARD	DSS
5605 W GRAND AVE	29TH AND 30TH WARD YARD	DSS
5853 N BROADWAY ST	46TH AND 48TH WARD YARD	DSS
611 W 69TH ST	17TH WARD YARD	DSS
6359 N MANNHEIM RD	OHARE AUTO POUND	DSS
6401 S EVANS AVE	20TH WARD YARD	DSS
6441 N RAVENSWOOD AVE	49TH AND 50TH WARD YARD GARAGE	DSS
6441 N RAVENSWOOD AVE	49TH AND 50TH WARD YARDS	DSS
701 N SACRAMENTO BLVD	AUTO POUND NO. 06	DSS
8559 S VINCENNES AVE	21ST WARD YARD	DSS
9160 S HARBOR AVE	7TH AND 10TH WARD YARDS	DSS
1633 W MEDILL AVE	MEDILL MATERIAL RECYCLING AND RESORTING FACILITY	DSS/Contractor
3757 W 34TH ST	SOUTHWEST MATERIAL RECYCLING AND RESORTING FACILITY	DSS/Contractor
750 N KILBOURN AVE	NW MATERIAL RECYCLING AND RESTORING FACILITY	DSS/Contractor
4201 N OAK PARK AVE	SALT PILE	DSS/Tenant
5333 N WESTERN AVE	40TH AND 47TH WARD YARD	DSS/Tenant
1000 E OHIO ST	JARDINE WATER COMPLEX	DWM
1015 S CENTRAL PARK AVE	CENTRAL PARK PUMPING STATION	DWM
1040 W 95TH ST	SOUTH DISTRICT STORAGE YARD	DWM
1424 W PERSHING RD	WATER DEPARTMENT CENTRAL DISTRICT	DWM
1747 N SPRINGFIELD AVE	SPRINGFIELD PUMPING STATION	DWM
2250 W EASTWOOD AVE	THOMAS JEFFERSON PUMPING STATION	DWM
3148 S SACRAMENTO AVE	METER SHOP	DWM
3300 E CHELTENHAM PL	SOUTH WATER PURIFICATION PLANT	DWM
351 W 104TH ST	ROSELAND PUMPING STATION	DWM
3901 S ASHLAND AVE	CENTRAL DISTRICT DISPATCH AND GARAGE	DWM
4850 W WILSON AVE	MAYFAIR PUMPING STATION	DWM
4900 W SUNNYSIDE AVE	WATER MANAGEMENT OPERATIONS	DWM
5555 W LEXINGTON ST	LEXINGTON PUMPING STATION	DWM
6801 S OGLESBY AVE	68TH STREET PUMPING STATION	DWM
735 W HARRISON ST	CERMAK PUMPING STATION	DWM
745 W WILSON AVE	LAKEVIEW PUMPING STATION	DWM

7521 S WESTERN AVE	SOUTH DISTRICT WAREHOUSE	DWM
806 N MICHIGAN AVE	HISTORIC WATER TOWER	DWM
811 N MICHIGAN AVE	CHICAGO AVENUE PUMPING STATION	DWM
8422 S KEDVALE AVE	SOUTHWEST PUMPING STATION	DWM
9536 S GENOA AVE	WATER FACILITY	DWM
4808 W WILSON AVE	MAYFAIR	DWM/DSS
69 W WASHINGTON ST	69 W. WASHINGTON	IG
1201 S CAMPBELL AVE	LAWNDALE MENTAL HEALTH CLINIC/GARAGE	Multiple
121 N LA SALLE ST	CITY HALL	Multiple
1450 N LARRABEE ST	NEAR NORTH HS	Multiple
1717 W PERSHING RD	DSS TRAFFIC SERVICES AND CDOT CONSTRUCTION	Multiple
1819 W PERSHING RD	PERSHING ROAD CENTER BUILDING	Multiple
1869 W PERSHING RD	PERSHING ROAD WEST BUILDING	Multiple
2006 E 95TH ST	95TH ST. PAYMENT CENTER	Multiple
2045 W WASHINGTON ST	2045 W WASHINGTON BUILDING	Multiple
2102 W OGDEN AVE	CENTRAL WEST COMMUNITY CENTER	Multiple
2300 W 52ND ST	OFF ROAD MAINTENANCE FACILITY/DSS GRID GARBAGE	Multiple
2550 W ADDISON ST	ADDISON PAYMENT CENTER	Multiple
30 N LA SALLE ST	30 N. LA SALLE	Multiple
3050 S SACRAMENTO AVE	AMBULANCE ANNEX	Multiple
333 S STATE ST	DEPAUL CENTER	Multiple
3954 E FOREMAN DR	AIR & SEA RESCUE	Multiple
400 W SUPERIOR ST	CENTRAL HEARING FACILITY	Multiple
4243 N NEENAH AVE	38TH WARD YARD	Multiple
4770 S KEDZIE AVE	KEDZIE PAYMENT CENTER	Multiple
5672 S ARCHER AVE	GARFIELD RIDGE SENIOR CENTER AND CITY CLERK SOUTH SIDE SATELLITE OFFICE	Multiple
900 E 103RD ST	103RD STREET WAREHOUSE/GARAGE	Multiple
940 W EXCHANGE AVE	STREET OPERATIONS AND BOOTING HEADQUARTERS	Multiple
845 W WILSON AVE	UPTOWN HEALTH CENTER	Multiple/Tenant
10 S KEDZIE AVE	GARFIELD CENTER	Multiple/Tenants
740 N SEDGWICK ST	740 N. SEDGWICK	MultipleTenant
10400 S HARVARD AVE	RADIO TOWER ENVIRONMENTAL STORAGE ROOM	OEMC
1345 W MADISON ST	OEMC GARAGE	OEMC
1411 W MADISON ST	911 CENTER	OEMC/TENANT
1240 S DAMEN AVE	CHICAGO CHILDRENS ADVOCACY CENTER	Tenant
3525 S MICHIGAN AVE	IRON'S HEALTH CLINIC	Tenant
5349 S WABASH AVE	FORMER FIRE ENGINE COMPANY 61	Tenant
6337 S WOODLAWN AVE	WOODLAWN BEHAVIORAL HEALTH CENTER	Tenant
6843 S HARPER AVE	VACANT EC 100	Tenant
8828 S STONY ISLAND AVE	FORMER AVALON LIBRARY	Tenant
937 N WOOD ST	FORMER PD13	Tenant

