

REQUEST FOR PROPOSAL (“RFP”)
FOR
IRIS, ARMS AND CASHIERING
APPLICATION AND PRODUCTION SUPPORT
AND
TAX AND LICENSE CUSTOMER SERVICE CENTER SUPPORT

Specification No. 65692

Required for use by:

CITY OF CHICAGO
Department of Innovation and Technology c/o
(Department of Revenue,
Department of Business Affairs & Licensing and
Department of Consumer Affairs)

This RFP distributed by:

CITY OF CHICAGO
(Department of Procurement Services)

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

Montel M. Gayles, Chief Procurement Officer
Attention: Joseph Chan
Department of Procurement Services
Bid and Bond Room - Room 301, City Hall
121 North LaSalle Street
Chicago, Illinois 60602

A Pre-Proposal Conference will be held on June 5, 2008 at 10:00 AM Central Standard Time, in Room 403 Conference Room B, City Hall, 121 N. LaSalle Street, Chicago, Illinois. Attendance is Non-Mandatory, but encouraged.

Proposals and \$900.00 Submittal Fee must be received no later than 4:00 PM CST, on July 15, 2008

Joseph Chan, Contract Negotiator, (312) 742-9467

RICHARD M. DALEY
MAYOR

MONTEL M. GAYLES
CHIEF PROCUREMENT OFFICER

Table of Contents

1. GENERAL INVITATION	1
1.1 Purpose of the Request for Proposal	1
1.2 Internet Access to this RFP	2
1.3 Terms of Contract	2
2. BACKGROUND	2
2.1 City Departments	2
2.2 Overview of Applications and Services	3
3. SCOPE OF SERVICES	9
3.1 Business Services	9
3.2 Support and Maintain Applications	21
3.3 Customer Service and Support	22
4. SERVICE REQUIREMENTS	23
4.1 Application Support and Maintenance Service Requirements	23
4.2 Customer Service and Support Service Requirements	48
5. PROJECT STAFFING AND STAFFING QUALIFICATIONS	51
6. ENGAGEMENT MANAGEMENT	69
6.1 Transition-In Plan	69
6.2 Respondent Project Assumptions	69
6.3 Future Projects and Development	70
6.4 Integration with Third-Party Vendors	70
6.5 Tracking Tools with User Visibility	70
6.6 Issues Management Plans	70
6.7 Categorization and Prioritization	70
6.8 Escalation	71
6.9 Retirement	71
6.10 Code Control	71
6.11 User Satisfaction Reviews	71
6.12 Status Review and Reporting	71
6.13 Continuous Improvement	72
6.14 Service Credits and Fee Reductions	72
6.15 Exit Strategy	72
7. GENERAL INFORMATION AND GUIDELINES	73
7.1 Communications Between the City of Chicago and Respondents	73
7.2 Deadline and Procedures for Submitting Proposals	73
7.3 RFP Information Resources	74
7.4 Procurement Timetable	74
7.5 Confidentiality	75
8. PREPARING PROPOSALS: REQUIRED INFORMATION	75
8.1 Format of Proposals	75
8.2 Fees Relating to Submission of Proposal	76

8.3	Required Content of Proposals	76
9.	EVALUATING PROPOSALS	82
10.	SELECTION PROCESS	84
11.	ADDITIONAL DETAILS OF THE RFP PROCESS	85
11.1	Addenda	85
11.2	City's Rights to Reject Proposals	85
11.3	No Liability for Costs	85
11.4	Prohibition on Certain Contributions—Mayoral Executive Order No. 05-1	85
11.5	False Statements	87

EXHIBITS	88
EXHIBIT 1 – COMPANY PROFILE INFORMATION	89
EXHIBIT 2 - COMPANY REFERENCES/CLIENT PROFILE INFORMATION	91
EXHIBIT 3 - PRELIMINARY COST PROPOSAL	92
EXHIBIT 4 - SPECIAL CONDITIONS REGARDING MINORITY AND WOMEN OWNED BUSINESS ENTERPRISE (MBE/WBE) COMMITMENT AND SCHEDULES	93
EXHIBIT 5 - ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT	119
EXHIBIT 6 - INSURANCE REQUIREMENTS AND INSURANCE CERTIFICATE	133
EXHIBIT 7 - BULK MAILING ESTIMATED VOLUMES	137
EXHIBIT 8 – PRELIMINARY STAFFING PROPOSAL	139
EXHIBIT 9 – IRIS INTERFACES	141
EXHIBIT 10 – ARMS INTERFACES	142
EXHIBIT 11 – CITY HARDWARE AND SOFTWARE STANDARDS OVERVIEW	145
EXHIBIT 12 – DATA FLOW: IMAGING TO IRIS	148

REQUEST FOR PROPOSAL (“RFP”)

FOR

**IRIS, ARMS AND CASHIERING
APPLICATION AND PRODUCTION SUPPORT**

AND

TAX AND LICENSE CUSTOMER SERVICE CENTER SUPPORT

Specification No. 65692

1. GENERAL INVITATION

1.1 Purpose of the Request for Proposal

The City of Chicago (“City”), acting through its Department of Innovation and Technology care of Department of Revenue, Department of Business Affairs and Licensing, and Department of Consumer Services, invites the submission of proposals from firms with expertise and experience in providing the following services:

- Application maintenance and production support of the City of Chicago’s Integrated Revenue Information System (IRIS), Automated Referral Management System (ARMS), Cashiering Application, Customer Service Tracker (CST) and specific third-party applications that constitute the suite of applications supporting tax, business licenses, public way permits and other consumer services processes.
- Customer Service and Support for business services provided by the Department of Revenue, Department of Business Affairs and Licensing, and Department of Consumer Services.
- Bulk mailing of printed materials to businesses on behalf of the Department of Revenue, Department of Business Affairs and Licensing, and Department of Consumer Services.

Companies with demonstrated experience in these areas, and with an interest in making their services available to the City of Chicago, are invited to respond to this RFP. For purposes of this RFP, **Chief Procurement Officer (“CPO”)** means the Chief Procurement Officer for the City of Chicago. **“Respondents”** mean the companies or individuals that submit proposals to this RFP. The documents submitted will be referred to as **“Proposals”**.

The selected Respondent may also implement current, planned and future projects (e.g., rewrite of IRIS and ARMS). The purpose is to find qualified companies to provide services identified above to improve overall efficiency and effectiveness.

The selected Respondent shall perform **ALL** services identified above in this RFP.

The work contemplated is professional in nature. It is understood that the selected Respondent, 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 Respondent under a contract awarded pursuant to this RFP will be confidential in nature and will not be made available to any individual or organization,

except the City, without the prior written approval of the City. Any contract resulting from this RFP document will require the selected Respondent to execute a statement of confidentiality

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

1.2 Internet Access to this RFP

All materials relate to the RFP will be available on the internet at http://egov.cityofchicago.org/webportal/COCWebPortal/COC_EDITORIAL/Spec65692.pdf

A Respondent who chooses to download a RFP solicitation instead of picking it up in person will be responsible for checking the aforementioned web site for clarifications and/or addenda. 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 bid or 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.

All Respondents are responsible for obtaining all RFP materials. If Respondent chooses to download and print the RFP document, the Respondent must contact the City of Chicago, Department of Procurement Services, Bid & Bond Room by either: faxing a legible copy of Respondent's business card, referencing Specification No. 65692 to (312) 744-5611 or by calling the Bid & Bond Room at (312)744-9773, to register Respondent's company as an RFP document holder, which will entitle Respondent to receive any future clarifications and/or addendum related to this RFP.

1.3 Term of Contract

Any contract awarded pursuant to this RFP solicitation shall be for a base contract period of five (5) years, plus two five-year extension options mutually agreed to by both parties.

2. BACKGROUND

2.1 City Departments

The Department of Revenue's mission is to support vital City infrastructure and services by maximizing revenue collections while providing superior customer service. The Department of Revenue administers and enforces the Municipal Code of Chicago in a confidential, efficient and courteous manner. It is responsible for educating organizations in meeting their business obligations and informing them of the basis of all enforcement actions. The Department of Revenue is also accountable for providing accurate information and ensuring that citizens know their rights in dealings with the City. In 2007, the City processed more than \$4 billion in payments of fees and fines.

The Department of Business Affairs and Licensing is the single point of contact for businesses that either operate or seek to operate in the City. It guides businesses through all the licensing and Public Way Permit needs, and ensures compliance with the City's license and permit requirements. Its mission is to empower businesses to grow and succeed by providing information and services to help businesses act responsibly and create economic vitality and vibrant communities for the people of Chicago. In 2007, approximately 21,000 new and 66,500 renewal licenses were issued. In addition, approximately 7,400 permits were issued.

The Department of Consumer Services is responsible for protecting the rights of consumers in Chicago. It regulates consumer-oriented businesses (i.e., Taxicab Medallions), inspects scanning equipments in retail establishments, investigates consumer fraud complaints and enforces the City of Chicago Municipal Code. In 2007, there were approximately 51,800 investigations conducted.

2.2 Overview of Applications and Services

The City currently has Keane, Inc. (“Keane”) providing application support and maintenance, and Customer Service Center support, AccessDirect (“Mail Outsourcer”) providing bulk mailing services, and EDGE Systems (“Imaging Vendor”) providing document imaging services. Keane, for 10 years, has provided application services (development, maintenance and production support) and call center services for the three applications: IRIS, ARMS and Cashiering. In addition, Keane supports Cashiering peripherals.

The application hardware/software and client hardware/software are supported by the City. All applications are hosted in the City’s data center.

The following diagram illustrates at a high-level the business functions enabled by the applications and their relationships. A detailed description of the business services enabled by the applications is provided in **Section 3. SCOPE OF SERVICES.**

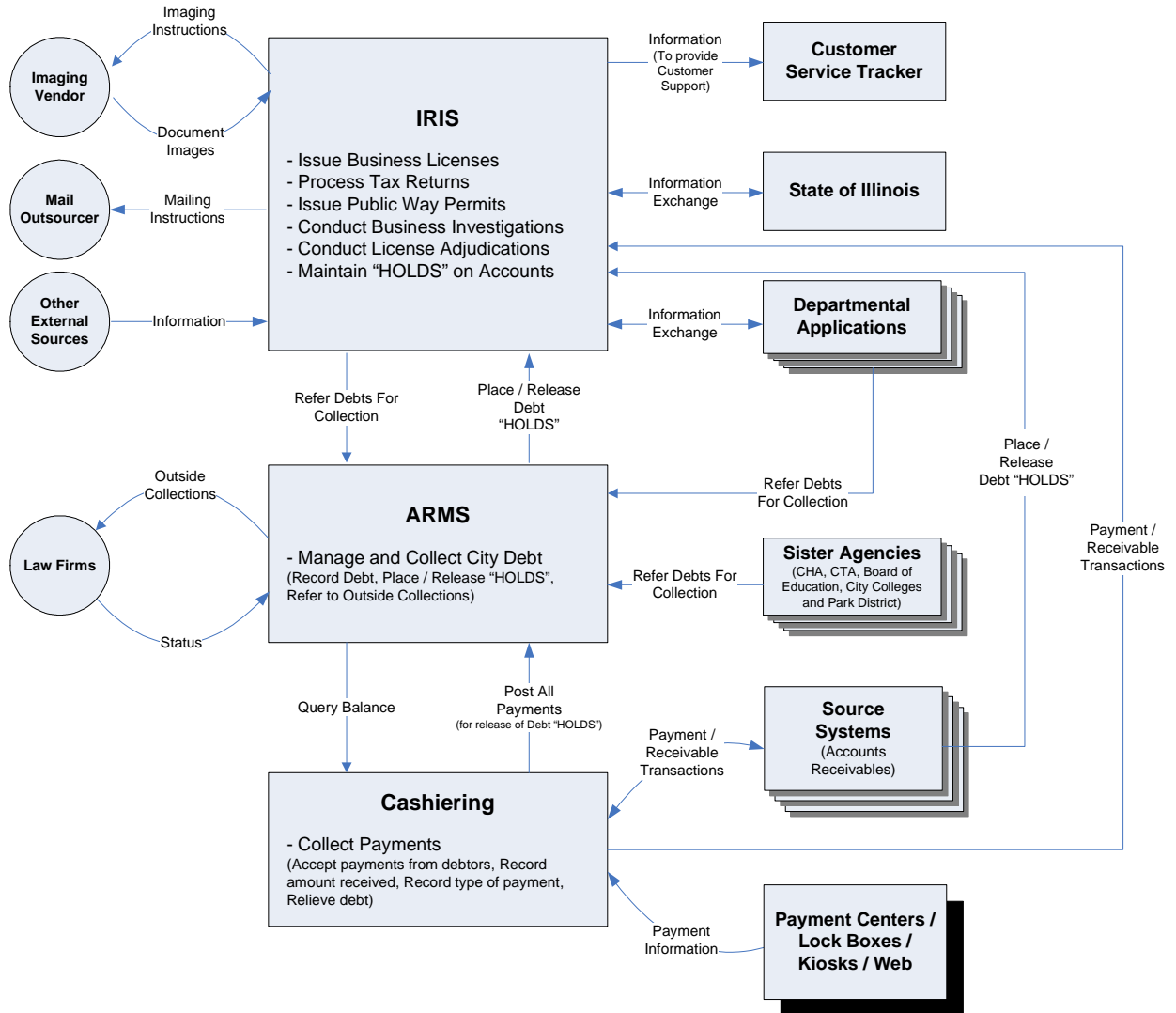


Figure 1. High-Level Application Overview and Context Diagram

2.2.1. IRIS

In 1997, with Y2K looming, the Department of Revenue issued an extensive RFP for consolidation of the following stand-alone applications: Tax, False Burglar Alarm, Business License and four Permit modules. The goals of the consolidation were to realize synergies and to improve the sharing of information and automation across all business processes. There were three bidders, but all three bidders were rejected, since the submitted bids did not meet the Department's expectations. As a result, the City issued Keane a sole-sourced request to consolidate the applications into IRIS.

Phase One of IRIS was completed on June 19, 2000 and supported the following business functionalities:

- Account application intake through client consultation
- Business license application and renewal processing
- Business permit application and renewal processing
- Business tax application and tax return processing

Phase Two of IRIS was completed in the latter half of 2001 and supported the following business functionalities:

- Tax
 - Audit
 - Discovery
 - Payment Plan
 - Manual Refunds
 - Title Use Billing
 - Non-Title Use Billing
 - Protest and Hearing

Phase Three of IRIS was completed in the middle of 2002 and primarily supported business investigations (IRIS Mobile).

Since the implementation of Phase Three, there have been numerous major and minor enhancements to IRIS. Keane has assisted in implementing these enhancements.

Today, the IRIS application provides an integrated view of a commercial client across various dimensions: licensing, permit, tax and compliance. Specifically, IRIS handles the business processing of client consultation, licenses, permits, tax, business investigation and inspections. IRIS has desktop, mobile and Web components. The desktop application, which is the primary component, is written in Oracle Forms/Reports 10g with an Oracle9i database. The mobile component is used by the Department of Business Affairs and Licensing to conduct investigations in the field, and it has the capability to connect and retrieve information from IRIS. IRIS Mobile is written in JAVA and Swing. There are three Web components of IRIS, which are written in JAVA Script. They include:

- License Application Web to process applications for a business license. Currently, only retail licenses can be applied for over the Web
- License Renewal Web to process license renewals
- Tax Return Web (to file tax returns and calculate the amount of taxes due) and Tax Payment Web (to allow taxes to be paid online)

The City plans to rewrite IRIS. The primary business drivers for the IRIS rewrite are to: reduce complexity, increase flexibility, improve operations and reduce maintenance costs.

2.2.2 ARMS

ARMS was initially developed “in-house” in 2002–2003 as a module within IRIS, to manage and collect debts resulting from the Administrative Hearings process and manage the collection of debt outsourced to various collection firms. ARMS has been enhanced since then by Keane to collect additional types of debt including: False Burglar Alarm, Traffic Control, Employee Indebtedness, Emergency Medical Services, Cost Recovery (in case of property damage) and Non-Sufficient Funds relating to checks.

The ARMS application receives debts for collection from a wide variety of source systems. The application sends multiple notices to debtors, calculates penalties and interest as appropriate and manages a bidirectional data flow with collection firms responsible for collecting bad debt. The application is written in Oracle Forms/Reports 10g with an Oracle9i database.

2.2.3 Cashiering Application

From 2004 through the present, the City has contracted with Keane and its subcontractor, Systems Concepts Incorporated (SCI), to enhance (as appropriate) and support the current Cashiering application (ReCaps). ReCaps provides payment processing, payment administration and reporting capabilities for the City. The application is a commercial off-the-shelf (COTS) application package from SCI that has been highly customized to meet the City's requirements.

ReCaps was written in an older version of Visual Basic (VB6), which is currently unsupported by the software vendor (Microsoft). Additionally, ReCaps is costly to maintain and the interfaces to other City applications lack desired flexibility. In order to drive operational improvements and to accommodate the evolution of the business model, the City embarked on a two-year search for a COTS package that provides upgraded technology, ease of configuration and reduced maintenance costs.

Payment Manager from Active Network was selected, and Keane is the primary vendor managing the implementation. Keane was engaged due to its current status as the vendor responsible for enhancing and supporting the current Cashiering application (ReCaps).

The implementation of the new Cashiering application utilizing Payment Manager is currently under way. It is the City's desire to implement the future Cashiering application primarily by configuring Payment Manager with minimal customization. The Respondent will be responsible for configuring and supporting the new Cashiering application; ReCaps will be decommissioned and is therefore out of scope for this RFP. Current plans are to implement the Cashiering application on May 1, 2008, with the City Clerk's office as the initial implementation. The remaining City departments will be implemented by the first half of 2009.

2.2.4 Customer Service

The primary driver for Customer Service was to provide timely support to the City's commercial clients with their licensing and tax-related inquiries. Since the City was not properly staffed to provide this service, on July 1, 2004, the City contracted with Keane to manage the Tax and License Customer Service Center. The Tax and License Customer Service Center provides Level One support for customers with questions and/or problems with their accounts. The responses to those questions are limited to the information available through IRIS, as stated in the City's Policy and Ordinances, applicable department forms, or information obtained through training. Requests for services come via the Automatic Call Distribution (ACD) calls, e-mails, faxes, mail and walk-ins. In 2007 there were 114,397 requests received via ACD, 71 requests via e-mail, 241 requests via fax, 281 via mail, and 1,786 via walk-ins. Specifically, the Customer Service Representatives field questions related to:

- Taxes
- Business Licenses
- Public Way Use (PWU) Permits
- HOLDS as they appear in IRIS, regardless of originating application

- False Burglar Alarm (FBA)—commercial and residential
- FBA Administrative Hearing scheduling

In addition, the Customer Service Center fields questions through the IRIS Help Desk. The IRIS Help Desk support includes:

- IRIS Password resets
- Cashiering peripheral hardware support
- Information on how to use CST
- Logging all IRIS, ARMS, Cashiering, CST and IRIS Mobile issues

To track the workflow of the Customer Service Center and all incoming customer requests and issues, Keane uses the CST application. CST interfaces with IRIS to obtain account information to track and report service center activity by: IRIS account, name, subject category, language spoken, contact type, owner of issue, resolution (open or closed) and task type. CST has the capability to delegate tasks to individuals as well as e-mail information to other users. Keane uses CST to track and report its performance measures against service metrics, and the Enlighta application for application and problem incidence management.

Keane maintains a core staff of 13 full-time employees on site. The Customer Service Center provides support primarily during the Business Hours, which are defined as Monday through Friday, 8:00 a.m.–5:00 p.m. Central Standard Time, excluding the City of Chicago holidays. During non-business hours, IRIS, ARMS and Cashiering users and customers must call the City’s Help Desk (Unisys) for after-hours support. The City’s Help Desk staff will log the calls and follow an escalation procedure (based on the incident severity) whereby the calls are forwarded to the appropriate IRIS, ARMS and Cashiering on-call application staff for resolution.

However, it is the City’s goal to move toward customer self-service applications (i.e., Web-based); this would drive the need for a 24/7 Customer Service Center in the future.

2.2.5 Mail Outsourcing

AccessDirect has provided direct mail services for more than eight years. In 2007, AccessDirect processed an estimated 845,000 mailings as detailed in **EXHIBIT 7 - BULK MAILING ESTIMATED**. AccessDirect is currently operating independently of Keane and under a separate contract. However, the Respondent will be responsible for providing mail outsourcing services as part this RFP. The Respondent may choose to provide bulk mailing services on its own, engage AccessDirect as a subcontractor, or engage another subcontractor in the RFP.

It must be noted that AccessDirect retains ownership of complex templates that define instructions for bulk mailing services. If the Respondent wishes to provide bulk mailing services on its own or via another subcontractor, these templates will need to be re-developed.

2.2.6 Document Imaging

Edge Systems provides the following services to the City: scanning, indexing, data extraction (from tax forms, FBA tickets, etc.) and maintenance of images based on instructions provided by the City. Document images can be viewed via IRIS. These services are not in scope for this RFP.

However, documents faxed/e-mailed to the Department of Business Affairs and Licensing by users of the Web-based applications (License Application Web and License Renewal Web) are imaged by the City using FileNet. This service is in scope for this RFP.

3. SCOPE OF SERVICES

This section provides a detailed description of the scope of services:

- Business services that are enabled by IRIS, ARMS and Cashiering applications
- Application maintenance and support of IRIS, ARMS and Cashiering applications
- Customer service and support

The Respondent will be required to establish service levels for each major category of services. The City has defined minimum service levels for each category of service as described in the RFP in **Section 4. SERVICE REQUIREMENTS**. The Respondent is required to describe how each service level will be measured, monitored and reported.

3.1 Business Services

The business services enabled by IRIS, ARMS and Cashiering applications are provided in this section. Description of key terms:

- **Service Name**—Name of the business service enabled by the application(s).
- **Service Description**—Description of business service provided.
- **Service Performed By**—Name of the application/service provider utilized to deliver service.
- **Point of Service Delivery**—Where the services must be delivered, i.e., to departments, service centers, available on the Web, printed documents, on-screen, etc. The service delivery is not complete until successfully received at the point of service delivery.
- **Application Complexity**—Level of complexity of the underlying business logic:
 - **High**—Module encapsulates business logic that has a significant number of decision paths and contains many interconnected components; effort related to integration testing and maintenance of module is significant
 - **Medium**—Module encapsulates business logic that has an above-average number of decision paths and contains interconnected components; effort related to integration testing and maintenance of module is above average
 - **Low**—Module encapsulates business logic that has single or minimal decision paths and may contain interconnected components; effort related to integration testing and maintenance of module is routine

ID	Service Name	Service Description	Service Performed By	Point of Service Delivery	Application Complexity
CC	Conduct Client Consultation	Provide relevant information to potential licensee. Information provided would include license/permit guidelines, taxes, etc. Consultation is conducted in person or over the telephone.			High
CC-1	Provide Relevant Information Based on Client Need	Provide information to the client on how to establish a business.	IRIS	Department of Business Affairs and Licenses Offices (in case of walk-ins) or phone	High
CC-2	Research Information on a Business or Account	Conduct research to identify appropriate application requirements (e.g., Does the business already exist? Which documents are needed in support of the application? Are there prior HOLDS on the account holder?, etc.). A search can be performed by account holder's name, address, business name, ward or precinct. An automated decision tree, based on the business type and other relevant information, is used to drive the questioning process in gathering information.	IRIS	IRIS Desktop	High
CC-3	Provide Customized Application Packet to Potential Licensee	Provide relevant materials to a potential licensee. All the information provided is specific to an individual case. Each application packet is customized.	IRIS	Department of Business Affairs and Licensing Offices (in case of walk-ins), e-mail, mail or Web site	Medium
CC-4	Manage the Workflow	The management and tracking of process workflow are automated core capabilities within IRIS.	IRIS	IRIS Desktop	Medium
BL	Issue Business License	Issue and Process Business License			High
BL-1	Accept License Application	Enter license application information and begin due process.	IRIS	IRIS Desktop	Medium
BL-2	Classify Zoning	Determine the appropriate zoning for the business; this activity is performed by the Zoning Department.	IRIS	IRIS Desktop	Medium
BL-3	Calculate License Fees	Ensure application information is complete and determine the appropriate license and other fees (e.g., past debt owed, inspection fees, etc.).	IRIS	IRIS Desktop	Medium

ID	Service Name	Service Description	Service Performed By	Point of Service Delivery	Application Complexity
BL-4	Create and Print License Coupons	Create and print a payment coupon based on the calculated fees. Payments of license fees are required before a license can be issued.	IRIS	Department of Business Affairs and Licensing Offices utilizing IRIS	Low
BL-5	Issue Inspection Notices	Inspection notices are sent by e-mail to the various departments (Department of Business Affairs and Licensing and other City departments) that are required to conduct an inspection. Inspections are scheduled individually by each department.	IRIS	IRIS Desktop	Medium
BL-6	Conduct Inspections	Inspect business locations for compliance with Chicago Municipal Codes and Ordinances.	IRIS	Field (inspections); IRIS Desktop (results)	High
BL-7	Approve Issuance of License	Licenses are approved for issuance when all requirements have been met (zoning, inspections, permits, fees, etc.).	IRIS	IRIS Desktop	Medium
BL-8	Send License Certificate	Print license certificates and mail to applicants. License certificates are primarily issued by the City Clerk. However, the Department of Business Affairs and Licensing has the authority to issue some licenses.	IRIS	IRIS Desktop (printing of licenses); City Clerk's Office (mailing)/Department of Business Affairs and Licenses Office (handed to Licensee)	Low

ID	Service Name	Service Description	Service Performed By	Point of Service Delivery	Application Complexity
BL-9	Send License Renewal Notice	License renewal notices are sent to license holders. There are two types of renewal notifications: (1) postcard that contains a PIN # for the license to be renewed on the Web; (2) renewal packet that contains relevant forms and other required supporting materials.	Mail Outsourcing	<p>1) Postcards: Department of Business Affairs and Licensing Offices (printing); Mail Outsourcer's Offices (mailing)</p> <p>2) Renewal Packet: Department of Business Affairs and Licensing Offices (creating an electronic file containing instructions and documents utilizing IRIS); Mail Outsourcer's Offices (mailing)</p>	Medium
BL-10	Process Business License Renewal	Review license renewal applications for approval. Ensure all renewal requirements are met (zoning, inspections, permits, fees, etc.).	IRIS	IRIS Desktop	Medium
BL-11	Prepare for Document Imaging	Instructions and documents to be imaged are prepared per requirements and delivered to document imaging vendor. Documents are scanned and images are maintained by the vendor. However, the images are accessible via IRIS.	IRIS	IRIS Desktop (printing instructions); Department of Business Affairs and Licensing Office (mailing)	Medium
BL-12	Manage the Workflow	The management and tracking of process workflow are automated core capabilities within IRIS.	IRIS	IRIS Desktop	Medium

ID	Service Name	Service Description	Service Performed By	Point of Service Delivery	Application Complexity
TR	Process Tax Returns	Tax returns are processed based on: business type, tax/license codes, associated property (e.g., medallions, amusement devices, etc.). Taxes are incurred for a relevant period. Enforcement of taxes due to one-time activities (real property sale, bulk sales, titled/non-title use, etc.) is also performed. Between May 1–August 15, there is a high volume of activity due to the processing of annual tax returns.			High
TR-1	Prepare Tax Return Packages or Send PINS (for Web Filing)	Relevant tax forms are provided to businesses for the filing of tax returns.	IRIS	IRIS Desktop	Medium
TR-2	Mail Tax Forms and Postcards	Tax return packages are mailed to taxpayers; forms are also posted on the City Web site. Tax returns can be completed on paper or via Web.	Mail Outsourcing	Mail Outsourcer's Offices	
TR-3	Accept Tax Returns	Accept and record tax returns. Taxpayers submit tax return forms to the Department of Revenue for processing.	IRIS	IRIS Desktop	Medium
TR-4	Calculate Tax Liability	Tax liability is calculated based on the information in the tax return filed.	IRIS	IRIS Desktop	High
TR-5	Validate Taxes	Tax returns and payments are validated based on applicable tax codes (33 codes), accrual of penalty and interest, application of credits from other periods and codes, and computation of collector commissions. Tax bills and applicable notices are generated in case of discrepancies (e.g., unsigned returns, overpaid/underpaid returns, etc.).	IRIS	IRIS Desktop	High
TR-6	Record Balances or Payments Received	Tax payments are recorded and posted to the taxpayer's account. Balances are calculated based on tax amount due minus the amount paid.	IRIS	IRIS Desktop	Medium
TR-7	Process Tax Underpayments	An underpayment of taxes due generates a debt owed to the City. A HOLD is placed on the taxpayer's account.	IRIS	IRIS Desktop	High
TR-8	Send Applicable Notices	Tax bills and notices are sent to the taxpayer. A high volume of activity occurs in March and April of each year to prepare for sending tax return notices.	Mail Outsourcing	Mail Outsourcer's Offices	Medium
TR-9	Process and Track Tax Exemptions	Certain businesses are exempt from taxes.	IRIS	IRIS Desktop	Medium
TR-10	Process Tax Overpayments, Refunds and Credits	In case of an overpayment of taxes, refunds may be issued. Refunds are determined based on business rules.	IRIS	IRIS Desktop	High

ID	Service Name	Service Description	Service Performed By	Point of Service Delivery	Application Complexity
TR-11	Conduct Tax Audit	Businesses can be audited for several reasons. The most common are: referrals from another division of the Department of Revenue or another City department, information obtained during another audit, referral from another business, referral from the Illinois Department of Revenue or random selection from registered taxpayers within each tax code and category.	IRIS	IRIS Desktop	Medium
TR-12	Waive Tax Debt	The Department of Revenue can periodically waive or adjust tax debt owed by a taxpayer.	IRIS	IRIS Desktop	Medium
TR-13	Set Up Payment Plan	Payment plan agreements are set up with taxpayers and payment coupons are generated. Payments made are tracked; if payments are not received on time, appropriate penalties can be assessed.	IRIS	IRIS Desktop	High
TR-14	Maintain Account History	Six years of historical information as it relates to taxes are maintained for each business.	IRIS	IRIS Desktop	Medium
TR-15	Maintain Code Requirements	Relevant Tax Codes are maintained and periodically updated as new ordinances are established.	IRIS	IRIS Desktop	Medium
TR-16	Prepare for Document Imaging	Instructions and documents to be imaged are prepared per requirements and delivered to the document imaging vendor. Documents are scanned and images are maintained by the vendor. However, the images are accessible via IRIS.	IRIS	IRIS Desktop (printing instructions); Department of Business Affairs and Licensing Office (mailing)	Medium
TR-17	Manage the Workflow	The management and tracking of process workflow are automated core capabilities within IRIS.	IRIS	IRIS Desktop	Medium
CD	Manage and Collect City Debt	Collect debt owed to the City. Major debt types include: Administrative Hearings, False Burglar Alarm (FBA), Traffic Control, Employee Indebtedness, Emergency Medical Services (EMS), Cost Recovery (in case of property damage) and Non-Sufficient Funds (NSFs) relating to checks.			Medium
CD-1	Record Debt	Record and track debts. Debts are first recorded by the individual departments in their Accounts Receivable System (i.e., source systems). Debts that are not paid within a certain period of time (as prescribed by the business rules) are then forwarded to ARMS for collection and tracking (ARMS is the source system for Cost Recovery).	ARMS	Source Systems and City Department Offices	Medium