Attachment J- Data Center Agreements and Licenses

Vendor Support Contracts	Coverage
EMC Hardware & Software	24 X7 Onsite / Telephone
Oracle Exadata Hardware & Software 24 X7 onsite/ Telephone	24 X 7 Onsite /Telephone/Remote Access
Dell Compellent SAN Hardware	24 X7 Telephone/Remote Access
Dell Blade Server Hardware	24 X 7 Onsite /Telephone
Cisco Hardware Fiber Directors , Switches	24 x 7 Onsite /Telephone
Quantum Tape Library Hardware Support	9 X 5 Support
Delta Computer 3rd party M5000 Server Support	9 X 5 Onsite
Unisys – Nagios (servers & Services monitoring at both data centers)	24 x 7 Onsite /Telephone
Unisys - Solarwinds (servers & Services monitoring at both data centers)	24 x 7 Onsite /Telephone
Schneider Electric (APC A/C In Row Coolers & UPS)	24 x 7 Onsite /Telephone
Eaton (UPS)	24 x 7 Onsite /Telephone
ThermFlo ((Liebert A/C Units & roof chiller)	24 x 7 Onsite /Telephone
Orr Protection & COC's 2FM (Fire Suppression)	24 x 7 Onsite /Telephone
COC's 2FM (Artic Chill roof chiller for APC Schneider In Row Units)	24 x 7 Onsite /Telephone

Attachment K - Data Center Work in Progress

Replace Dell M1000 Blade Server Chassis with Dell FX2 Series Chassis. Chassis exist at both Data Centers Pershing & Harold Washington (qty 500+ virtual servers in both Windows and Unix environments)
Install EMC Secure NAS Storage at Harold Washington Data Center for HIPAA data.
Replace COC NAS Storage at Harold Washinton with current Dell Chassis
Migrate CPL's Data Center storage to COC Harold Washington storage.
Replace CPL's virtual and physical servers (qty of 25+) with new COC server environment at Harold Washington.
Work with COC Network team to migrate/interface CPL Data Center network to COC HWL Data Center network environment. Includes but not limited to standing up Palo Alto firewalls.
Update Quantum Tape Library (500 tape slots) robotic arm and firmware. Update tape drive to LTO7
Migrate COC's archive email from onsite Enterprise Vault to O365 Cloud Environment. This would free up 80TB of onsite storage and backup tapes.
Setup Redudent Blade Server Virtual Chassis for PCI environment
Migrate Production / Development / QA database environments from flat unsecured network to tiered environment protected by firewalls. In addition, move database off of old physical Oracle M5000 server chassis to new T-5 & T-7 chassis.
Install Cisco 10GB Copper Ethernet Switches at Pershing to provide bandwidth for new physical server with inbedded 10GB Ethernet interfaces.
New Physical Room at Pershing with shared workspace & meeting environment to be used for Data Center Support Engineers and Data Center Support Vendors.
[DD1]

Attachment L - City of Chicago Information Security and Technology Policies

Refer to the attached link:

https://www.cityofchicago.org/content/dam/city/depts/doit/supp_info/IS%20and%20IT%20Policies/CoC_IT_IS_Policy_Set_ver_RC_05.pdf

Attachment M - Data Network Agreements and Licenses

Enterprise Network Equipment - Cisco SMARTnet Enterprise Network Equipment Maintenance/Support
Enterprise Firewalls – Palo Alto Premium Support Enterprise Firewall Maintenance/Support
Enterprise Load Balancers – F5 Premium Support Enterprise Load Balancer Maintenance/Support
Enterprise DDI Services (Secure DNS, DHCP, and IPAM) – Infoblox Premium Support Enterprise DDI Services Maintenance/Support

Attachment N - Data Network Work in Progress

Enterprise VoIP Migration Project (16,000+ End Points)	
2+ Year Project – Complete Deployment in 2018	
Enterprise WLAN Redesign / Refresh Project	
Re-architect Overall Design for our Enterprise WLAN Solution; Purchase/Install new Infrastructure	

Attachment O - City and Agencies Help Desk Volume

1.0 Call Volume Ticket/Management 2010 - 2015

	All 2010	All 2011	All 2012	All 2013	All 2014	All 2015	Average
Calls Offered	114,699	114,518	121,460	93,374	79,366	85,124	101,424
Calls Answered	94,060	97,639	110,282	88,148	77,055	81,594	91,463
Incidents Created	80,916	79,661	98,644	84,268	77,582	81,278	83,725
Incidents Closed	79,078	78,244	94,908	76,569	73,693	77,256	79,958

2.0 Call Volume Ticket/Management 2016

	Jan- 16	Feb-16	Mar- 16	Apr- 16	May- 16	Jun- 16	Jul-16	Aug- 16	Sep- 16	YTD 2016	YTD Average
Calls Offered	9,044	11,097	9,541	8,314	7,891	8,514	7,961	8,104	8,733	79199	8,800
Calls Answered	8,724	10,104	9,155	8,058	7,772	8,266	7,619	7,894	8,389	75981	8,442
Incidents Created	8,016	7,596	7,900	7,365	7,371	7,729	7,283	7,410	7,771	68441	7,605
Incidents Closed	6,820	7,269	8,294	7,438	7,212	7,373	7,014	7,035	7,363	65818	7,313

Attachment P - Definitions

"Abandonment" is defined as Calls received at Help Desk that enter the queue and that are terminated (End-User hang up) prior to pickup by human operator or after voice response unit options (VRU) have been selected. The assumption is that the Caller hung up because Call took too long to answer.

"Acceptance," "Acceptance Procedure" and "Acceptance Testing Period" are all defined in Sections 3 and 4.

"Access Line" refers to the connection between a customer premises Network interface and the Local Exchange Carrier (LEC) that provides access to the PSTN.

"Administrative Functions" means routine functions such as setting up End-User IDs, changing authorization tables, changing account codes, and similar functions handled by Provider.

"Affiliate" means, as to any Person, any other Person that, now or in the future, directly or indirectly, controls, is controlled by, or is under common control with, such Person, whether through ownership of voting securities or otherwise. For this purpose, and without limiting the foregoing, any Person that owns more than twenty percent (20%) of the outstanding voting securities of any other Person shall be deemed to control such other Person.

"After Hours Support" shall not apply to Normal Help Desk Business Day Hours.

"Agreement" means this Information Technology Sourcing Services Agreement, including all Schedules, Exhibits, Appendices, Attachments, Addenda and other documents attached hereto or incorporated herein by reference, as amended from time-to-time.

"Assets" means equipment, hardware, Software, contracts, leases and other assets used in provision of the Services. Assets are considered in use as of the date of deployment.

"Availability" is the percentage of time that a given Service or system is fully operational and available when its resources are called upon at a random point in time. Availability represents a measure of the fraction of time (expressed as a percentage) during a defined period when the Service or system is deemed to be equal to or better than a SLR.

Availability (%) = 100% - Unavailability (%)

Where Unavailability is defined as:

$$\frac{\sum \text{Unplanned Outage Duration} \times 100\%}{\text{Schedule Time} - \text{Planned Outages}}$$

Availability measurement calculations shall be limited to those Service and system components that are directly under the control of Provider, as well as Services and systems components for which Provider is responsible for subcontracting to Third Parties. Availability measurement calculations shall exclude any Service or system elements downtime that is caused by a Force Majeure Event, as well as any Service or system that is controlled exclusively by Service Recipient.

"Availability of Application" refers to the time applications will be running and operable according to Specifications.

"Availability of Support Staff" refers to the schedule of time that the Provider will have staff available to respond to Service Requests or Level 2 help desk Calls.

"Baseline" means, for each Service the quantity of Resource Units included in the Annual Services Fees.

"Benchmarking Company" is defined in Section 5.7.

"**Break/Fix**" refers to support services are required to Resolve an Incident.

"**Bridge Group**" or "**Bridge**" means the production control team responsible for providing support for client interactive sessions and applets in the production cluster environment.

"**Business Days**" means Monday through Friday, excluding Service Recipient Holidays and furlough days in which all non-critical Service Recipient Offices are closed and such day is a non-paid day for Service Recipient regular employees. Services for functions such as Help Desk and Data Center Operations shall not be limited to Business Days. Such services shall be performed 365/24x7.

"**Business Day Hours**" means a local Business Day "window of coverage" hours within which Service Recipient requires the Services to be provided for a specific SLR. Unless otherwise specified within a specific SLR, normal Business Day Hours exclude Service Recipient Holidays, weekends, and similar non-working periods generally recognized by each Service Recipient business location. While 'normal' business hours are generally Monday – Friday 0600-2100 Central time, most schedules operate or provide support on a 7x24x365 (0000-2400) basis and as defined in Section 4.7 Help Desk Availability SLR.

"**Business Day Support**" refers to those hours during which personnel WILL be available to provide consolidated Help Desk support to End-Users. Such support includes answering phone calls and e-mails, opening Help Desk Trouble Tickets, first Call Resolution, and categorizing and routing Help Desk Trouble Tickets. Help Desk operations shall be 365/24x7 and shall be staffed accordingly.

"**Call**" - A Call is counted for each unique Incident that is received via telephone, voicemail, fax and/or e-mail, involving a separate individual event that results in opening a Help Desk Trouble Ticket. For Incidents where multiple calls are related to a single point of failure (that is, calls related to a server outage), such calls will be considered as a single Call; will not result in opening a separate Help Desk Trouble Ticket; and will not be aggregated or counted as individual Calls for measuring Call volume statistics.

"**Call Answer**" - A Call is considered answered when the caller is interacting with a Help Desk agent or when a caller is interacting with a VRU.

"**Call Back**" is defined as a follow-up Call to an End-User after a Help Desk Trouble Ticket is closed to determine level of satisfaction of such End-User.

"**Change in Control**" means: (a) any transaction or combination of transactions as a result of which either a Person or a group of Persons that customarily has acted in concert and that presently is in control of a Party ceases to be in control of such Party; (b) the sale, transfer, exchange or other disposition (including disposition in full or partial dissolution) of fifty percent (50%) or more of the beneficial ownership (as defined in Rule 13(d) of the Securities Exchange Act of 1934) to any other entity or person, of the voting power of a Party, or of the assets of such Party that constitute a substantial or material business segment of such Party; (c) individuals who as of the Effective Date constituted the Board of Directors of a Party cease for any reason to constitute a majority of such Party's Board of Directors then in office; or (d) with respect to Provider, the unit, division or operating group of Provider that is responsible in providing the Services to Service Recipient is sold, transferred or otherwise experiences a change in ownership or control.

"**Change**" means, in an operational context, an addition, modification or deletion to the approved, supported or baselined Assets, Network, application, environment, system, desktop build, associated documentation, and Provider Assets relating thereto. Changes may arise reactively in response to Incidents/Problems or externally imposed requirements (e.g., legislative changes), or proactively from attempts to (a) seek greater efficiency or effectiveness in the provision or delivery of Services; (b) reflect business initiatives; or (c) implement programs, projects or Service improvement initiatives. Changes must be approved by Service Recipient, through the Change Management process, prior to implementation.

"Change Management" shall mean, in an operational context, the Service Recipient approved processes and procedures necessary to manage Changes to the infrastructure, all Assets within the environment, or other operational aspects of the Services with the goal of enabling Service Recipient approved Changes with minimum disruption. Change Management attempts to ensure efficient and prompt handling of all Changes in order to minimize the impact of any Change upon Services. Such Change Management processes and procedures generally include creating Change ticket/record/request, assessing the impact, costs, benefits and risk of proposed Changes, developing business justifications for Changes and obtaining Service Recipient approval to such Change prior to implementation; managing and coordinating Change implementation; and reviewing, reporting and Closing Change tickets/records/requests.

"Close(d)" or **"Closure"** shall mean the completion or Resolution of (a) any Incident, difficulty, In Scope Service Request, Out of Scope Work Order, in each case which must be signed by the Service Recipient Project Executive (or his or her designee) in order to be effective, or (b) any Help Desk Trouble Ticket, which must be signed or orally authorized by the initiating End-User in order to be effective, or (c) any Root Cause Analysis, which must be signed by the Service Recipient Project Executive (or his or her designee) in order to be effective. Closure shall in no event be effective without Service Recipient's authorization. Escalation or forwarding by Provider to another level of support or review of any of the items set forth in (a), (b) or (c) shall not constitute "Closure".

"Confidential Information" means Service Recipient Confidential Information or Provider Confidential Information, as the case may be as defined herein.

"Contract Year" or **"CY"** means each twelve (12) month period beginning on the Effective Date, and on each subsequent anniversary thereof during the Term.

"Correct IMAC Dispatch" means that an IMAC is correctly dispatched, based on the information provided to Provider or that should be reasonably verifiable by Provider, in terms of:

- (a) the action that is to be performed,
- the replacement technology that is to be used, if appropriate,
- the person or location involved,
- the cost center to be charged, and
- the time period in which the IMAC is to occur.

"Critical Milestones" means those milestones, activities, actions and projects identified as such in this Agreement including, without limitation, in any Work Order and/or elsewhere in this Agreement.

"Customer" means a downstream recipient of products or services provided by or through Service Recipient, including the Services provided herein.

"Customer Satisfaction" means a subjective rating obtained through a combination of periodic End-User surveys and feedback from random customer follow-up calls to members of the Service Recipient's IT project management team.

"Deadband" means the percentage variance of Resource Units above or below the Baseline, and within which ARCs and RRCs are not applicable.

"Derivative Works" means a revision, modification, translation, abridgment, compilation, condensation or expansion of the applicable underlying work or any other form in which that work may be recast, transformed or adapted, and which, if prepared without the consent of the copyright owner, would be a copyright infringement.

"Disclosing Party" means the Party that has disclosed Confidential Information to the other Party.

"End-to-End Response Time" is defined as the total elapsed time for a discrete data packet (e.g., ping) to complete a round-trip traversal of the computing infrastructure from a user interface device to a specific computing device resource and return of a response acknowledgement to the point of initiation (i.e.,

"ping"). This shall exclude any local processing overhead time that may result from any Service Recipient or Third Party computing resources over which the Provider has minimal control.

"End-User Satisfaction" means a subjective rating obtained through a combination of periodic End-User surveys and feedback from random End-User follow-up calls.