ID	Service Name	Service Description	Service Performed By	Point of Service Delivery	Application Complexity
CD-2	Print Notices	Print notices and send to debtors. There are 2–3 notices sent to the account holder prior to referring the debt for collection.	ARMS	Source Systems and City Department Offices	Medium
CD-3	Place HOLDS On Accounts	Place accounts (maintained in IRIS) on HOLD when there are outstanding debts. HOLDS can be placed in IRIS in the following ways: 1) by the individual source systems for parking ticket and water debts; 2) by IRIS for FBA debts; and 3) by the debt collection application, i.e., ARMS, for the other debt types. Placing HOLDS following a set of well-defined business rules (HOLDS cannot be placed between the date of renewal notice and the date of renewal, minimum thresholds need to be met, etc.).	Source Systems	IRIS Desktop	High
CD-4	Refer to Outside Law Firm for Collection	Refer pending debts to an outside law firm based on business rules.	ARMS	ARMS	Medium
CD-5	Monitor Law Firm Collection Activities	Monitor performance of law firm.	ARMS	ARMS	Medium
CD-6	Release HOLDS on Accounts	Release HOLDS placed on accounts once debts are paid.	Source Systems	IRIS Desktop	High
CD-7	Reconcile Debts	Reconcile debts with other City departments.	ARMS	Source Systems	High
CD-8	False Burglar Alarm (FBA)—Commercial	A FBA occurs when a burglar alarm system is activated where there is no emergency. Only commercial FBAs are processed as part of this business service.			Medium
CD-9	Issue False Burglar Alarm (FBA) Ticket	A FBA ticket is issued by an on-duty police officer. Tickets are imaged.	Document Imaging Vendor	Document Imaging Vendor	Low
CD-10	Compute Fine Associated with FBA	Compute fines associated with FBAs. There is no fine for the first three occurrences in a calendar year. A fine is incurred on the fourth occurrence and for each one thereafter.	IRIS	IRIS Desktop	High
CD-11	Send FBA Notice of Violation	Issue notice of violation (and fines) for businesses.	IRIS	Mail Outsourcer's Offices	Low
CD-12	Collect False Burglar Alarm (FBA) Debt	Follow debt collection process.	ARMS	IRIS Desktop	Medium
C	Pay City Bills and Fees (Cashiering)	Accept payments from debtors, record amount received, record type of payment and relieve debt.			High

ID	Service Name	Service Description	Service Performed By	Point of Service Delivery	Application Complexity
C-1	Accept Payments	Accept payments via: payment sites, lockboxes, kiosks and Web sites.	Cashiering Application	Various Cashiering Locations	Medium
C-2	Process Payments	Post processed payments to appropriate accounts in various AR subsystems maintained by the individual City departments. Processing includes: recording amount paid, recording type of payment and releasing debt.	Cashiering Application	Cashiering Application Process	High
C-3	Reverse Payments	Reverse payments at cash register (if reversal occurs on the same day the payment is made and before batch is closed) or at the back end (processed within the reconciliation process). NSF reconciliation occurs outside of the Cashiering process.	Cashiering Application	Cashiering Application Process	High
C-4	Reconcile Payments	Reconciliation occurs on two levels: detailed and summary level. The reconciled transactions are sent to the various AR subsystems for processing.	Cashiering Application	Cashiering Application Process	Medium
BI	Conduct Business Investigations	Investigate current business activities and determine if businesses are in compliance with: licenses, public way use permits, taxes, tobacco programs, etc. If a business is not in compliance, appropriate enforcement action will be taken. In addition to investigations, inspections are also performed when a business license is requested.			High
BI-1	Trigger Investigation	Complaints or special projects which are launched based on trend analysis can trigger investigations.	IRIS	IRIS Desktop	High
BI-2	Assign to an Investigator	Assign investigation to a trained professional.	IRIS	IRIS Desktop	Medium
BI-3	Conduct Investigation	Investigation is primarily conducted in the field (i.e., at the business locations). Investigators utilize the IRIS Mobile application (mostly in offline mode); however, the application has the capability to connect and retrieve information from City databases and external sources when necessary.	IRIS Mobile Application	Field and Mobile Device	High
BI-4	Determine Compliance	Determine compliance based on the Chicago Municipal Code and Ordinances.	IRIS Mobile Application	Field and Mobile Device	High
BI-5	Issue, Print and Distribute a Violation Notice	Depending on the violation, a notice is issued, printed and distributed to the businesses. Types of notices include: notice of violation, administrative notice of violation, cease and desist orders, removal orders (in case of public way use permit non-compliance, etc.).	IRIS Mobile Application	Field and Mobile Device	High

ID	Service Name	Service Description	Service Performed By	Point of Service Delivery	Application Complexity
BI-6	Upload Information	Upload information from Mobile device to IRIS.	IRIS Mobile Application	IRIS Desktop	Medium
BI-7	Conduct Review of Violation Notices	Violation notices are reviewed by the supervisor and they are either approved or re-assigned to the investigator.	IRIS	IRIS Desktop	Medium
BI-8	Prepare for Document Imaging	Instructions and documents to be imaged are prepared per requirements and delivered to the document imaging vendor. Documents are scanned and images are maintained by the vendor. However, the images are accessible via IRIS.	IRIS	IRIS Desktop (printing instructions); Department of Business Affairs and Licensing Office (mailing)	Medium
BI-9	Manage the Workflow	The management and tracking of process workflow are automated core capabilities within IRIS.	IRIS	IRIS Desktop	Medium
LA	Conduct License Adjudication	Conduct hearings and issue disciplinary action when businesses are found to be non-compliant with the Chicago Municipal Code and Ordinances. Major categories of violations include: unlicensed activity, sale of alcohol to minors, subterfuge, failure to notify the police, etc.			Medium
LA-1	Receive Violations	Receive notices of violation from various sources (Police Department, Investigations Division of Department of Business Affairs and Licensing, Fire Department, Health Department, etc.).	IRIS	IRIS Desktop	Medium
LA-2	Determine Whether Violation Is Valid	Review information and determine whether the violation is valid. If valid, a case is created.	IRIS	IRIS Desktop	Medium
LA-3	Review Case	Review prior disciplinary history and determine whether the case should be submitted for settlement or an Administrative Hearing.	IRIS	IRIS Desktop	Medium
LA-4	Follow Settlement/Administrative Hearing Process	Follow process for conducting settlements and Administrative Hearings. Fines can be levied based on the outcomes.	IRIS	IRIS Desktop	High
LA-5	Process Appeals	Process appeals. Businesses can appeal a settlement or Administrative Hearing outcomes.	IRIS	IRIS Desktop	Medium
LA-6	Manage the Workflow	The management and tracking of process workflow are automated core capabilities within IRIS.	IRIS	IRIS Desktop	Medium

ID	Service Name	Service Description	Service Performed By	Point of Service Delivery	Application Complexity
PWP	Issue Public Way Permit	City streets, sidewalks, alleys and parkways are considered public rights of way. In order to occupy space on, under or over the public way, a Public Way Permit is required.			Medium
PWP-1	Accept Permit Application	Enter permit application information and begin due process. Permit application requires Alderman approval, fees and insurance.	IRIS	Department of Business Affairs and Licensing Offices	Medium
PWP-2	Approve Permit	Follow approval process for permit: obtain initial approval from City departments, prepare documentation, and obtain City Council approval. Ordinances are created for each approved permit.	IRIS	City Council approves permits; permit approval is recorded in IRIS Desktop	High
PWP-3	Accept Payment and Insurance	Accept permit fees and verify insurance.	IRIS	IRIS Desktop	Medium
PWP-4	Print and Mail Permit	Print and mail a permit.	IRIS	IRIS Desktop (printing); Department of Business Affairs and Licensing Offices (mailing)	Low
PWP-5	Conduct Follow-Up Investigations	Conduct investigations (as needed) to ensure compliance.	IRIS	Department of Business affairs and Licensing Offices	Medium
PWP-6	Renew Permit	Follow renewal process for Public Way Permit.	IRIS	IRIS Desktop	Medium
PWP-7	Prepare for Document Imaging	Instructions and documents to be imaged are prepared per requirements and delivered to the document imaging vendor. Documents are scanned and images are maintained by the vendor. However, the images are accessible via IRIS.	IRIS	IRIS Desktop (printing instructions); Department of Business affairs and Licensing Office (mailing)	Medium
PWP-8	Manage the Workflow	The management and tracking of process workflow are automated core capabilities within IRIS.	IRIS	IRIS Desktop	Medium
SS	Customer Self-Service	Provide businesses the ability to manage licenses and taxes via the Web.			High
SS-1	Process Business License Application on Web	Process application for a business license. Currently only retail licenses can be obtained over the Web.	License Application Web	Web	High

ID	Service Name	Service Description	Service Performed By	Point of Service Delivery	Application Complexity
SS-2	Process Business License Renewal on Web	Process license renewals.	License Renewal Web	Web	High
SS-3	File Taxes Online	File tax returns and calculate the amount of taxes due. Between May 1–August 15, there is a high volume of activity due to the processing of annual tax returns.	Tax Web	Web	High
SS-4	Pay Taxes Online	Pay taxes. Between May 1–August 15, there is a high volume of activity due to the processing of annual tax returns.	Tax Web	Web	High
SS-5	Pay City Bills and Fees Online	Pay other City bills and fees.	Cashiering Payment	Web	High
SS-6	Prepare for Document Imaging	Documents are faxed to the Department of Revenue and are imaged using FileNet. However, the images are accessible via IRIS.	FileNet	IRIS Desktop (printing instructions); Department of Business affairs and Licensing Office (mailing)	Medium
SS-7	Manage the Workflow	The management and tracking of process workflow are automated core capabilities within IRIS.	IRIS	IRIS Desktop	Medium
DI	Manage Document Images	Scan, index, extract data (tax forms, FBA tickets, etc.) and maintain documents based on instructions provided by the City. Provide access to view images via IRIS.	Document Imaging Vendor	Document Imaging Vendor Offices	Medium
S	Manage Security	Manage the application and information security. Application security rules are defined for various business functions; users are provided access to a set of business functions based on their role.			High
S-1	Manage User Access	Ensure access to data and application is granted for a business function.	Primary Vendor	All Applications	High
S-2	Manage Data Security	Protect and secure the application data.	Primary Vendor	All Applications	High
S-3	Manage Network Security	Ensure data processed over the network are secure.	Primary Vendor	All Applications	High
RP	Produce Reports	Produce reports from various data stored in IRIS (Business Objects), ARMS (Business Objects), and Cashiering Applications (Crystal Reports).			Medium
RP-1	Produce Client Consultation Reports	Reports are produced from various client consultation data stored in IRIS.	IRIS	Business Objects Universe	Medium

ID	Service Name	Service Description	Service Performed By	Point of Service Delivery	Application Complexity
RP-2	Produce License Reports	Reports are produced from various license data stored in IRIS.	IRIS	Business Objects Universe	Medium
RP-3	Produce Tax Reports	Reports are produced from various tax return data stored in IRIS.	IRIS	Business Objects Universe	Medium
RP-4	Produce FBA Reports	Reports are produced from various license and FBA data stored in IRIS.	IRIS	Business Objects Universe	Medium
RP-5	Produce Investigation Reports	Reports are produced from various investigation data stored in IRIS.	IRIS	Business Objects Universe	Medium
RP-6	Produce Adjudication Reports	Reports are produced from various adjudication data stored in IRIS.	IRIS	Business Objects Universe	Medium
RP-7	Produce Permit Reports	Reports are produced from various permit data stored in IRIS.	IRIS	Business Objects Universe	Medium
RP-8	Produce Consumer Service Reports	Reports are produced from various consumer services data stored in IRIS.	IRIS	Business Objects Universe	Medium
RP-9	Produce Global IRIS Reports	Global reports are produced from various data stored in IRIS.	IRIS	Business Objects Universe	Medium
RP-10	Produce Miscellaneous IRIS Reports	Miscellaneous reports are produced from various data stored in IRIS.	IRIS	Business Objects Universe	Medium
RP-11	Produce ARMS Reports	Reports are produced from various data stored in ARMS.	ARMS	Business Objects Universe	Medium
RP-12	Produce Cashiering Reports	Reports are produced from various data stored in the Cashiering Application.	Cashiering Application	Crystal Report	Medium

3.2 Support and Maintain Applications

ID	Service Name	Service Description	Service Performed By
AMS	Support and Maintain Applications	Support and maintain applications. Due to the nature and complexity of the applications, significant on-site presence is expected to provide required support.	
AMS-1	Provide Enhancement Support	Define and implement requirements to add/modify application functionality. Enhancement requests are either changes to existing programs, processes, batch procedures, or new program development.	Primary Vendor
AMS-2	Emergency Support—Break/Fix (Priority 1 Incidents)	Consists of task necessitating an immediate response for support.	Primary Vendor
AMS-3	Provide Production Support—Break/Fix (Priority 2–Priority 4 Incidents)	Production support will focus on ensuring that the day-to-day batch and online processing of systems are done accurately and on schedule. This will include corrective fixes when errors or outages are identified or preventive/permanent fixes made to prevent future outages.	Primary Vendor
AMS-4	Provide User Support	User support includes those activities for ensuring that user questions are answered, problems are researched, and overall assistance is provided for users to perform their jobs.	Primary Vendor
AMS-5	Manage and Track Support and Maintenance	Manage the process of providing support and maintenance for all applications utilizing a well-defined process and tools.	Primary Vendor
AI	Support Application Interfaces	Provide support for applications and various interfaces. Ensure Operational Level Agreements (OLAs) are met.	
AI-1	Support IRIS Interfaces	Support the IRIS side of the interface and work with the City or other vendors to resolve interface issues.	Primary Vendor
AI-2	Support Cashiering Interfaces	Support the Cashiering side of the interface and work with the City or other vendors to resolve interface issues.	Primary Vendor
AI-3	Configure Cashiering Application	Configure and support the next version of the Cashiering application which will be built using Payment Manager (application package).	Primary Vendor
AI-4	Support ARMS Interfaces	Support the ARMS side of the interface and work with the City or other vendors to resolve interface issues.	Primary Vendor
AI-5	Support Self-Service (Web) Application Interfaces	Support the Web Application side of the interface and work with the City or other vendors (Experian, GIS, etc.) to resolve interface issues.	Primary Vendor
MH	Manage Hardware	Manage hardware.	
MH-1	Support Cashiering Peripherals	Maintain hardware for Cashiering equipment (cash drawer, scanner, receipt printer and PIN debit pad).	Primary Vendor

3.3 Customer Service and Support

ID	Service Name	Service Description	Service Performed By
CS	Provide Customer Support	Support internal and external customers.	
CS-1	Process Help Desk Calls for Business License Assistance	Provide information on customer account (in IRIS) for Business Licenses via calls, e-mail, fax, walk-ins, etc.	Customer Support Tracker
CS-2	Process Help Desk Calls for Public Way Permit Assistance	Provide information on customer account in IRIS for Public Way Permits via calls, e-mail, fax, walk-in, etc.	Customer Support Tracker
CS-3	Process Help Desk Calls for HOLDS on Accounts Assistance	Provide information on customer account in IRIS for HOLDS on Business Licenses via calls, e-mail, fax, walk-in, etc.	Customer Support Tracker
CS-4	Process Help Desk Calls for False Burglar Alarm Assistance	Provide information on customer account in IRIS for False Burglar alarms (commercial and residential) via calls, e-mail, fax, walk-in, etc.	Customer Support Tracker
CS-5	Process Help Desk Calls for Tax Assistance	Provide information on customer account for taxes via calls, e-mail, fax, walk-in, etc.	Customer Support Tracker
CS-6	Provide Application Support—First-Level Support	Reset IRIS passwords, logging all issues related to: IRIS, ARMS, Cashiering application, Customer Service Tracker (CST), mobile devices and hardware related to Cashiering.	Customer Support Tracker
MP	Monitor Performance	Monitor Vendor Service Levels	
MP-1	Measure and Report Service Performance	Report SLA metrics, ACD, etc.	Primary Vendor

4. SERVICE REQUIREMENTS

The goal in developing service requirements is to support the City’s desire to manage the Respondent by monitoring and measuring performance on the City’s most important business requirements. Critical service requirements are identified in the “Service Level Agreement (SLA) Applicable” column in the tables listed below (Table 1–Table 17). Respondents must consistently meet or exceed the following minimum service requirements. Failure to meet the service requirements will subject Respondents to interim remedies in the form of service credits or “Fee Reductions”.