"Environmental Laws" means all applicable federal, state and local statutes, laws, regulations, rules, ordinances, codes, licenses, orders or permits of any governmental entity relating to environmental matters including, without limitation: (a) the Clean Air Act (42 U.S.C. 7401 et seq.); the Federal Water Pollution Control Act (33 U.S.C. §1251); the Safe Drinking Water Act (42 U.S.C. §5303f et seq.); the Toxic Substances Control Act (15 U.S.C. 552601 et seq.); the Endangered Species Act (16 U.S.C. §1531 et seq.); the Emergency Planning and Community Right-to-Know Act of 1986 (42 U.S.C. 55110011 et seq.); and (b) similar state and local provisions.

"Exception Reporting" is defined in Section 4.4-4.7.

"Exit Plan" is defined in Section 4.3.

"Fee Reductions" means the dollar amount by which the Fees will be reduced based on Provider's failure to: (a) timely achieve any Critical Milestone; or (b) achieve any SLR. All Fee Reductions will be specified in **section 5** and may be paid or credited to Service Recipient at Service Recipient's option.

"Fees" means the fees payable by Service Recipient to Provider hereunder in consideration of Provider's provision of the Services and Other Services.

"First Contact" with a Help Desk human operator is defined as Provider response via telephone, email, web chat resulting from an Incident or Service Request.

"First Contact Resolution" is the percentage of Help Desk Trouble Tickets that the First Contact person answers or Resolves. First Contact Resolution includes warm transfers (i.e., transfers to another person while the End-User is connected via telephone with the Help Desk human operator) to Provider personnel, but excludes (i) warm transfers to non-Provider personnel, (ii) cold transfers (i.e., transfers to another person once the End-User has or has been disconnected from the Help Desk human operator), (iii) dropped telephone calls, and (iv) IMACs (collectively, the **"Exclusions"**).

First Contact Resolution (%) =

Number of Help Desk Trouble Tickets Resolved

Total of Help Desk Trouble Tickets – the Exclusions

"Force Majeure Event" means an act of God, act of governmental body or military authority, fire, explosion, flood, epidemic, riot or civil disturbance, war, sabotage, insurrections, blockades, embargoes, storms or other similar events that are beyond the reasonable control of the affected Party. Notwithstanding the foregoing, "Force Majeure Event" expressly excludes: (a) any event that Provider reasonably could have prevented by any system testing either required to be performed pursuant to the Services or necessary to provide the Services; (b) (i) any single point of failure where Provider was obligated to provide fault tolerant Services; (ii) where fault tolerant architecture was deployed for Service Recipient notwithstanding the absence of specifying same; or (iii) where a fault tolerant infrastructure or architecture should have reasonably been implemented by Provider; (c) any Provider strike, walkout or other labor shortage; and/or (d) any non-performance of a Provider Subcontractor, regardless of cause (unless due to a Force Majeure Event).

"Help Desk Trouble Ticket" or **"Problem Ticket"** or refers to a unique logical electronic record that Provider will create, update, maintain and archive for each Incident. A Help Desk Trouble Ticket is used to record all Service Recipient End-User/Provider interaction pertaining to an Incident and all Provider-related actions, and corresponding date/time, taken to Resolve an Incident, from the time it is first reported to the Help Desk until Incident Resolution Time and closure by the Help Desk. Also, it is used for application change-control traceability.

"Hazardous Materials" means any substances the presence of which requires investigation or remediation under any Environmental Law, or that is or becomes defined as a "hazardous waste," "hazardous substance," pollutant or contaminant under any Environmental Law.

"How To" is defined as an End-User request regarding how to use a feature or function of Help Desk supported Software or hardware.

"IMAC" (Install, Move, Add or Change) means activities performed as pre-scheduled events to install, remove, relocate and upgrade the Service Recipient computing system and/or telecommunications infrastructure components that are covered by this Agreement, and changes refer to modifications to or reconfiguration of features or functions of existing devices. IMACs are included in Services and will be performed at no additional charge to Service Recipient, provided the work can be performed with normally assigned staffing levels. One (1) IMAC is counted for each unique action that occurs during normal business hours. If IMAC-related work must be performed outside of normal Business Day work hours due to operating/scheduling constraints, the parties will mutually agree how these IMACs will be addressed. Any repeat visits to correct problems that arise or result from implementing an IMAC will be considered an Incident and will not be included under the IMAC count. If multiple upgrades or reconfigurations are scheduled for a single piece of equipment, only one (1) IMAC will be counted.

"Incident Resolution Time" or "Outage Duration" (i.e., Time to Repair) means the time elapsed from the initiation of a trouble ticket until service is restored and/or Call is resolved to caller satisfaction. Time to Repair will be measured from the time that the Incident occurred to the time of Incident Resolution, or, with respect to calls to the Help Desk, if applicable, the dispatch of the trouble ticket from the Help Desk to the time of Incident Resolution.

Calculation: Performance = Actual time to resolve/target time to resolve

"In Scope Service Request" means a request, for the performance of work that is not being performed at a particular time but that is within the scope of the Services.

"Incident" means either a (i) single event or (ii) abnormal activity for a function monitored by Provider, each requiring a Provider response typically denoted by a request for service or identification of a problem. Service Recipient will determine the Incident Severity Level of each reported Incident. Repeat visits to correct problems that arise from previously implemented IMACs are considered Incidents, not IMACs, and will not be added to the IMAC count. Provider will provide Service Recipient with an escalation procedure (to be approved by Service Recipient) for resolution of reported and non-reported incidents.

"Incident Resolution" means the point at which Provider has responded to an Incident and Provider has either: (a) conducted and successfully completed a Root Cause Analysis on a problem and appropriately corrected both the results and the cause of the problem; or (b) has provided an appropriate answer to an inquiry or an informational question that is understood by and acceptable to Service Recipient. In both cases, the Incident is not resolved until Service Recipient is convinced and satisfied that it has been resolved.

"IT" means information technology.

"IT Vendor Operations Committee" is defined in Section 4.10

"Local Time" means the standard time at the locations where Services are provided, adjusted for Daylight Savings Time (Summer time) where it applies.

"Location" means any present or future location at which Service Recipient conducts its operations, including offices and facilities.

"Maximum Outage Per Link" is defined as the greatest allowable time that a Network service is unavailable.

"Measurement Interval" means the period in which a given SLR is measured (e.g., one (1) month, one (1) year, etc.). This takes into consideration the impact of continuous outage. For example, a monthly measurement interval for a ninety-nine percent (99%) Minimum Performance for a 24x7 system with eight hours of weekly planned downtime would allow 6.4 hours of a continuous outage, with no other outages during the calendar month. A weekly interval would only allow 1.6 hours of a continuous outage. The Measurement Interval for each SLR shall commence on the "compliance date" set forth in the tables in **Section 4**.

"Measurement Period" means the calendar period in which a measurement for a given Resource Unit is aggregated and measured and reported on (e.g., one (1) month, one (1) year, etc.)

"Measurement Tool" means a tool used to measure equipment, networks and systems, e.g., Availability and usage.

"Middleware" means software that serves as a data-passing intermediary between operating system software and an application. Middleware is also used to describe separate products that serve as the "glue" between two applications; distinct from import and export features that may be built into one of the applications.