4.1 Application Support and Maintenance Service Requirements

Application Support and Maintenance Service Requirements are the performance metrics related to the services that the Respondent must provide on an ongoing basis in support of production applications in response to reported work defects and requests for changes in the applications.

In 2007 there were: 795 IRIS Application Users, 294 ARMS Application Users and 270 Cashiering Application Users.

Table 1. CC—Conduct Client Consultation

CC—Conduct Client Consultation						
Service Description		Provide relevant information to potential licensee. Information provided would include license/permit guidelines, taxes, etc. Consultation is conducted in person or over the telephone.				
Business Hours		8:00 a.m.–5 p.m. CST (Monday–Friday) None (Saturday, Sunday and Holidays)				
Service Hours		24/7 except for scheduled maintenance				
Primary Enabling Application		IRIS				
Workload		<ul style="list-style-type: none"> • 46,238 client consultations were conducted in the City’s Business Assistance Center in 2007 • 64,458 client consultations were conducted via telephone in 2007 				
Point of Service Delivery		Refer to <u>Section 3. SCOPE OF SERVICES</u>				
Application Support and Maintenance						
Service Type	Service Measure	Performance Target	Min. Perf. % Months 1–6	Min. Perf. % Month 7 Fwd	Measurement Interval	SLA Applicable?
Service Availability	Availability of Systems and Functions Necessary to Deliver Service	Available During Service Hours	98%	99%	Daily	Yes
Response Time of the Application	Response Time from Entering Command to Result During Service Hours	5 seconds	95%	95%	Daily	
Service Requests	Delivery Reply	<5 days	<5 days 95%	<5 days 98%	Weekly	
Service Requests Completion	Completion Date	Completion of Service Requests by Scheduled Completion Date	<5 days 95%	<5 days 98%	Weekly	
Incident Handling	Time to Respond—Business Hours (All Priority Levels)	10 minutes	98%	100%	Weekly	Yes

CC—Conduct Client Consultation						
Service Description	Provide relevant information to potential licensee. Information provided would include license/permit guidelines, taxes, etc. Consultation is conducted in person or over the telephone.					
Business Hours	8:00 a.m.–5 p.m. CST (Monday–Friday) None (Saturday, Sunday and Holidays)					
Service Hours	24/7 except for scheduled maintenance					
Primary Enabling Application	IRIS					
Workload	<ul style="list-style-type: none"> • 46,238 client consultations were conducted in the City’s Business Assistance Center in 2007 • 64,458 client consultations were conducted via telephone in 2007 					
Point of Service Delivery	Refer to <u>Section 3.SCOPE OF SERVICES</u>					
Application Support and Maintenance						
Service Type	Service Measure	Performance Target	Min. Perf. % Months 1–6	Min. Perf. % Month 7 Fwd	Measurement Interval	SLA Applicable?
	Time to Respond—Non-Business Hours (All Priority Levels)	60 minutes	98%	98%	Weekly	
	Time to Resolve:				Weekly	
	Priority Level 1	<2 hours	95%	95%		
	Priority Level 2	<4 hours	95%	95%		
	Priority Level 3	<6 hours	95%	95%		
	Priority Level 4	Next Business Day or as Prioritized by App. Mgr.	95%	95%		
Availability of Support Staff	Availability to Respond (Priority Level 1)	24/7	95%	98%	Weekly	
	Availability to Respond (Priority Levels 2–4)	Business Hours	95%	98%	Weekly	
Quality	Incidents Recorded After Application Release	Calibrated Based on Complexity	Will Be Determined on a per-Release Basis	Will Be Determined on a per-Release Basis	Monthly	
SEI/CMM Level	Target Level	Level 2 Compliant with Level 3 Characteristics	95% of Enhancements	100% of Enhancements	Annually	
Documents Mailed	Document Mailing Targets Met	Number of Documents Mailed/ Mailing Target	95%	100%	Monthly	
	Formula	Performance = Transactions completed within required time ÷ Total Transactions				
	Reporting Interval	Monitor Continuously; Report Weekly				
	Measurement Tool	Respondent-specified monitoring and reporting tool(s) to be used				

Table 2. BL—Issue Business License

BL—Issue Business License						
Service Description		Issue and process business license.				
Business Hours		8:00 a.m.–5:00 p.m. CST (Monday–Friday) None (Saturday, Sunday and Holidays)				
Service Hours		24/7 except for scheduled maintenance				
Primary Enabling Application		IRIS				
Workload		<ul style="list-style-type: none"> • 20,972 new licenses were issued in 2007 • 37,406 inspections were conducted in 2007 • 78,508 license renewals notices were mailed in 2006. Of the 78,508 license renewals mailed, 66,522 license certificates were printed. 				
Point of Service Delivery		Refer to <u>Section 3.SCOPE OF SERVICES</u>				
Application Support and Maintenance						
Service Type	Service Measure	Performance Target	Min. Perf. % Months 1–6	Min. Perf. % Month 7 Fwd	Measurement Interval	SLA Applicable?
Service Availability	Availability of Systems and Functions Necessary to Deliver Service	Available During Service Hours	98%	99%	Daily	Yes
	Availability of Systems and Functions Necessary to Perform License Renewal	Available During Service Hours	100%	100%	Daily	Yes
	Availability of Systems and Functions Necessary to Mail License Renewals	Available <5 Business Days After Approval to Process License Renewals	100%	100%	Daily	Yes
	Availability of Systems and Functions Necessary to Issue Inspection Notice Report	Available During Service Hours	100%	100%	Daily	Yes
	Availability of Systems and Functions Necessary to Mail Inspection Notice Report	Available <5 Business Days After Approval to Process License Renewals	100%	100%	Daily	Yes
Response Time of the Application	Response Time From Entering Command to Result During Service Hours	5 seconds	95%	95%	Daily	
Service Requests	Delivery Reply	<5 days	<5 days 95%	<5 days 98%	Weekly	
Service Requests Completion	Completion Date	Completion of Service Requests by Scheduled Completion Date	<5 days 95%	<5 days 98%	Weekly	
Incident Handling	Time to Respond—Service Hours (All Priority Levels)	10 minutes	98%	100%	Weekly	Yes

BL—Issue Business License						
Service Description		Issue and process business license.				
Business Hours		8:00 a.m.–5:00 p.m. CST (Monday–Friday) None (Saturday, Sunday and Holidays)				
Service Hours		24/7 except for scheduled maintenance				
Primary Enabling Application		IRIS				
Workload		<ul style="list-style-type: none"> • 20,972 new licenses were issued in 2007 • 37,406 inspections were conducted in 2007 • 78,508 license renewals notices were mailed in 2006. Of the 78,508 license renewals mailed, 66,522 license certificates were printed. 				
Point of Service Delivery		Refer to <u>Section 3.SCOPE OF SERVICES</u>				
Application Support and Maintenance						
Service Type	Service Measure	Performance Target	Min. Perf. % Months 1–6	Min. Perf. % Month 7 Fwd	Measurement Interval	SLA Applicable?
	Time to Respond—Non-Business Hours (All Priority Levels)	60 minutes	98%	98%	Weekly	
	Time to Resolve:				Weekly	
	Priority Level 1	<2 hours	95%	95%		
	Priority Level 2	<4 hours	95%	95%		
	Priority Level 3	<6 hours	95%	95%		
	Priority Level 4	Next Business Day or as Prioritized by App. Mgr.	95%	95%		
Availability of Support Staff	Availability to Respond (Priority Level 1)	24/7	95%	98%	Weekly	
	Availability to Respond (Priority Levels 2–4)	Business Hours	95%	98%	Weekly	
Quality	Incidents Recorded After Application Release	Calibrated Based on Complexity	Will Be Determined on a per-Release Basis	Will Be Determined on a per-Release Basis	Monthly	
SEI/CMM Level	Target Level	Level 2 Compliant with Level 3 Characteristics	95% of Enhancements	100% of Enhancements	Annually	
Documents Mailed	Document Mailing Targets Met	Number of Documents Mailed/Mailing Target	95%	100%	Monthly	
	Formula	Performance = Transactions completed within required time ÷ Total Transactions				
	Reporting Interval	Monitor Continuously; Report Weekly				
	Measurement Tool	Respondent-specified monitoring and reporting tool(s) to be used				

Table 3. TR—Process Tax Returns

TR—Process Tax Returns						
Service Description		Tax Returns are processed based on: business type, tax /license codes, associated property (e.g., medallions, amusement devices, etc.). Taxes are incurred for a relevant period. Enforcement of taxes due to one-time activities (real property sale, bulk sales, titled/non-title use, etc.) is also performed. Between May 1–August 15, there is a high volume of activity due to the processing of annual tax returns.				
Business Hours		8:00 a.m.–5:00 p.m. CST (Monday–Friday) None (Saturday, Sunday and Holidays)				
Service Hours		24/7 except for scheduled maintenance				
Primary Enabling Application		IRIS				
Workload		<ul style="list-style-type: none"> • 18,034 tax returns were processed in 2007 • 27,891 tax return packages were sent to the mail outsourcer for mailing in 2007 • 27,891 tax return packages were mailed by the outsourcer in 2007 				
Point of Service Delivery		Refer to Section 3.SCOPE OF SERVICES				
Application Support and Maintenance						
Service Type	Service Measure	Performance Target	Min. Perf. % Months 1–6	Min. Perf. % Month 7 Fwd	Measurement Interval	SLA Applicable?
Service Availability	Availability of Systems and Functions Necessary to Deliver Service	Available During Service Hours	98%	99%	Daily	Yes
	Availability of Systems and Functions Necessary to Process Tax Returns	Available 24/7	100%	100%	Daily	Yes
Response Time of the Application	Response Time from Entering Command to Result During Service Hours	5 seconds	95%	95%	Daily	
Service Requests	Delivery Reply	<5 days	<5 days 95%	<5 days 98%	Weekly	
Service Requests Completion	Completion Date	Completion of Service Requests by Scheduled Completion Date	<5 days 95%	<5 days 98%	Weekly	
Incident Handling	Time to Respond—Business Hours (All Priority Levels)	10 minutes	98%	100%	Weekly	
	Time to Respond—Non-Business Hours (All Priority Levels)	60 minutes	98%	98%	Weekly	
	Time to Resolve:				Weekly	
	Priority Level 1	<2 hours	95%	95%		
	Priority Level 2	<4 hours	95%	95%		
	Priority Level 3	<6 hours	95%	95%		
	Priority Level 4	Next Business Day or as Prioritized by App. Mgr.	95%	95%		
Availability of Support Staff	Availability to Respond (Priority Level 1)	24/7	95%	98%	Weekly	

TR—Process Tax Returns						
Service Description		Tax Returns are processed based on: business type, tax /license codes, associated property (e.g., medallions, amusement devices, etc.). Taxes are incurred for a relevant period. Enforcement of taxes due to one-time activities (real property sale, bulk sales, titled/non-title use, etc.) is also performed. Between May 1–August 15, there is a high volume of activity due to the processing of annual tax returns.				
Business Hours		8:00 a.m.–5:00 p.m. CST (Monday–Friday) None (Saturday, Sunday and Holidays)				
Service Hours		24/7 except for scheduled maintenance				
Primary Enabling Application		IRIS				
Workload		<ul style="list-style-type: none"> • 18,034 tax returns were processed in 2007 • 27,891 tax return packages were sent to the mail outsourcer for mailing in 2007 • 27,891 tax return packages were mailed by the outsourcer in 2007 				
Point of Service Delivery		Refer to <u>Section 3.SCOPE OF SERVICES</u>				
Application Support and Maintenance						
Service Type	Service Measure	Performance Target	Min. Perf. % Months 1–6	Min. Perf. % Month 7 Fwd	Measurement Interval	SLA Applicable?
	Availability to Respond (Priority Levels 2–4)	Business Hours	95%	98%	Weekly	
Quality	Incidents Recorded After Application Release	Calibrated Based on Complexity	Will Be Determined on a per-Release Basis	Will Be Determined on a per-Release Basis	Monthly	
SEI/CMM Level	Target Level	Level 2 Compliant with Level 3 Characteristics	95% of Enhancements	100% of Enhancements	Annually	
Documents Mailed	Document Mailing Targets Met	Number of Documents Mailed/Mailing Target	95%	100%	Monthly	
	Formula	Performance = Transactions completed within required time ÷ Total Transactions				
	Reporting Interval	Monitor Continuously; Report Weekly				
	Measurement Tool	Respondent-specified monitoring and reporting tool(s) to be used				