"Milestone" is defined as a point in a project plan when completion of a significant component or module is to be completed. Typically, Milestones are expressed as deliverables to Service Recipient in a statement of work. Service Recipient reviews the deliverable to determine that it has been completed to the satisfaction of the terms within the statement of work. If the deliverable is satisfactory, Service Recipient signs off that the milestone has been completed, subject to the Acceptance procedure set forth in Section 4 of the RFP.

"Minimum Performance" or **"SLR Performance %"** means the lowest level of acceptable service performance during the applicable Measurement Interval.

"Network" is comprised of the Local Area Network, Wide Area Network and VPN.

"Network Transit Delays" is defined as round trip transit delay from ingress and egress ports on Premise Devices.

"Normal Help Desk Business Day Hours" - For the purposes of coverage and critical Respond Times, Service Recipient has defined the normal Help Desk Business Day Hours "windows of operations" (excluding normally scheduled company holidays) for the North American Region. Days and times falling out of these ranges are considered outside of normal Business Day Hours. Normal Help Desk Business Day Hours are as set forth in Section 4.7 Help Desk Availability SLR.

"OES" or **"OESs"** means operating environment specification(s).

"OLAP" or **"On-line Analytical Processing"** means a category of database software which provides users the ability to examine, select or change raw data quickly and interactively using pre-defined functions.

"Online Response Time" is defined as the amount of time required to refresh End-User screen from point that enter command is given from End-User device. Includes CICS, IMS, DB2, and TSO.

"Outage" refers to a specialized case of an End-User Break/Fix Call affecting a substantial group of End-Users ("flood calls"); Calls are placed to the service desk to inform, inquire or complain about accomplishing tasks with, accessing or operating IT resources.

"Outage Reporting" Upon detection of a Service outage, Provider will notify the designated Service Recipient contact within the specified time-to-notify interval.

"Out of Scope Service(s)" is defined as services that outside of the services described in Sections 4, 5, and 6 and any Addendum or Exhibits attached to the RFP.

"Out of Scope Work Order" is defined as change requests or statement of works that request services that are outside of the services described in Sections 4, 5, and 6 and any Addendum or Exhibits attached to the RFP.

"Panel" means a group of households which have been recruited by Service Recipient to consistently and continuously report their purchasing behavior

"Party" or **"Parties"** means, individually or collectively, Service Recipient and/or Provider.

"Password Reset" is defined as a specialized End-User request regarding establishing or regaining access privileges to IT resources.

"Performance Target" is defined as the desired level of service that Service Recipient is seeking for that particular Service Level Requirement.

"Person" means any natural person, corporation, limited liability company, limited liability partnership, general partnership, limited partnership, trust, association, governmental organization or agency, political subdivision, body politic or other legal person or entity of any kind, legally constituted.

"Premises Devices" means devices used by Service Recipient End-Users to interface with the computing infrastructure, including Workstations, network-attached printers and other network-attached peripherals.

"Project Estimation Methods and Tools" is defined as a set of disciplines and techniques that allow an IT professional to quantify labor and materials to determine schedule and cost, which is adjusted for risk. Project Estimation Methods and Tools provide a series of questions that allow the professional to input values to a system. The system provides a common frame of reference for the Provider and Service Recipient to understand how cost and schedule were derived.

"Problem" means any dispute or problem arising out of or relating to this Agreement, including those that relate to any of the following:

- (a) an alleged failure by either Party to perform its obligations under this Agreement;
- (b) an alleged inadequacy or delay of either Party's performance under this Agreement;
- (c) a request for products, services or resources, where the Parties disagree whether such products, services or resources are within the scope of the Services (and therefor included in the Fees) or otherwise within the scope of this Agreement; and/or
- (d) a disagreement as to the responsibilities either Party has under this Agreement.

"Provider" means the company, its officers, directors, employees, personnel, agents, representatives, subcontractors, successors and permitted assigns that are or will provide services pursuant to this RFP or in connection to this RFP.

"Provider Confidential Information" means records, data, and other information marked as "confidential" that is obtained by Service Recipient in confidence from Provider or its Subcontractors in connection with this Agreement, except for any information that was: (a) at the time of disclosure to Service Recipient and/or its Affiliates, in the public domain; (b) after disclosure to Service Recipient and/or its Affiliates, published or otherwise made a part of the public domain through no fault of Service Recipient and/or its Affiliates; (c) in the possession of Service Recipient and/or its Affiliates at the time of disclosure to it or them; (d) received after disclosure by Provider to Service Recipient and/or its Affiliates from a Third Party who had a lawful right to disclose such information to Service Recipient and/or its Affiliates; or (e) independently developed by Service Recipient and/or its Affiliates without reference to Provider Confidential Information. For purposes of this provision, information is in the public domain if it is

generally known (through no fault of Service Recipient and/or its Affiliates) to Third Parties that are not subject to nondisclosure restrictions with respect to such information.

"Provider Key Personnel" means, initially, those personnel of Provider and its Subcontractors who are so designated by City of Chicago.

"Provider-Licensed Third Party Software" means software that is owned by a Third Party and licensed by Provider and/or any of its Affiliates that Service Recipient agrees Provider can use to provide the Services as provided in Sections 4, 5, and 6 of the RFP, together with all supporting documentation, media and related materials, including any and all modifications, enhancements, updates, replacements and other Derivative Works thereof.

"Provider-Owned Software" means software that is owned by Provider and/or any of its Affiliates that Service Recipient agrees Provider can use to provide the Services as provided in Sections 4, 5, and 6, together with all supporting documentation, media and related materials, including any and all modifications, enhancements, updates, replacements and other Derivative Works thereof.

"Provider Service Delivery Manager" is defined in Section 4.10

"Public Switched Telephone Network (PSTN)" is defined as the Network of equipment, lines, and controls assembled to establish communication paths between calling and called parties in North America.

"Quality" is defined as a measurement will be based on counting the function points developed during a project and capturing the number of defects introduced into the End-User Acceptance testing environment that were specifically due to code or incorrectly applied configuration.

"Reporting Interval" is defined as the time span between regular performance Reporting Periods.

"Reporting Period" means the interval of time between providing reports. Unless otherwise specified, all reports are provided on a monthly basis, within three (3) business days of the close of the calendar month, unless stated otherwise.

"Resolve" or **"Resolution"** means to repair, replace, reconfigure, reinstall, re-route, or otherwise provide a complete solution to an Incident that returns the system and/or End-User(s) to non-degraded full functionality. Implementing a Workaround is a partial or temporary resolution.

"Resource Unit" or **"RU"** means, for each Service described in Sections 4, 5 and 6, a unit of resource for which Service Recipient and Provider have established a minimum purchase requirement.

"Resources" is defined in Sections 4, 5, and 6.

"Response Time of the Application" refers to the elapsed time from when the "return" key is pressed to the response back to the screen, fully refreshed by the application. Sometimes, this is called End-to-End Response Time of the Application. Provider will only be responsible for this metric if it has responsibility for all components of the systems and Network.