Table 4. CD—Manage and Collect City Debt

CD—Manage and Collect City Debt						
Service Description		Collect debt owed to the City. Major debt types include: Administrative Hearings, False Burglar Alarm (FBA), Traffic Control, Employee Indebtedness, Emergency Medical Services (EMS), Cost Recovery (in case of property damage) and Non-Sufficient Funds (NSFs) relating to checks.				
Business Hours		8:00 a.m.–5:00 p.m. CST (Monday–Friday) None (Saturday, Sunday and Holidays)				
Service Hours		24/7 except for scheduled maintenance				
Primary Enabling Application		ARMS				
Workload		<ul style="list-style-type: none"> • 146,043 notices are printed annually. Of the 146,043 notices printed, there were 18 different types of notices. • 15,245 City and sister agencies’ employees had debt referred for collection in 2006 • 47,135 parking tickets were referred for collection in 2006 • EMS updates can be as much as 400,000 transactions daily • From 2003–2007: <ul style="list-style-type: none"> ○ The number of status updates provided by the outside collection firms ranged from 235,000 to 655,000 annually ○ An average of 413,100 payment records were processed in ARMS ○ The number of new City debt transactions referred to outside collection firms ranged from 76,700–383,000 				
Point of Service Delivery		Refer to <u>Section 3.SCOPE OF SERVICES</u>				
Application Support and Maintenance						
Service Type	Service Measure	Performance Target	Min. Perf. % Months 1–6	Min. Perf. % Month 7 Fwd	Measurement Interval	SLA Applicable?
Service Availability	Availability of Systems and Functions Necessary to Deliver Service	Available During Service Hours	98%	99%	Daily	Yes
Response Time of the Application	Response Time from Entering Command to Result During Service Hours	5 seconds	95%	95%	Daily	
Service Requests	Delivery Reply	<5 days	<5 days 95%	<5 days 98%	Weekly	
Service Requests Completion	Completion Date	Completion of Service Requests by Scheduled Completion Date	<5 days 95%	<5 days 98%	Weekly	
Incident Handling	Time to Respond—Business Hours (All Priority Levels)	10 minutes	98%	100%	Weekly	
	Time to Respond—Non-Business Hours (All Priority Levels)	60 minutes	98%	98%	Weekly	
	Time to Resolve:				Weekly	
	Priority Level 1	<2 hours	95%	95%		
	Priority Level 2	<4 hours	95%	95%		
	Priority Level 3	<6 hours	95%	95%		

CD—Manage and Collect City Debt

Service Description	Collect debt owed to the City. Major debt types include: Administrative Hearings, False Burglar Alarm (FBA), Traffic Control, Employee Indebtedness, Emergency Medical Services (EMS), Cost Recovery (in case of property damage) and Non-Sufficient Funds (NSFs) relating to checks.					
Business Hours	8:00 a.m.–5:00 p.m. CST (Monday–Friday) None (Saturday, Sunday and Holidays)					
Service Hours	24/7 except for scheduled maintenance					
Primary Enabling Application	ARMS					
Workload	<ul style="list-style-type: none"> • 146,043 notices are printed annually. Of the 146,043 notices printed, there were 18 different types of notices. • 15,245 City and sister agencies' employees had debt referred for collection in 2006 • 47,135 parking tickets were referred for collection in 2006 • EMS updates can be as much as 400,000 transactions daily • From 2003–2007: <ul style="list-style-type: none"> ○ The number of status updates provided by the outside collection firms ranged from 235,000 to 655,000 annually ○ An average of 413,100 payment records were processed in ARMS ○ The number of new City debt transactions referred to outside collection firms ranged from 76,700–383,000 					
Point of Service Delivery	Refer to <u>Section 3.SCOPE OF SERVICES</u>					
Application Support and Maintenance						
Service Type	Service Measure	Performance Target	Min. Perf. % Months 1–6	Min. Perf. % Month 7 Fwd	Measurement Interval	SLA Applicable?
	Priority Level 4	Next Business Day or as Prioritized by App. Mgr.	95%	95%		
Availability of Support Staff	Availability to Respond (Priority Level 1)	24/7	95%	98%	Weekly	
	Availability to Respond (Priority Levels 2–4)	Business Hours	95%	98%	Weekly	
Compliance	Compliance with HIPAA regulations	Full Compliance	100%	100%	Daily	Yes
Quality	Incidents Recorded After Application Release	Calibrated Based on Complexity	Will Be Determined on a per-Release Basis	Will Be Determined on a per-Release Basis	Monthly	
SEI/CMM Level	Target Level	Level 2 Compliant with Level 3 Characteristics	95% of Enhancements	100% of Enhancements	Annually	
Documents Mailed	Document Mailing Targets Met	Number of Documents Mailed /Mailing Target	95%	100%	Monthly	
	Formula	Performance = Transactions completed within required time ÷ Total Transactions				
	Reporting Interval	Monitor Continuously; Report Weekly				
	Measurement Tool	Respondent-specified monitoring and reporting tool(s) to be used				

Table 5. C—Pay City Bills and Fees (Cashiering)

C—Pay City Bills and Fees (Cashiering)						
Service Description		Accept payments from debtors, record amount received, record type of payment and relieve debt.				
Business Hours		24/7				
Service Hours		24/7 except for scheduled maintenance				
Primary Enabling Application		Cashiering				
Workload		3,083,381 payment transactions totaling \$4,168,521,245 were processed in 2007				
Point of Service Delivery		Refer to <u>Section 3.SCOPE OF SERVICES</u>				
Application Support and Maintenance						
Service Type	Service Measure	Performance Target	Min. Perf. % Months 1–6	Min. Perf. % Month 7 Fwd	Measurement Interval	SLA Applicable?
Service Availability	Availability of Systems and Functions Necessary to Deliver Service	Available During Service Hours	98%	99%	Daily	Yes
Service Processing Completion	Completion of Lockbox Payments Processing	Completed by 10:00 a.m. Next Business Day	100%	100%	Daily	Yes
	Files Sent For Treasury’s Processing	Send Files by 8:00 p.m. Monday–Friday	100%	100%	Daily	Yes
	Files Sent For Comptroller’s Processing	Send Files by 8:00 p.m. Monday–Friday	100%	100%	Daily	Yes
Response Time of the Application	Response Time from Entering Command to Result During Service Hours	5 seconds	95%	95%	Daily	
Service Requests	Delivery Reply	<5 days	<5 days 95%	<5 days 98%	Weekly	
Service Requests Completion	Completion Date	Completion of Service Requests by Scheduled Completion Date	<5 days 95%	<5 days 98%	Weekly	
Incident Handling	Time to Respond—Business Hours (All Priority Levels)	10 minutes	98%	100%	Weekly	
	Time to Respond—Non-Business Hours (All Priority Levels)	60 minutes	98%	98%	Weekly	
	Time to Resolve:				Weekly	
	Priority Level 1	<2 hours	95%	95%		
	Priority Level 2	<4 hours	95%	95%		
	Priority Level 3	<6 hours	95%	95%		
	Priority Level 4	Next Business Day or as Prioritized by App. Mgr.	95%	95%		

C—Pay City Bills and Fees (Cashiering)

Service Description		Accept payments from debtors, record amount received, record type of payment and relieve debt.				
Business Hours		24/7				
Service Hours		24/7 except for scheduled maintenance				
Primary Enabling Application		Cashiering				
Workload		3,083,381 payment transactions totaling \$4,168,521,245 were processed in 2007				
Point of Service Delivery		Refer to <u>Section 3.SCOPE OF SERVICES</u>				
Application Support and Maintenance						
Service Type	Service Measure	Performance Target	Min. Perf. % Months 1–6	Min. Perf. % Month 7 Fwd	Measurement Interval	SLA Applicable?
Availability of Support Staff	Availability to Respond (Priority Level 1)	24/7	95%	98%	Weekly	
	Availability to Respond (Priority Levels 2–4)	Business Hours	95%	98%	Weekly	
Quality	Incidents Recorded After Application Release	Calibrated Based on Complexity	Will Be Determined on a per-Release Basis	Will Be Determined on a per-Release Basis	Monthly	
SEI/CMM Level	Target Level	Level 2 Compliant with Level 3 Characteristics	95% of Enhancements	100% of Enhancements	Annually	
Documents Mailed	Document Mailing Targets Met	Number of Documents Mailed/Mailing Target	95%	100%	Monthly	
	Formula	Performance = Transactions completed within required time ÷ Total Transactions				
	Reporting Interval	Monitor Continuously; Report Weekly				
	Measurement Tool	Respondent-specified monitoring and reporting tool(s) to be used				

Table 6. BI—Conduct Business Investigations

BI—Conduct Business Investigations						
Service Description		Investigate current business activities and determine if businesses are in compliance with: licenses, public way use permits, taxes, tobacco programs, etc. If a business is not in compliance, appropriate enforcement action will be taken. In addition to investigations, inspections are also performed when a business license is requested.				
Business Hours		8:00 a.m.–7:00 p.m. CST (Monday–Friday) 8:00 p.m.–2:00 a.m. CST (Friday Night–Saturday Morning)—twice per month as scheduled				
Service Hours		24/7 except for scheduled maintenance				
Primary Enabling Application		IRIS/IRIS Mobile				
Workload		51,801 investigations were conducted in 2007				
Point of Service Delivery		Refer to Section 3. SCOPE OF SERVICES				
Application Support and Maintenance						
Service Type	Service Measure	Performance Target	Min. Perf. % Months 1–6	Min. Perf. % Month 7 Fwd	Measurement Interval	SLA Applicable?
Service Availability	Availability of Systems and Functions Necessary to Deliver Service	Available During Service Hours	98%	99%	Daily	Yes
Response Time of the Application	Response Time from Entering Command to Result During Service Hours	5 seconds	95%	95%	Daily	
Service Requests	Delivery Reply	<5 days	<5 days 95%	<5 days 98%	Weekly	
Service Requests Completion	Completion Date	Completion of Service Requests by Scheduled Completion Date	<5 days 95%	<5 days 98%	Weekly	
Incident Handling	Time to Respond—Business Hours (All Priority Levels)	10 minutes	98%	100%	Weekly	
	Time to Respond—Non-Business Hours (All Priority Levels)	60 minutes	98%	98%	Weekly	
	Time to Resolve:				Weekly	
	Priority Level 1	<2 hours	95%	95%		
	Priority Level 2	<4 hours	95%	95%		
Priority Level 3	<6 hours	95%	95%			
Availability of Support Staff	Availability to Respond (Priority Level 1)	24/7	95%	98%	Weekly	
	Availability to Respond (Priority Levels 2–4)	Business Hours	95%	98%	Weekly	
Quality	Incidents Recorded After Application Release	Calibrated Based on Complexity	Will Be Determined on a per-Release Basis	Will Be Determined on a per-Release Basis	Monthly	
SEI/CMM Level	Target Level	Level 2 Compliant with Level 3 Characteristics	95% of Enhancements	100% of Enhancements	Annually	

BI—Conduct Business Investigations						
Service Description		Investigate current business activities and determine if businesses are in compliance with: licenses, public way use permits, taxes, tobacco programs, etc. If a business is not in compliance, appropriate enforcement action will be taken. In addition to investigations, inspections are also performed when a business license is requested.				
Business Hours		8:00 a.m.–7:00 p.m. CST (Monday–Friday) 8:00 p.m.–2:00 a.m. CST (Friday Night–Saturday Morning)—twice per month as scheduled				
Service Hours		24/7 except for scheduled maintenance				
Primary Enabling Application		IRIS/IRIS Mobile				
Workload		51,801 investigations were conducted in 2007				
Point of Service Delivery		Refer to <u>Section 3.SCOPE OF SERVICES</u>				
Application Support and Maintenance						
Service Type	Service Measure	Performance Target	Min. Perf. % Months 1–6	Min. Perf. % Month 7 Fwd	Measurement Interval	SLA Applicable?
Documents Mailed	Document Mailing Targets Met	Number of Documents Mailed/Mailing Target	95%	100%	Monthly	
	Formula	Performance = Transactions completed within required time ÷ Total Transactions				
	Reporting Interval	Monitor Continuously; Report Weekly				
	Measurement Tool	Respondent-specified monitoring and reporting tool(s) to be used				

Table 7. LA—Conduct License Adjudication

LA—Conduct License Adjudication						
Service Description		Conduct hearings and issue disciplinary action when businesses are found to be non-compliant with the Chicago Municipal Code and Ordinances. Major categories of violation include: unlicensed activity, sale of alcohol to minors, subterfuge, failure to notify the police, etc.				
Business Hours		8:00 a.m.–5:00 p.m. CST (Monday–Friday) None (Saturday, Sunday and Holidays)				
Service Hours		24/7 except for scheduled maintenance				
Primary Enabling Application		IRIS				
Workload		911 License Adjudications were conducted in 2007				
Point of Service Delivery		Refer to <u>Section 3.SCOPE OF SERVICES</u>				
Application Support and Maintenance						
Service Type	Service Measure	Performance Target	Min. Perf. % Months 1–6	Min. Perf. % Month 7 Fwd	Measurement Interval	SLA Applicable?
Service Availability	Availability of Systems and Functions Necessary to Deliver Service	Available During Service Hours	98%	99%	Daily	Yes
Response Time of the Application	Response Time from Entering Command to Result During Service Hours	5 seconds	95%	95%	Daily	
Service Requests	Delivery Reply	<5 days	<5 days 95%	<5 days 98%	Weekly	
Service Requests Completion	Completion Date	Completion of Service Requests by Scheduled Completion Date	<5 days 95%	<5 days 98%	Weekly	
Incident Handling	Time to Respond—Business Hours (All Priority Levels)	10 minutes	98%	100%	Weekly	
	Time to Respond—Non-Business Hours (All Priority Levels)	60 minutes	98%	98%	Weekly	
	Time to Resolve:				Weekly	
	Priority Level 1	<2 hours	95%	95%		
	Priority Level 2	<4 hours	95%	95%		
	Priority Level 3	<6 hours	95%	95%		
	Priority Level 4	Next Business Day or as Prioritized by App. Mgr.	95%	95%		
Availability of Support Staff	Availability to Respond (Priority Level 1)	24/7	95%	98%	Weekly	
	Availability to Respond (Priority Levels 2–4)	Business Hours	95%	98%	Weekly	
Quality	Incidents Recorded After Application Release	Calibrated Based on Complexity	Will Be Determined on a per-Release Basis	Will Be Determined on a per-Release Basis	Monthly	

LA—Conduct License Adjudication						
Service Description		Conduct hearings and issue disciplinary action when businesses are found to be non-compliant with the Chicago Municipal Code and Ordinances. Major categories of violation include: unlicensed activity, sale of alcohol to minors, subterfuge, failure to notify the police, etc.				
Business Hours		8:00 a.m.–5:00 p.m. CST (Monday–Friday) None (Saturday, Sunday and Holidays)				
Service Hours		24/7 except for scheduled maintenance				
Primary Enabling Application		IRIS				
Workload		911 License Adjudications were conducted in 2007				
Point of Service Delivery		Refer to <u>Section 3.SCOPE OF SERVICES</u>				
Application Support and Maintenance						
Service Type	Service Measure	Performance Target	Min. Perf. % Months 1–6	Min. Perf. % Month 7 Fwd	Measurement Interval	SLA Applicable?
SEI/CMM Level	Target Level	Level 2 Compliant with Level 3 Characteristics	95% of Enhancements	100% of Enhancements	Annually	
Documents Mailed	Document Mailing Targets Met	Number of Documents Mailed /Mailing Target	95%	100%	Monthly	
	Formula	Performance = Transactions completed within required time ÷ Total Transactions				
	Reporting Interval	Monitor Continuously; Report Weekly				
	Measurement Tool	Respondent-specified monitoring and reporting tool(s) to be used				