"Root Cause Analysis" is a problem analysis process undertaken to identify and quantify the underlying cause(s) of an Incident, and document the necessary corrective actions to be taken to prevent recurring problems and/or trends which could result in problems.

"Schedule" - All references to schedule (for example, 0730 hours) in the SLR tables are local time for the point of service.

"Schedule Time" is the time during which Service is to be operational as designated in the applicable SLR table. All references to schedule time (e.g., 0730 hours) in the SLR tables are local time for the point of service.

"SEC" means the U.S. Securities and Exchange Commission.

"SEI/CCM Level" refers to the Software Engineering Institute/Capability Maturity Model, which is a reference model that is used for determining a software development organization's level of competency. Level 1 is characterized by an organization's ad-hoc development processes, Level 2 has repeatable processes, Level 3 has defined or documented processes that are consistently used, Level 4 has metrics for managing the processes, and Level 5 includes processes for optimization and improvement.

"Self-Help Support" refers to automated/electronic means made available directly to End-Users to assist in fulfilling various Service Requests not requiring personal assistance, including End-User's ability to track Help Desk Trouble Ticket status and enter Service Requests without calling the Support Center.

"Service Recipient Confidential Information" means all records, data and other information of Service Recipient and/or its Affiliates that is disclosed to Provider or any of its employees, contractors (including Subcontractors) and/or agents, whether in tangible, intangible and/or oral form, and whether in written form or readable by machine, including, without limitation:

- (a) all Service Recipient Data;
- (b) all financial information, personnel information, client information, reports, documents, correspondence, plans and specifications relating to Service Recipient and/or its Affiliates;
- (c) all technical information, materials, data, reports, programs, documentation, diagrams, ideas, concepts, techniques, processes, inventions, knowledge, know-how, and trade secrets, developed or acquired by Service Recipient and/or its Affiliates, including Work Product;
- (d) any information that Service Recipient and/or its Affiliates identifies to Provider as confidential by a stamp or other similar notice; and
- (e) all other records, data or information collected, received, stored or transmitted in any manner connected with the provision of Services hereunder.

Service Recipient Confidential Information shall not include information that Provider can demonstrate was: (f) at the time of disclosure to Provider, in the public domain; (g) after disclosure to Provider, published or otherwise made a part of the public domain through no fault of Provider; (h) in the possession of Provider at the time of disclosure to it, if Provider was not then under an obligation of confidentiality with respect thereto; (i) received after disclosure by Service Recipient to Provider from a Third Party who had a lawful right to disclose such information to Provider; (j) independently developed by Provider without reference to Service Recipient Confidential Information; or (k) information that is public information within the meaning of any Public Information Act. For purposes of this provision, information is in the public domain if it is generally known (through no fault of Provider) to Third Parties who are not subject to nondisclosure restrictions with respect to such information.

"Service Recipient Data" means, in or on any media or other form of any kind: (a) all data that is in the possession of Service Recipient and/or its Affiliates, and all data concerning or indexing such data (regardless of whether or not owned by Service Recipient and/or its Affiliates or generated or compiled by Service Recipient and/or its Affiliates); and (b) all other records, data, files, input materials, reports, forms and other such items that may be received, computed, developed, used or stored by Provider or any of its employees, contractors (including Subcontractors) or agents from, for or on behalf of Service Recipient and/or any of its Affiliates, or in connection with the Services.

"Service Recipient Holidays" are: New Year's Day, Martin Luther King, Jr. Holiday, Memorial Day, Independence Day, Labor Day, the Day Before Thanksgiving, Thanksgiving Day and Christmas Day.

"Service Recipient-Owned Equipment" is defined in Sections 4, 5, and 6 and the applicable appendices in RFP.

"**Service Recipient-Owned Software**" means software that is owned by Service Recipient and/or any of its Affiliates that Service Recipient instructs Provider to use in connection with the Services, together with all supporting documentation, media and related materials, including any and all modifications, enhancements, updates, replacements and other Derivative Works thereof.

"**Service Request**" is defined as a service request made via Call, e-mail, web chat, etc., regarding a range of support-specific service offerings. For application services, this is a request by Service Recipient submitted to the Provider for application enhancements or new development.

"**Service Tower**" means each of the categories of Services as set forth in Section 4.0 – Section 4.9, 5.0 and 6.0 and in any Appendix to RFP.

"**Services**" means all of the services, functions and activities in any one or more of the following categories:

- (a) the services described in Section 4.0 – Section 4.9, 5.0 and 6.0 and in any Appendix to RFP;
- (b) any other services specified elsewhere in this Agreement and not designated as Other Services;
- (c) the services, functions and responsibilities being performed within the twelve month period prior to the effective date of Service by Service Recipient's personnel or contractors whose services, functions or responsibilities are (i) displaced or transitioned as a result of this Agreement or any Local Variance, and (ii) related to the Services described in Section 4.0 – 4.9, 5.0 and 6.0 and in any Appendix to RFP, even if the service, function or responsibility is not specifically described in this Agreement or any Statement of Work;
- (d) any other IT-related services that are requested by Service Recipient from time-to-time that do not require additional start-up expenses or the use of per task order not otherwise required for the performance of the Services; and
- (e) any management, planning and other services that are ancillary to and appropriate for the performance of any of the foregoing. "**Severity Levels**" or "**Incident Priority Level**" are defined categories that identify the degree of business criticality and importance to Service Recipient (the "**Business Impact**") of specific Incidents, and the associated Provider response requirements attributed to any such Incident. The Severity Level table categories and descriptions set forth in Schedule 2 apply to all Services.

"**SLR**" or "**Service Level Requirements**" means service level requirement and is a standard for performance of the Services, which sets Provider and Service Recipient expectations, describes the products or services to be delivered, and specifies the metrics by which the effectiveness of service activities, functions and processes will be measured, examined, changed and controlled.

"**SLR Reports**" are defined in Section 4.0 – 4.9, 5.0 and 6.0.

"**Software**" means all software used by Provider to provide the Services including, without limitation, the software identified in Attachment E, the Service Recipient-Owned Software, the Service Recipient Third Party-Assigned Software, the Service Recipient Third Party Provider-Managed Software, the Provider-Owned Software and the Provider-Vendor Software.

"**Specifications**" is defined as the functional and technical requirements of a solution, which are codified in a document.

"**Speed to Answer**" is defined as the total elapsed time from the point that the Help Desk automated call director (ACD) call-circuitry places a Call into queue until a human operator picks up the Call.

"**Staffed Support**" refers to those hours during which Provider must have skilled Help Desk staff available to personally answer Calls and provide Help Desk support to Service Recipient End-Users. Such support includes answering phone calls and e-mails, opening Help Desk Trouble Tickets, First Call Resolution,

categorizing and routing Help Desk Trouble Tickets, monitoring open Help Desk Trouble Ticket status, and escalating Incidents which are unresolved within the Incident Priority Level time requirements.

"**Standards and Procedures Manual**" is defined in Section 4.0 - 6.0.

"**Subcontractor**" means, subject to the terms of the City, any Person other than Provider including, without limitation, any Provider Affiliate that provides Services to Service Recipient pursuant to an agreement with Provider.

"**Support Center**" refers to Provider's location with skilled Help Desk staff available to personally answer Calls and provide Help Desk support to Service Recipient End-Users.

"**Target**" is the desired service performance level Service Recipient is seeking for a particular SLR.

"**Term**" means the Initial Term and any Renewal Terms.

"**Termination Date**" means 11:59 p.m. on the specified date of termination, as specified in a Termination Notice.

"**Termination Fee**" is defined in Sections 4.0 – 5.0.

"**Termination Notice**" means a written notice of termination delivered by one Party to the other.

"**Third Party**" means a person or entity other than the Parties.

"**Third-Party Resources**" is defined in Sections 4, 5 and 6.

"**Time on Hold**" is defined as the period measured in number of rings from the point at which the Service Recipient End-User connects to Provider phone switch to the point at which Provider ACD or IVR device picks up the Call.

"**Time to Respond**" or "**Respond Time**" is the duration between when an Incident is reported to Provider and a Provider support technician or engineer provides initial feedback to Service Recipient.

Calculation: Performance = Actual time to respond/target time to respond

"**Transition Plan**" is defined in Section 4.0 – 6.0.

"**Underlying Works**" means all works of authorship fixed in any tangible medium of expression that: (a) had already been conceived, invented, created or acquired by Provider or a Third Party prior to the Effective Date and that were not conceived, invented or created for Service Recipient's use or benefit in connection with this Agreement; or (b) are conceived, invented, created or acquired by Provider or a Third Party after the Effective Date, but only to the extent such works of authorship do not constitute Work Product. An Underlying Work includes all intermediate and partial versions thereof, as well as all source code, object code, documentation, formulae, processes, algorithms, designs, specifications, inventions, discoveries, concepts, improvements, materials, program materials, software, flow charts, notes, outlines, lists, compilations, manuscripts, writings, pictorial materials, schematics, apparatus, methods, techniques, other creations, and the like, whether or not patented or patentable or otherwise protectable by law.

"**User Account IMAC**" means routine functions, such as setting up user IDs, changing user authorization tables, changing account codes and similar functions handled by the Provider. Examples include completion of one or more steps necessary to establish or modify an account for a user, such as: (re)set up user login environment; (re)set up home directory and shared directory access; (re)set up e-mail access; (re)set up access permissions.

"**Waiver of Subrogation**" occurs when a party elects to waive the right of its insurance carrier to pursue a claim to "subrogate" or recover damages from the other party with respect to disputes or other claims made pursuant to this Agreement, and which claims are covered by an insurance policy.

"**Week**" is seven (7) days, Sunday through Saturday, including Service Recipient Holidays.

"**Weighting Factor**" means, for any SLR or Critical Milestone, the percentage factor that is applied to the At-Risk Amount for purposes of calculating Fee Reductions in the event of any failure with respect to a SLR or Critical Milestone during a given Measurement Interval. The Tables attached to Section 5 and any SLR Appendix specify the Weighting Factor for each SLR and each Critical Milestone.

"**Workaround**" is a temporary solution that Provider or Service Recipient can implement in the event of an Incident as an alternate method of providing full Service or process functionality that allows the affected system(s) and/or process(es) to deliver to Service Recipient an acceptable level of business operations functionality until a permanent Incident Resolution can be implemented. Any such Workaround must be acceptable to and approved by Service Recipient.

"**Work Order or Statement of Work as described in 4.9**" means a request for the performance of work that is not being performed at a particular time but that is within the scope of the Services.

"**Work Product**" means all works of authorship fixed in any tangible medium of expression (including, without limitation, computer programs), and all intermediate and partial versions thereof, as well as all source code, object code, documentation, formulae, processes, algorithms, designs, specifications, inventions, discoveries, concepts, improvements, ideas, know-how, techniques, materials, program materials, software, flow charts, notes, outlines, lists, compilations, manuscripts, writings, pictorial materials, schematics, apparatus, methods, techniques, other creations, and the like, whether or not patented or patentable or subject to copyright, or otherwise protectable by law, that are created, invented or conceived for the use or benefit of Service Recipient in connection with this Agreement: (a) by any Provider personnel, any Service Recipient personnel, where "personnel" includes employees, contractors (including, in the case of Provider, Subcontractors), agents and the like; (b) any Person who was an employee of Service Recipient and then became an employee of Provider or any of its contractors (including Subcontractors) or agents, where, although creation or reduction-to-practice is completed while the Person is an employee of Provider or such contractors (including Subcontractors) or agents, any portion of the same was created, invented or conceived by such Person while an employee of Service Recipient.

"**Workstation**" means an End-User computing device, ranging in power and function from a desktop or laptop PC to a high-end engineering or graphic workstation.

Attachment - Q ACRONYMS

Acronym	Definition
B2B	Business to Business
CMM	Capability Maturity Model
COTS	Commercial Off-The-Shelf
CPU	Computer Processing Unit
CSUs/DSUs	Channel Service Unit/Data Service Unit
CTI	Computer-Telephony Integration
DASD	Direct-Access Storage Device
DC	Data Center
DR	Disaster Recovery
EAI	Enterprise Application Integration
ERP	Enterprise Resource Planning
ESD	Electronic Software Distribution
FDR	Fast Dump Restore
FEP	Front-End Processor
FRAD	Frame Relay Assembler/Disassembler
IP	Internet Protocol
IT	Information Technology
ITIL	Information Technology Infrastructure Library
IVR	Interactive Voice Response
KPA	Key Process Area
KPI	Key Performance Indicator as specified by ITIL best practices
MTTR	Mean Time To Repair
NAS	Network-Attached Storage
NOC	Network Operations Center
OEM	Original Equipment Manufacturer
OES	Operational Equipment Specifications
OS	Operating System
PAD	Packet Assembler/Disassembler
POC	Point of Contact
RAID	Redundant Array of Independent Disks
RM	Relationship Manager
RTN	Routing Termination Number
SAN	Storage-Area Network
SDEE	Software Development Effort Estimation

Acronym	Definition
SDM	System Development Method
SEI	Software Engineering Institute
SOW	Statement of Work
SPOC	Single-Point-of-Contact
T&M	Time and Material
TR&R	Technology Refreshment and Replenishment
UAT	User Acceptance Test
UPS	Uninterrupted Power Supply
VPN	Virtual Private Network
WAN	Wide-Area Network
YTD	Year-To-Date

Attachment R - Spare Parts Budget

The bidder will include the sum of \$ 400,000 per year as spare parts budget for the City and its agencies. The money will be used to buy spare parts for critical End of Life (EOL)/out of warranty equipment. This is after the City has exhausted all reasonable effort to replace out of warranty equipment with new equipment.

Attachment S - Out of Warranty Equipment

- The bidder will fix critical out of warranty equipment if the task is assigned as high priority by the City Management. This includes searching for parts, inventory parts, install parts, and check out refurbished systems.