Table 8. PWP—Issue Public Way Permit

PWP—Issue Public Way Permit						
Service Description		City streets, sidewalks, alleys and parkways are considered public rights of way. In order to occupy space on, under or over the public way, a Public Way Permit is required.				
Business Hours		8:00 a.m.–5:00 p.m. CST (Monday–Friday) None (Saturday, Sunday and Holidays)				
Service Hours		24/7 except for scheduled maintenance				
Primary Enabling Application		IRIS				
Workload		<ul style="list-style-type: none"> • 7,444 Annual Billings First Notices were mailed to permit holders in 2007. Of the 7,444 Annual First Billings, 3,851 were for Public Way Permits and 3,593 were for FBA permits. • 2,430 Annual Billings Second Notices were mailed in 2007 • 7,243 inspections for permits were conducted in 2007 • 565 First Notices for permit renewals were mailed in 2007 • 560 Second Notices for permit renewals were mailed in 2007 Peak Processing Period: Summer Sidewalk Café Permitting March 1–May 1				
Point of Service Delivery		Refer to <u>Section 3. SCOPE OF SERVICES</u>				
Application Support and Maintenance						
Service Type	Service Measure	Performance Target	Min. Perf. % Months 1–6	Min. Perf. % Month 7 Fwd	Measurement Interval	SLA Applicable?
Service Availability	Availability of Systems and Functions Necessary to Deliver Service	Available During Service Hours	98%	99%	Daily	Yes
	Availability of Systems and Functions Necessary to Send Annual Permit Billing Notices	Available During Service Hours	100%	100%	Daily	Yes
	Availability of Systems and Functions Necessary to Mail Annual Permit Billing Notices	Available <5 Business Days After Approval to Process Permit Billing Notices	100%	100%	Daily	Yes
Response Time of the Application	Response Time from Entering Command to Result During Service Hours	5 seconds	95%	95%	Daily	
Service Requests	Delivery Reply	<5 days	<5 days 95%	<5 days 98%	Weekly	
Service Requests Completion	Completion Date	Completion of Service Requests by Scheduled Completion Date	<5 days 95%	<5 days 98%	Weekly	
Incident Handling	Time to Respond—Business Hours (All Priority Levels)	10 minutes	98%	100%	Weekly	
	Time to Respond—Non-Business Hours (All Priority Levels)	60 minutes	98%	98%	Weekly	
	Time to Resolve:				Weekly	

PWP—Issue Public Way Permit						
Service Description		City streets, sidewalks, alleys and parkways are considered public rights of way. In order to occupy space on, under or over the public way, a Public Way Permit is required.				
Business Hours		8:00 a.m.–5:00 p.m. CST (Monday–Friday) None (Saturday, Sunday and Holidays)				
Service Hours		24/7 except for scheduled maintenance				
Primary Enabling Application		IRIS				
Workload		<ul style="list-style-type: none"> 7,444 Annual Billings First Notices were mailed to permit holders in 2007. Of the 7,444 Annual First Billings, 3,851 were for Public Way Permits and 3,593 were for FBA permits. 2,430 Annual Billings Second Notices were mailed in 2007 7,243 inspections for permits were conducted in 2007 565 First Notices for permit renewals were mailed in 2007 560 Second Notices for permit renewals were mailed in 2007 Peak Processing Period: Summer Sidewalk Café Permitting March 1–May 1				
Point of Service Delivery		Refer to <u>Section 3. SCOPE OF SERVICES</u>				
Application Support and Maintenance						
Service Type	Service Measure	Performance Target	Min. Perf. % Months 1–6	Min. Perf. % Month 7 Fwd	Measurement Interval	SLA Applicable?
	Priority Level 1	<2 hours	95%	95%		
	Priority Level 2	<4 hours	95%	95%		
	Priority Level 3	<6 hours	95%	95%		
	Priority Level 4	Next Business Day or as Prioritized by App. Mgr.	95%	95%		
Availability of Support Staff	Availability to Respond (Priority Level 1)	24/7	95%	98%	Weekly	
	Availability to Respond (Priority Levels 2–4)	Business Hours	95%	98%	Weekly	
Quality	Incidents Recorded After Application Release	Calibrated Based on Complexity	Will Be Determined on a per-Release Basis	Will Be Determined on a per-Release Basis	Monthly	
SEI/CMM Level	Target Level	Level 2 Compliant with Level 3 Characteristics	95% of Enhancements	100% of Enhancements	Annually	
Documents Mailed	Document Mailing Targets Met	Number of Documents Mailed/Mailing Target	95%	100%	Monthly	
	Formula	Performance = Transactions completed within required time ÷ Total Transactions				
	Reporting Interval	Monitor Continuously; Report Weekly				
	Measurement Tool	Respondent-specified monitoring and reporting tool(s) to be used				

Table 9. SS—Customer Self-Service

SS—Customer Self-Service						
Service Description		Provide businesses the ability to manage licenses and taxes via Web.				
Business Hours		24/7				
Service Hours		24/7 except for scheduled maintenance				
Primary Enabling Application		License Application Web, License Renewal Web, Tax Return Web and Tax Payment Web				
Workload		<ul style="list-style-type: none"> • License Application Web (2007): <ul style="list-style-type: none"> ○ 309 total applications created ○ 219 applications submitted ○ 151 applications approved ○ 131 applications paid • License Renewal Web (2007): <ul style="list-style-type: none"> ○ 24,149 licenses renewed online (80% YOY increase) ○ 517 licenses canceled • Tax Return/Tax Payment Web: <ul style="list-style-type: none"> ○ 4,041 businesses paid taxes online ○ 18,354 tax payments (122% YOY increase) ○ \$31,444,575.41 in total revenue (123% YOY increase) 				
Point of Service Delivery		Refer to Section 3.SCOPE OF SERVICES				
Application Support and Maintenance						
Service Type	Service Measure	Performance Target	Min. Perf. % Months 1–6	Min. Perf. % Month 7 Fwd	Measurement Interval	SLA Applicable?
Service Availability	Availability of Systems and Functions Necessary to Deliver Service	Available During Service Hours	98%	99%	Daily	Yes
Response Time of the Application	Response Time from Entering Command to Result During Service Hours	5 seconds	95%	95%	Daily	
Service Requests	Delivery Reply	<5 days	<5 days 95%	<5 days 98%	Weekly	
Service Requests Completion	Completion Date	Completion of Service Requests by Scheduled Completion Date	<5 days 95%	<5 days 98%	Weekly	
Incident Handling	Time to Respond—Business Hours (All Priority Levels)	10 minutes	98%	100%	Weekly	
	Time to Respond—Non-Business Hours (All Priority Levels)	60 minutes	98%	98%	Weekly	
	Time to Resolve:				Weekly	
	Priority Level 1	<2 hours	95%	95%		
	Priority Level 2	<4 hours	95%	95%		
	Priority Level 3	<6 hours	95%	95%		
	Priority Level 4	Next Business Day or as Prioritized by App. Mgr.	95%	95%		
Availability of Support Staff	Availability to Respond (Priority Level 1)	24/7	95%	98%	Weekly	

SS—Customer Self-Service						
Service Description		Provide businesses the ability to manage licenses and taxes via Web.				
Business Hours		24/7				
Service Hours		24/7 except for scheduled maintenance				
Primary Enabling Application		License Application Web, License Renewal Web, Tax Return Web and Tax Payment Web				
Workload		<ul style="list-style-type: none"> • License Application Web (2007): <ul style="list-style-type: none"> ○ 309 total applications created ○ 219 applications submitted ○ 151 applications approved ○ 131 applications paid • License Renewal Web (2007): <ul style="list-style-type: none"> ○ 24,149 licenses renewed online (80% YOY increase) ○ 517 licenses canceled • Tax Return/Tax Payment Web: <ul style="list-style-type: none"> ○ 4,041 businesses paid taxes online ○ 18,354 tax payments (122% YOY increase) ○ \$31,444,575.41 in total revenue (123% YOY increase) 				
Point of Service Delivery		Refer to <u>Section 3.SCOPE OF SERVICES</u>				
Application Support and Maintenance						
Service Type	Service Measure	Performance Target	Min. Perf. % Months 1–6	Min. Perf. % Month 7 Fwd	Measure-ment Interval	SLA Applicable?
	Availability to Respond (Priority Levels 2–4)	Business Hours	95%	98%	Weekly	
Quality	Incidents Recorded After Application Release	Calibrated Based on Complexity	Will be Determined on a Per Release Basis	Will be Determined on a Per Release Basis	Monthly	
SEI/CMM Level	Target Level	Level 2 Compliant with Level 3 Characteristics	95% of Enhancements	100% of Enhancements	Annually	
Documents Mailed	Document Mailing Targets Met	Number of Documents Mailed/Mailing Target	95%	100%	Monthly	
	Formula	Performance = Transactions completed within required time ÷ Total Transactions				
	Reporting Interval	Monitor Continuously, Report Weekly				
	Measurement Tool	Respondent-specified monitoring and reporting tool(s) to be used				

Table 10. DI—Manage Document Images

DI—Manage Document Images						
Service Description		<p>Prepare instructions and relevant documents for the Imaging Vendor to scan, index, extract data and maintain documents.</p> <p>Index, extract data and maintain documents faxed/e-mailed to the Department of Business Affairs and Licensing by users of the Web-based applications (License Application Web and License Renewal Web) utilizing FileNet.</p>				
Business Hours		24/7				
Service Hours		24/7 except for scheduled maintenance				
Primary Enabling Application		IRIS				
Workload		<ul style="list-style-type: none"> • 200 types of documents are imaged by imaging vendor • 20 License Application Web documents were imaged using FileNet 				
Point of Service Delivery		Refer to <u>Section 3. SCOPE OF SERVICES</u>				
Application Support and Maintenance						
Service Type	Service Measure	Performance Target	Min. Perf. % Months 1–6	Minimum Perf. % Month 7 Fwd	Measurement Interval	SLA Applicable?
Service Availability	Availability of Systems and Functions Necessary to Deliver Service	Available During Service Hours	98%	99%	Daily	Yes
Response Time of the Application	Response Time from Entering Command to Result During Service Hours	5 seconds	95%	95%	Daily	
Service Requests	Delivery Reply	<5 days	<5 days 95%	<5 days 98%	Weekly	
Service Requests Completion	Completion Date	Completion of Service Requests by Scheduled Completion Date	<5 days 95%	<5 days 98%	Weekly	
Incident Handling	Time to Respond—Business Hours (All Priority Levels)	10 minutes	98%	100%	Weekly	
	Time to Respond—Non-Business Hours (All Priority Levels)	60 minutes	98%	98%	Weekly	
	Time to Resolve:				Weekly	
	Priority Level 1	<2 hours	95%	95%		
	Priority Level 2	<4 hours	95%	95%		
	Priority Level 3	<6 hours	95%	95%		
	Priority Level 4	Next Business Day or as Prioritized by App. Mgr.	95%	95%		
Availability of Support Staff	Availability to Respond (Priority Level 1)	24/7	95%	98%	Weekly	
	Availability to Respond (Priority Levels 2–4)	Business Hours	95%	98%	Weekly	

DI—Manage Document Images						
Service Description		<p>Prepare instructions and relevant documents for the Imaging Vendor to scan, index, extract data and maintain documents.</p> <p>Index, extract data and maintain documents faxed/e-mailed to the Department of Business Affairs and Licensing by users of the Web-based applications (License Application Web and License Renewal Web) utilizing FileNet.</p>				
Business Hours		24/7				
Service Hours		24/7 except for scheduled maintenance				
Primary Enabling Application		IRIS				
Workload		<ul style="list-style-type: none"> • 200 types of documents are imaged by imaging vendor • 20 License Application Web documents were imaged using FileNet 				
Point of Service Delivery		Refer to <u>Section 3.SCOPE OF SERVICES</u>				
Application Support and Maintenance						
Service Type	Service Measure	Performance Target	Min. Perf. % Months 1–6	Minimum Perf. % Month 7 Fwd	Measurement Interval	SLA Applicable?
Quality	Incidents Recorded After Application Release	Calibrated Based on Complexity	Will Be Determined on a per-Release Basis	Will Be Determined on a per-Release Basis	Monthly	
SEI/CMM Level	Target Level	Level 2 Compliant with Level 3 Characteristics	95% of Enhancements	100% of Enhancements	Annually	
	Formula	Performance = Transactions completed within required time ÷ Total Transactions				
	Reporting Interval	Monitor Continuously; Report Weekly				
	Measurement Tool	Respondent-specified monitoring and reporting tool(s) to be used				

Table 11. S—Manage Security

S—Manage Security						
Service Description		Manage the application and information security. Application security rules are defined for various business functions; users are provided access to a set of business functions based on their role.				
Business Hours		8:00 a.m.–5:00 p.m. CST (Monday–Friday) None (Saturday, Sunday and Holidays)				
Service Hours		24/7 except for scheduled maintenance				
Primary Enabling Application		All Applications				
Workload		795 IRIS Application users, 294 ARMS Application users and 270 Cashiering Application users				
Point of Service Delivery		Refer to Section 3.SCOPE OF SERVICES				
Application Support and Maintenance						
Service Type	Service Measure	Performance Target	Min. Perf. % Months 1–6	Min. Perf. % Month 7 Fwd	Measurement Interval	SLA Applicable?
Service Availability	Availability of Systems and Functions Necessary to Deliver Service	Available During Service Hours	98%	99%	Daily	Yes
Response Time of the Application	Response Time from Entering Command to Result During Service Hours	5 seconds	95%	95%	Daily	
Service Requests	Delivery Reply	<5 days	<5 days 95%	<5 days 98%	Weekly	
Service Requests Completion	Completion Date	Completion of Service Requests by Scheduled Completion Date	<5 days 95%	<5 days 98%	Weekly	
Incident Handling	Time to Respond—Business Hours (All Priority Levels)	10 minutes	98%	100%	Weekly	
	Time to Respond—Non-Business Hours (All Priority Levels)	60 minutes	98%	98%	Weekly	
	Time to Resolve:				Weekly	
	Priority Level 1	<2 hours	95%	95%		
	Priority Level 2	<4 hours	95%	95%		
	Priority Level 3	<6 hours	95%	95%		
	Priority Level 4	Next Business Day or as Prioritized by App. Mgr.	95%	95%		
Availability of Support Staff	Availability to Respond (Priority Level 1)	24/7	95%	98%	Weekly	
	Availability to Respond (Priority Levels 2–4)	Business Hours	95%	98%	Weekly	
Quality	Incidents Recorded After Application Release	Calibrated Based on Complexity	Will Be Determined on a per-Release Basis	Will Be Determined on a per-Release Basis	Monthly	

S—Manage Security						
Service Description		Manage the application and information security. Application security rules are defined for various business functions; users are provided access to a set of business functions based on their role.				
Business Hours		8:00 a.m.–5:00 p.m. CST (Monday–Friday) None (Saturday, Sunday and Holidays)				
Service Hours		24/7 except for scheduled maintenance				
Primary Enabling Application		All Applications				
Workload		795 IRIS Application users, 294 ARMS Application users and 270 Cashiering Application users				
Point of Service Delivery		Refer to <u>Section 3.SCOPE OF SERVICES</u>				
Application Support and Maintenance						
Service Type	Service Measure	Performance Target	Min. Perf. % Months 1–6	Min. Perf. % Month 7 Fwd	Measurement Interval	SLA Applicable?
SEI/CMM Level	Target Level	Level 2 Compliant with Level 3 Characteristics	95% of Enhancements	100% of Enhancements	Annually	
	Formula	Performance = Transactions completed within required time ÷ Total Transactions				
	Reporting Interval	Monitor Continuously; Report Weekly				
	Measurement Tool	Respondent-specified monitoring and reporting tool(s) to be used				

Table 12. S—Manage Security (End-User Account Administration)

S—Manage Security (End-User Account Administration)				
Service Description	Routine functions, such as setting up end-user IDs, changing end-user authorization tables, changing account codes and similar functions, which are handled by Customer Service Representatives.			
Business Hours	8:00 a.m.–5:00 p.m. CST (Monday–Friday) None (Saturday, Sunday and Holidays)			
Service Hours	24/7 except for scheduled maintenance			
Primary Enabling Application	All Applications			
Workload	795 IRIS Application Users, 294 ARMS Application Users and 270 Cashiering Application Users			
Point of Service Delivery	Refer to <u>Section 3.SCOPE OF SERVICES</u>			
End-User Account Administration				
End-User Account Administration Tasks	Service Measure	Performance Target	Minimum Performance %	SLA Applicable?
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 1 Business Day 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 hours of authorized request	95.0%	
Disable End-User Account	Elapsed Time	Within 5 minutes of 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	Respondent-specified monitoring and reporting tool(s) to be used		

Table 13. RP—Produce Reports

RP—Produce Reports						
Service Description		Produce reports from various data stored in IRIS, ARMS and Cashiering Applications (Business Objects Universes and Crystal Reports).				
Business Hours		24/7				
Service Hours		24/7 except for scheduled maintenance				
Primary Enabling Application		Business Objects				
Workload		<p>In 2007 the following types of reports (Business Objects Universes) were produced from IRIS:</p> <ul style="list-style-type: none"> • 7 types of Client Consultation reports • 45 types of license information reports • 40 types of reports pertaining to taxes and tax returns • 3 types of FBA reports • 31 types of investigation reports • 11 types of license adjudication reports • 28 types of permit reports • 22 types of Consumer Service reports • 8 different global reports • 8 different miscellaneous reports <p>In 2007, 351 different reports were produced from Cashiering (Crystal Reports).</p>				
Point of Service Delivery		Refer to <u>Section 3.SCOPE OF SERVICES</u>				
Application Support and Maintenance						
Service Type	Service Measure	Performance Target	Min. Perf. % Months 1–6	Min. Perf. % Month 7 Fwd	Measurement Interval	SLA Applicable?
Service Availability	Availability of Systems and Functions Necessary to Deliver Service	Available During Service Hours	98%	99%	Daily	Yes
Response Time of the Application	Response Time from Entering Command to Result During Service Hours	5 seconds	95%	95%	Daily	
Service Requests	Delivery Reply	<5 days	<5 days 95%	<5 days 98%	Weekly	
Service Requests Completion	Completion Date	Completion of Service Requests by Scheduled Completion Date	<5 days 95%	<5 days 98%	Weekly	
Incident Handling	Time to Respond—Business Hours (All Priority Levels)	10 minutes	98%	100%	Weekly	
	Time to Respond—Non-Business Hours (All Priority Levels)	60 minutes	98%	98%	Weekly	
	Time to Resolve:				Weekly	
	Priority Level 1	<2 hours	95%	95%		
	Priority Level 2	<4 hours	95%	95%		
	Priority Level 3	<6 hours	95%	95%		

RP—Produce Reports						
Service Description		Produce reports from various data stored in IRIS, ARMS and Cashiering Applications (Business Objects Universes and Crystal Reports).				
Business Hours		24/7				
Service Hours		24/7 except for scheduled maintenance				
Primary Enabling Application		Business Objects				
Workload		<p>In 2007 the following types of reports (Business Objects Universes) were produced from IRIS:</p> <ul style="list-style-type: none"> • 7 types of Client Consultation reports • 45 types of license information reports • 40 types of reports pertaining to taxes and tax returns • 3 types of FBA reports • 31 types of investigation reports • 11 types of license adjudication reports • 28 types of permit reports • 22 types of Consumer Service reports • 8 different global reports • 8 different miscellaneous reports <p>In 2007, 351 different reports were produced from Cashiering (Crystal Reports).</p>				
Point of Service Delivery		Refer to <u>Section 3.SCOPE OF SERVICES</u>				
Application Support and Maintenance						
Service Type	Service Measure	Performance Target	Min. Perf. % Months 1–6	Min. Perf. % Month 7 Fwd	Measurement Interval	SLA Applicable?
	Priority Level 4	Next Business Day or as Prioritized by App. Mgr.	95%	95%		
Availability of Support Staff	Availability to Respond (Priority Level 1)	24/7	95%	98%	Weekly	
	Availability to Respond (Priority Levels 2–4)	Business Hours	95%	98%	Weekly	
Quality	Incidents Recorded After Application Release	Calibrated Based on Complexity	Will Be Determined on a per-Release Basis	Will Be Determined on a per-Release Basis	Monthly	
SEI/CMM Level	Target Level	Level 2 Compliant with Level 3 Characteristics	95% of Enhancements	100% of Enhancements	Annually	
	Formula	Performance = Transactions completed within required time ÷ Total Transactions				
	Reporting Interval	Monitor Continuously; Report Weekly				
	Measurement Tool	Respondent-specified monitoring and reporting tool(s) to be used				

4.2 Customer Service and Support Service Requirements

Key customer support workload statistics:

- The Customer Support Help Desk handled the following requests for assistance in 2007: 241 fax requests, 1,786 walk-ins, 71 e-mails, 281 mail, 114,397 Automatic Call Distribution (ACD)
- ACD call classification:
 - 59,924 calls requesting assistance regarding licenses were received through the ACD in 2007
 - 1,901 calls requesting assistance with Public Way Permits were received through the ACD in 2007
 - 8,166 calls requesting assistance with False Burglar Alarms were received through the ACD in 2007
 - 29,824 calls requesting assistance with taxes were received through the ACD in 2007
 - 1,482 calls were applications (IRIS, ARMS, Cashiering)-related
 - 13,100 calls were classified as “other”
- ACD Call resolution: of the 114, 397 ACD calls received:
 - 93,101 were resolved by first-level support
 - 21, 296 were referred to second-level support

Table 14. Help Desk Availability Service Requirements

Service Element Details				
Service Description		<p>Help Desk Availability refers to the required time frames for the following services provided by the Help Desk:</p> <ul style="list-style-type: none"> • Assistance provided to external customers: Business License, Public Way Permit, HOLDS on Accounts, False Burglar Alarms (Commercial) and Tax • Assistance provided to end-users: first-level application support for IRIS, ARMS and Cashiering 		
Business Hours/Service Hours		<p>8:00 a.m.–5:00 p.m. CST (Monday–Friday) None (Saturday, Sunday and Holidays)</p>		
Primary Enabling Application		<p>Customer Service Tracker (for supporting external customers) Enlighta (for end-user application support)</p>		
Help Desk Availability				
Help Desk Availability	Service Measure	Performance Target	Minimum Performance %	SLA Applicable?
1) Automated Password Support 2) End-User Support 3) IT Operations and Technical Support	Schedule	1) Sun.–Sat., 24/7 2) Mon.–Fri., 8:00 a.m.–5 p.m. CST 3) Sun.–Sat., 24/7	99.95%	
	Formula	$\text{Availability (\%)} = 100\% - \text{Unavailability (\%)}$ <p>Where Unavailability is defined as: $(\sum \text{Outage Duration} \times 100\%) \div (\text{Schedule Time} - \text{Planned Outage})$</p>		
	Measurement Interval	First Month—Measure Daily Thereafter—Measure Daily		
	Reporting Period	First Month—Report Weekly Thereafter—Report Monthly		
	Measurement Tool/Source Data	Respondent-specified monitoring and reporting tool(s) to be used		

Table 15. Help Desk Response Time Service Requirements

Service Element Details				
Service Description		<p>Response Time is the number of seconds or cycles it takes an external customer and 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.</p>		
Business Hours/Service Hours		<p>8:00 a.m.–5:00 p.m. CST (Monday–Friday) None (Saturday, Sunday and Holidays)</p>		
Primary Enabling Application		<p>Customer Service Tracker (for supporting external customers) Enlighta (for end-user application support)</p>		
Response Time				
Help Desk Responsiveness	Service Measure	Performance Target	Minimum Performance %	SLA Applicable
Walk-In Response Rate	Walk-In Response Time	≤10 minutes	98%	
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%	
Voice Mail Response Rate	Voice Mail Response Time	≤30 minutes	98%	
Fax Response Rate	Fax 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		
	Reporting Period	First Month—Report Weekly Thereafter—Report Monthly		
	Measurement Tool/Source Data	Respondent-specified monitoring and reporting tool(s) to be used		

Table 16. Incident Resolution Service Requirements

Service Element Details				
Service Description		The time elapsed from the initiation of the Help Desk Incident until Service is restored.		
Business Hours/Service Hours		8:00 a.m.–5:00 p.m. CST (Monday–Friday) None (Saturday, Sunday and Holidays)		
Primary Enabling Application		Customer Service Tracker (for supporting external customers) Enlighta (for end-user application support)		
Incident Resolution				
Help Desk Incident Resolution	Service Measure	Performance Target	Minimum Performance %	SLA Applicable?
First-Contact Resolution	First-Contact Resolution Percentage	90% with <5% re-calls	N/A	
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 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	Respondent-specified monitoring and reporting tool(s) to be used		

Table 17. Client Satisfaction Service Requirements

Service Element Details				
Service Description		Conduct and report client satisfaction survey results.		
Business Hours/Service Hours		8:00 a.m.–5:00 p.m. CST (Monday–Friday) None (Saturday, Sunday and Holidays)		
Primary Enabling Application		Customer Service Tracker (for supporting external customers) Enlighta (for end-user application support)		
Client Satisfaction				
Client Satisfaction	Service Measure	Performance Target	Minimum Performance %	SLA Applicable?
Periodic Sample	Response/ Distribution Rate	10% of closed Help Desk Incidents surveyed within 48 hours of closing ticket	N/A	
Periodic Sample Satisfaction	Client Satisfaction Rate	End users surveyed should be very satisfied or satisfied	90%	
Scheduled Survey (conducted annually)	Client Satisfaction Rate	End users surveyed should be very satisfied or satisfied	90%	
	Formula	1. For periodic sample: Number of responses with a very satisfied or satisfied rating ÷ total number of responses 2. For periodic sample satisfaction: Sum of survey results from each participant ÷ total number of participants responding to periodic sample 3. For scheduled annual survey: Sum of survey result from each participant ÷ total number of participants responding to scheduled survey		
	Measurement Interval	Periodic Sample—Measure Monthly Scheduled Survey—Measure Annually		
	Reporting Period	Report Monthly		
	Measurement Method/Source Data	Respondent-specified monitoring and reporting tool(s) to be used		

5. PROJECT STAFFING AND STAFFING QUALIFICATIONS

Respondent shall identify the staffing model, including number and types of staff required to support the services in this RFP, in the **EXHIBIT 3 - PRELIMINARY COST PROPOSAL**. As the future application plan may change over time, the Respondent is to propose both a fixed-bid and growth-model to support future application implementations.

The City will have the option to request the removal of any consultant at any time if the appropriate level of technical, business process and communications expertise is not satisfactory. The City shall have the option of interviewing any candidate prior to assignment on the City account relative to these services.

Descriptions and desired qualifications for key job title classifications are provided in this section. The Respondent may propose (based on the skills and qualifications for a person) that one person may fulfill one or more job titles.

Table 18. Program Manager

<p>Description</p>	<p>A Program Manager is responsible for the most complex projects. Complex projects are defined as:</p> <ul style="list-style-type: none"> — Labor Costs greater than \$2,000,000 (excluding license or hardware costs) or — Projects so designated by the City <p>Responsibilities include, but may not be limited to, the following:</p> <ul style="list-style-type: none"> — Manage both internal and external project teams and interacts with City executives, City department heads, various City staff, and individuals of similar status from City vendors — Establish and maintain cooperative working relationships — Use interdisciplinary teams effectively in the conduct of the project; speak effectively before large groups — Reason logically and creatively and use a variety of analytical and research techniques to solve complex problems — Be proficient in the use of cost and schedule tools; analyze situations and propose an effective course of action — Analyze data and identify the need for and provide creative thinking related to complex problems; develop and evaluate alternatives — Write thorough, credible, well-documented reports; work within tight deadlines — Take full responsibility for the project, budget, schedule, project tasks and deliverables and may be the lead to the City vendors
<p>Experience</p>	<p>Minimum of eight (8) years of broad and extensive project experience. At least four (4) years of that experience must have been in a lead capacity.</p>
<p>Education</p>	<p>Requires:</p> <p>(1) The possession of a:</p> <ul style="list-style-type: none"> — Baccalaureate or equivalent university degree and a minimum of 4,500 hours of project management experience within initiating, planning, executing, controlling or closing processes within the last six years, — Associate’s degree and a minimum of 6,000 hours of project management experience within initiating, planning, executing, controlling, or closing processes, or — High school diploma or equivalent secondary school credential and a minimum of 7,500 hours of project management experience within initiating, planning, executing, controlling or closing processes; <p>(2) PMP certification or contractor equivalent.</p>
<p>Work Products</p>	<p>E.g., project plan, project proposal, statement of work, project status report, client program review template, and lessons-learned document.</p>

Table 19. Project Manager

<p>Description</p>	<p>Manages both internal and external project teams and interacts with City executives, City department heads, various City staff, and individuals of similar status from a City vendor. Responsibilities include, but may not be limited to, the following:</p> <ul style="list-style-type: none"> — Have the ability to establish and maintain cooperative working relationships — Use interdisciplinary teams effectively in the conduct of the project — Speak effectively before large groups — Reason logically and creatively and use a variety of analytical and research techniques to solve complex problems — Be proficient in the use of cost and schedule tools — Analyze situations and propose an effective course of action; analyze data — Identify the need for and provide creative thinking related to complex problems, develop and evaluate alternatives — Write thorough, credible, well-documented reports; work within tight deadlines — Has full responsibility for the project, budget, schedule, project tasks and deliverables and may be the lead to the City vendor
<p>Experience</p>	<p>Minimum of five (5) years of broad and extensive project experience. At least two (2) years of that experience must have been in a lead capacity.</p>
<p>Education</p>	<p>Requires</p> <p>(1) the possession of a:</p> <ul style="list-style-type: none"> — Baccalaureate or equivalent university degree and a minimum of 4,500 hours of project management experience within initiating, planning, executing, controlling or closing processes within the last six years, — Associate’s degree and a minimum of 6,000 hours of project management experience within initiating, planning, executing, controlling or closing processes, or — High school diploma or equivalent secondary school credential and a minimum of 7,500 hours of project management experience within initiating, planning, executing, controlling, or closing processes; <p>(2) PMP certification or contractor equivalent.</p>
<p>Work Products</p>	<p>E.g., project plan, project proposal, statement of work, project status report, client program review template, and lessons-learned document.</p>

Table 20. Architect

<p>Description</p>	<p>Responsible for participation on one or more project teams, including the design and modeling of solutions, component identification, quality reviews and adherence to guidelines and procedures. Responsibilities include, but may not be limited to, the following:</p> <ul style="list-style-type: none"> — Align architectural strategy with business goals — Research and evaluate software/hardware products and industry trends to assist in project development and operational support activities — Develop and maintain knowledge of current practice and awareness of current developments within own area(s) of expertise — Support the selection of tools and components used for an IT project; recommend expenditures based on the size, scope, and cost of hardware and software components; provide input on options, risks, costs vs. benefits, and impacts on other processes for buy vs. build decisions — Analyze the current architecture to identify weaknesses and develop opportunities for improvements such as expanding capacity, reducing time and cost, and increasing effectiveness — Assist in developing and communicating architectural policies and standards for the enterprise — Analyze and develop architectural requirements — Apply the use of middleware to facilitate the portability and scalability of applications — Assess the capacity and resource utilization of applications, components, network, and/or platform facilities; modify LAN/WAN designs and architectures by reviewing end-user, topology, physical, security, performance and interoperability requirements — Coordinate the integration of third-party and internally developed components to achieve operability — Plan, coordinate and perform software inspections and quality reviews — Establish vendor and supplier relationships
<p>Experience</p>	<p>Typically requires 5–7 years of experience in multiple IT areas. Requires intermediate to advanced knowledge and understanding of one or more IT area(s) (networking, software, data, security, Internet, operations) or architecture and core business functions.</p>
<p>Education</p>	<p>Bachelor’s degree, specialized training or equivalent work experience.</p>
<p>Work Products</p>	<p>E.g., architectural requirements documentation.</p>

Table 21. Business Analyst

Description	<p>Responsible for the collection, analysis and documentation of a client’s business requirements. Responsibilities include, but may not be limited to, the following:</p> <ul style="list-style-type: none"> — Participate in short-term planning sessions with a client to implement process improvement within an assigned client area; document discussion and agreements — Establish liaison relationship with business partners to provide technical solutions to meet user needs — Assist in assessing client needs utilizing a structured requirements process (gathering, analyzing, documenting and managing changes) to assist in identifying business priorities — Develop, write and communicate requirements for the implementation of business solutions; seek technical assistance to help in problem resolution — Develop user test cases and validate test results during user acceptance testing — Investigate, resolve and escalate problems. Analyze metrics to ensure customer satisfaction — Provide input to project status reports
Experience	Typically requires 1–3 years of relevant technical or business work experience. Requires knowledge of business operations and systems requirements processes.
Education	Bachelor’s degree in related field, specialized training or equivalent work experience.
Work Products	E.g., documentation of a client’s business requirements, user test cases.