Attachment T - Required Staffing

Because of the City general and critical Public Safety Agencies' need, the Respondent must provide separate Compensation for both City General Staffing and Additional Required Dedicated On-Site Staffing.

Section 1.0 are required roles for general city support

Section 2.0 are required on site support teams for Aviation and Public Safety Agencies.

1.0 Required City Staffing

To provide support for Data Center, Networking, End-User Computing, and Help Desk, the City will require Respondent to apply "Best Practice" staffing.

For Security and network, the City will require at the minimum:

1 Security Team Lead

3 Security Engineer (DoIT, OEMC/CPD, Aviation)

2 CCIE Certificated Network Engineers

3 CCNA Certified Network Engineers

2.0 Additional Required Dedicated On-Site Staffing

The Public Safety Departments (CPD and OEMC) and Aviation (CDA) have special requirements that necessitate additional dedicated on-site staffing for Help Desk and Level 1 and 2 supports.

This is in addition to the staffing in item 1.0 above.

The Dedicated Staffing will be in the following locations:

- Aviation staff will be in CDA office building near O'Hare Airport
- CPD Staff will be in Chicago Police Headquarter
- OEMC staff will be in OEMC Emergency Response Center

Here is the number break down on the 33-dedicated staff required.

Agencies Dedicated On-Site Resources Role	Number
On Site Staff Supervisor (Aviation)	1
On Site Staff Support Team (Aviation)	4
CCNP Certified Network Engineer	1
CPD ON Site Staff Supervisor	1
Public Safety Agencies Manager (OEMC/CPD)	1

On Site Support Team (CPD)	5
Additional Data Center Systems Administration Analyst (CPD)	1
On Site Help Desk Team (OEMC/NMC)	13
Additional On Site Support Team (OEMC)	1
CCIE Certified Network Engineer (OEMC/CPD)	1
CCNA Certified Network Engineer, OEMC A/V and Phone Support for CPD	2
CCNA Certified Network Engineer, OEMC/CPD General Network	2
Total Additional Required Agencies Staffing	33

The On-site support teams will provide support 24X7X365 for Public Safety headquarters, Office of Emergency Management Services, O'Hare, and Midway Airport.

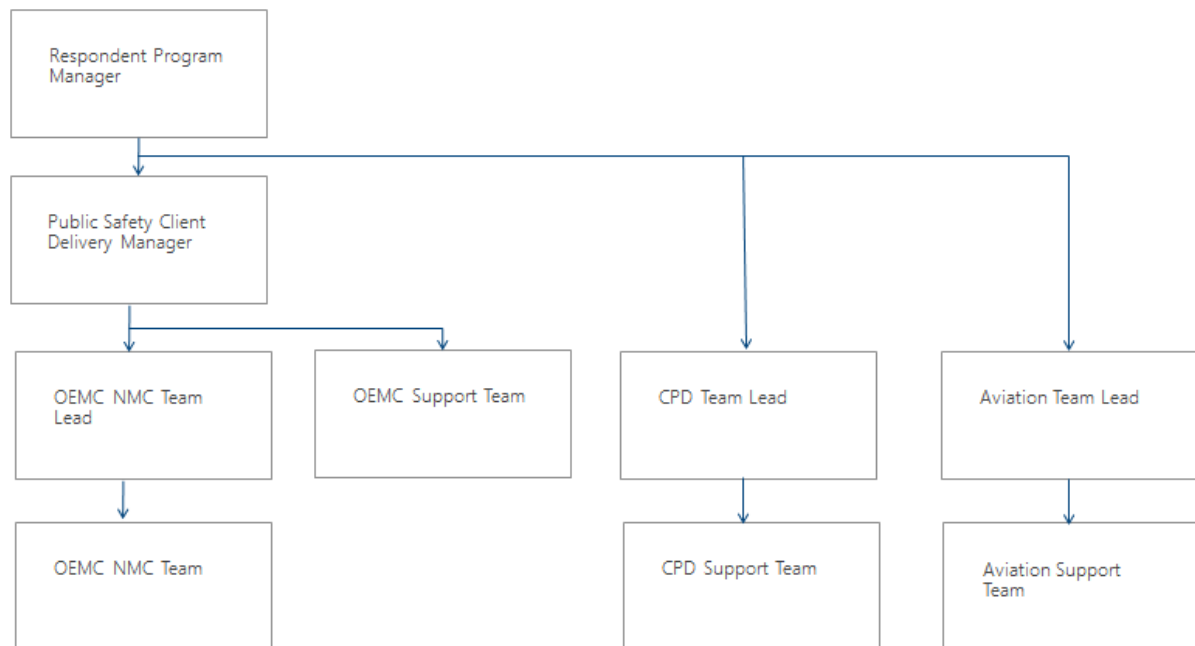
The OEMC and CPD require one (1) Public Safety Manager to work exclusively with OEMC and CPD on public safety issues and requests. The OEMC and CPD IT Managers will provide direction to on-site teams and work with the Client Manager.

The CPD requires one (1) dedicated on site supervisor to work with the CPD on CPD issues and requests. The CPD Team might be required to provide hands on support to resolve OEMC user issues and requests, as well as handle level 1 and level 2 tickets.

The OEMC requires thirteen (13) dedicated on-site field Service Technicians to provide 24X7 HelpDesk for calls to the OEMC NMC (Network Management Center). The NMC Team might be required to provide hands on support to resolve OEMC user issues and requests, as well as handle level 1 and level 2 tickets.

The Aviation require (1) Team Leader to provide support on issues and requests. The Aviation Team might be required to provide hands on support to resolve OEMC user issues and requests, as well as handle level 1 and level 2 tickets.

CDA, CPD, and OEMC On site Staff ORG Chart.



Attachment U - Agencies in Scope

Respondent must be cognizant of the City's strategic goal to leverage contracts, wherever applicable, across multiple departments and Sister Agencies. To this end, over the term of the award, other local government agencies may decide to purchase against the contract(s) that will be awarded as a result of this RFP process, pursuant to the terms and conditions of said contract(s), if such agencies are authorized by law or their governing bodies to execute such purchases, and if authorization is allowed by the City of Chicago's Chief Procurement Officer, and if such purchases have no net adverse effect on the City of Chicago, and result in no diminished services from the service providers to the City's user departments and other existing participatory agencies.

Described below in are the agencies that are in the current scope for this SOW as well as the agencies that potentially could opt-in later.

Agencies in Scope

AGENCY	INCLUDED IN CURRENT SCOPE	OPT-IN LATER
City of Chicago	X	
Chicago Park District	X	
Chicago Public Schools		X
Chicago Transit Authority		X
Chicago Housing Authority		X
City Colleges of Chicago		X

Attachment V - Audio and Video Support

City Support team needs to Maintain City Audio and Video Systems

- Install typical Audio and Video equipment, Polycom video and Cisco Video Distribution systems
- Develop, convert, schedule, and manage the video content for displays around the airports.
- Set up and train users to schedule and run video conferences.