Table 22. Systems Analyst

Description	<p>A Systems Analyst performs the elicitation, documentation and analysis of requirements for the development, installation, implementation or support of custom-developed systems or third-party-developed systems. Must be able to analyze data and business processes, identify and solve problems, reason logically and draw valid conclusions; apply creative thinking in the design of methods of processing data; establish and maintain effective working relationships with others; communicate effectively verbally and in writing. The Systems Analyst will have general domain understanding of the overall City business and the specific department functions.</p> <p>Responsibilities include, but may not be limited to, the following:</p> <ul style="list-style-type: none"> — Participate as an active participant in workgroups and work sessions with business and technical representatives — Assist clients in articulating and defining their business requirements — Provide documentation of the business requirements — Utilize experience in development methodologies, documentation and industry standards to define and develop business requirements and functional specifications — Perform business risk assessment analysis and support Project Manager in determining project risk and risk mitigation
Experience	Minimum of six (6) years of experience in working on software application development projects. At least three (3) years of that experience must have been associated with application requirements management.

Education	Requires the possession of a: (1) Baccalaureate or equivalent university degree in management information systems, (2) Associate's degree with 2 additional years of experience in software development, or (3) High school diploma with 4 additional years of experience in software development.
Work Products	E.g., requirements document, project proposal, requirements traceability matrix and risk management plan.

Table 23. Senior Application Developer

Description	<p>A Senior Application Developer acts in a lead capacity on the most complex applications, and/or on the most complex data processing problems, and can work independently.</p> <p>A Senior Applications Developer has experience in electronic data processing systems study, design and programming. This classification must have knowledge of electronic computer programming; electronic data processing equipment and its capabilities; principles and techniques of studying work processes for new or revised electronic computer applications; principles of designing methods of processing data; technical report writing; and statistical methods.</p> <p>Responsibilities include, but may not be limited to, the following:</p> <ul style="list-style-type: none"> — Write complex programs and develop detailed program specifications — Analyze data and situations, reason logically and creatively, identify problems, draw valid conclusions and develop effective solutions — Apply creative thinking in the design and development of methods of processing data with electronic computers — Establish and maintain cooperative working relationships with those contacted in the course of the work — Speak and write effectively and prepare effective reports
Experience	Minimum of eight (8) years of experience in working on software development projects.
Education	Requires the possession of a: (1) Baccalaureate or equivalent university degree in management information systems or computer science, (2) Associate's degree with 2 additional years of experience in software development, or (3) High school diploma with 4 additional years of experience in software development.
Work Products	E.g., Unit Test Plan, Computer Programs, Software Configuration Item List and Root-Cause Analysis Form.

Table 24. Application Developer

Description	<p>An Application Developer acts under general supervision, can act in a lead capacity on application assignments, and/or on complex data processing problems, and can work independently. An Application Developer has experience in electronic data processing systems study, design and programming. This classification must have knowledge of electronic computer programming; electronic data processing equipment and its capabilities; principles and techniques of studying work processes for new or revised electronic computer applications; principles of designing methods of processing data; technical report writing; statistical methods.</p> <p>Responsibilities include, but may not be limited to, the following:</p> <ul style="list-style-type: none"> — Write complex programs and develop detailed program specifications — Analyze data and situations, reason logically and creatively, identify problems, draw valid conclusions and develop effective solutions — Apply creative thinking in the design and development of methods of processing data with electronic computers — Establish and maintain cooperative working relationships with those contacted in the course of the work — Speak and write effectively and prepare effective reports
Experience	Minimum of 3–5 years of experience in working on software development projects. At least two (2) years of that experience must be in a single language unless technology precludes it.
Education	<p>Requires the possession of a:</p> <ol style="list-style-type: none"> (1) Baccalaureate or equivalent university degree in management information systems or computer science, (2) Associate’s degree with 2 additional years of experience in software development, or (3) High school diploma with 4 additional years of experience in software development.
Work Products	E.g., Unit Test Plan, Computer Programs, Software Configuration Item List and Root-Cause Analysis Form.

Table 25. Database Administrator

Description	A Database Administrator configures the Database Management System (DBMS) software, installs and configures the application database, defines file organization and indexing methods, and implements security procedures for specific user applications. The Database Administrator provides technical knowledge/expertise in the use of the DBMSs and provides table structure design, backup/restore/recovery processes and procedures, performance analysis and tuning, datafile sizing, upgrade/patch support, allocating storage, table space allocation, user account management, and may generate SQL scripts against the production/test/development databases to verify data.
Experience	Minimum of six (6) years of experience working as a Database Administrator.
Education	Requires the possession of a: (1) Baccalaureate or equivalent university degree or certificate in management information systems or computer science, (2) Associate's degree with 2 additional years of experience in software development, or (3) High school diploma with 4 additional years of experience in software development.
Work Products	E.g., Entity Relationship Diagram and Data Backup Plan.

Table 26. Customer Service Manager

Description	<p>Manages both internal and external customer service center teams and interacts with City executives, City department heads, various City staff, and individuals of similar status from a City vendor. Responsibilities include, but may not be limited to, the following:</p> <ul style="list-style-type: none"> — Have the ability to establish and maintain cooperative working relationships — Use interdisciplinary teams effectively in the conduct of the Customer Service Center — Speak effectively before large groups — Reason logically and creatively and use a variety of analytical and research techniques to solve complex problems — Be proficient in the use of cost and schedule tools — Analyze situations and propose an effective course of action; analyze data — Identify the need for and provide creative thinking related to complex problems, develop and evaluate alternatives — Write thorough, credible, well-documented reports; work within tight deadlines — Have full responsibility for the Customer Service Center, budget, schedule, project tasks and deliverables and may be the lead to the City vendor — Ensure the end-to-end problem management process is established in accordance with industry best practices and is used by all staff — Establish escalation procedures for problems of Severity 1, 2 and 3 to manage the problem resolution, and allocate additional resources in a timely manner to meet service targets
Experience	<p>Minimum of five (5) years of relevant information technology work and Customer Service Center support experience. At least two (2) years of that experience must have been in a lead capacity.</p> <p>In-depth working knowledge with a broad range of help desk, call center or customer service experience. Good customer service orientation skills.</p>
Education	<p>Requires the possession of a:</p> <ul style="list-style-type: none"> — Baccalaureate or equivalent university degree and a minimum of 4,500 hours of project management experience within initiating, planning, executing, controlling or closing processes within the last six years, — Associate’s degree and a minimum of 6,000 hours of project management experience within initiating, planning, executing, controlling or closing processes, or — High school diploma or equivalent secondary school credential and a minimum of 7,500 hours of project management experience within initiating, planning, executing, controlling or closing processes.
Work Products	<p>E.g., project plan, project proposal, statement of work, project status report, client program review template and lessons-learned document.</p>

Table 27. Service Desk Specialist

<p>Description</p>	<p>Manage customer problems from an end-to-end perspective by logging customer calls, undertaking Level 1 problem resolution and coordination, and keeping management and customers informed. Process service requests and issue service level management reports. The key activities are as follows:</p> <ul style="list-style-type: none"> — Act as the single point of contact to receive and record customer calls for assistance — Assign problem severity level in agreement with end users, inform users of the next steps to be undertaken and ensure Level 2 support resources are allocated to fix the reported problem (whenever applicable) — Use a knowledge database (i.e., for known errors) to expedite the problem resolution — Ensure problem causes are identified, removed and documented — Ensure problem resolution is categorized to address underlying issues associated with people, processes, technology and organizational matters — Ensure customers are satisfied with problem resolution before closing customer calls — Ensure Level 2 support staff issue recommendations to improve the problem management process. Take ownership of the recommendations and ensure the problem management process is continuously improved. — Undertake first-level problem resolution for all IT services and ensure help desk responsiveness and first-call resolution rates are in line with expectations — Ensure the end-to-end problem management process is established in accordance with industry best practices and is used by all staff — Establish escalation procedures for problems of Severity 1 and 2 to manage the problem resolution and allocate additional resources in a timely manner to meet service targets — Take ownership of the management of the problem even after referral to Level 2 support for investigation — Keep the help desk documentation (i.e., technology and process) up-to-date — Keep all stakeholders informed of the problem situation and manage expectations accordingly — Provide user training over the phone — Manage customer requests (e.g., desktop relocation) by allocating resources, and finishing on target dates agreed with customers — Communicate problem severity definitions and service levels to end users to ensure consistent understanding of the problem resolution process — Issue regular reports on problems situation and ensure recommendations to improve service quality are implemented
<p>Experience</p>	<p>Minimum of 1–3 years of relevant information technology work experience.</p> <p>In-depth working knowledge with a broad range of help desk, call center or customer service experience. Strong demonstrated analytical and creative problem solving skills. Good PC literacy. Computer literate with proficiency in information systems and software applications. Good customer service orientation skills.</p> <p>Bilingual—Ability to speak English and Spanish</p>
<p>Education</p>	<p>Associate’s degree or technical institute degree/certificate or equivalent work experience.</p>

Work Products	E.g., Escalation list and procedures.
----------------------	---------------------------------------

Table 28. Business Objects Administrator

Description	Create and support ad hoc and canned reports utilizing Business Objects.
Experience	Multiple years of experience in the design and support of Business Objects universes including: <ul style="list-style-type: none"> — Systems design and implementation experience — Business Object report design and development — Experience in supporting complex universes
Education	Associate’s degree or technical institute degree/certificate or equivalent work experience.
Work Products	E.g., Development of Canned and Ad Hoc Reports.

Table 29. Training Specialist

Description	Administers, organizes and conducts training and educational programs in connection with management and promotional development, on-the-job training and COTS applications. Prepares lesson plan including the method, media and documentation to be presented. Conducts follow-up and maintains records of training activities to determine applicability of course content, track employee progress and analyze program effectiveness. Participates in design and development of training materials. Requires knowledge and understanding of adult learning theories. May design and develop in-house training materials using various media. Responsibilities include, but may not be limited to, the following: <ul style="list-style-type: none"> — Deliver established basic training courses on routine subjects — Apply knowledge of training and development to assignments of moderate complexity — Organize and conduct employee training events — Track employee progress and assist in analyzing training programs — Research alternative outside training programs — Apply knowledge of policies, practices, trends and information to assignments of moderate complexity — Seek ways to share skills and knowledge with others — Provide constructive feedback to help others develop — Assess internal/external customer needs and may recommend options to meet those needs — Solve a variety of problems of moderate scope and complexity
Experience	Strong writing and organizational skills.
Education	BA/BS minimum. Three to five years of training experience.
Work Products	E.g., Training course material.

Table 30. Systems Administrator

Description	<p>Responsible for ensuring the reliability of the systems operating environment. Responsibilities include, but may not be limited to, the following:</p> <ul style="list-style-type: none"> — Monitor status and performance of operating systems, applications and LANs/WANs using testing tools. Escalate when appropriate. — Manage user access to LANs, WANs, servers, files and databases. Set up new profiles, create and update access permissions and system policies and maintain user accounts. — Maintain system security by checking logs for issues such as attempted intrusion. Report security issues when appropriate. — Install and configure desktop and laptop/remote access workstations. Maintain tracking documentation. — Verify that system backups run successfully. Perform storage procedures. — Assist in creating checklists for standard operating procedures. — Provide training to users. — Perform hardware and software repair and installations. Perform basic testing. — Participate in projects to implement or enhance IT services. — Participate in peer knowledge sharing groups. — Counsels users on technology changes that will impact work processes
Experience	Typically requires 3–5 years of relevant information technology work experience. Requires a basic knowledge of system environments.
Education	Associate’s degree or technical institute degree/certificate or equivalent work experience.
Work Products	E.g., Configuration and tracking documentation.

Table 31. Technical Writer

<p>Description</p>	<p>Responsible for the planning, researching, outlining and writing of end-user documentation including all user manuals, technical manuals/documents, online help and application documentation. Responsibilities include, but may not be limited to, the following:</p> <ul style="list-style-type: none"> — Work with the City to describe and document systems that have been developed or are in the process of being developed. — Participate in business requirements, functional design and testing work sessions. — May provide input to cost/time estimates. — Conduct research by interviewing subject matter experts, reviewing existing documentation and by gleaning information from the system or product being documented. — Develop an understanding of the requirements for the features being documented, including target audience. — Create graphics that aid the target audience in understanding the documented material. Provide input concerning GUI design and wording of messages. — Design and write documentation on selected media. Ensure all documentation is delivered according to specified guidelines. Proofread documents for accuracy. — Work with technical resources to improve document quality and usability. May manage and coordinate efforts of vendors for special projects. — Track and correct documentation defects. — Follow the documentation project through to completion, including client signoff, production and archiving. — Maintain internal documentation library and provide and/or coordinate special documentation services as required. — Participate in departmental efforts to develop and update documentation standards, templates and procedures. — Provide coaching and guidance to junior members
<p>Experience</p>	<p>Typically requires 3–5 years of business or technical writing experience and working knowledge of multiple software and graphics packages.</p>
<p>Education</p>	<p>Associate’s degree in technical writing, business administration or related field, specialized training or equivalent work experience.</p>
<p>Work Products</p>	<p>E.g., Documentation on selected media. Documentation library.</p>

Table 32. Application Support Specialist

<p>Description</p>	<p>Under limited supervision, assist in providing day-to-day customer contact and seek resolution to customer problems with business applications. Interface with technical and in-house customer service personnel to determine nature of problems and implement solutions. Responsibilities include, but may not be limited to, the following:</p> <ul style="list-style-type: none"> — Prepare regular and special reports documenting customer problems/complaints and procedures for correcting them. — Exercise judgment within defined standard practice and procedures to analyze, design, program, debug, modify and implement business solutions. — Conduct analysis of solution specifications and use diagramming tools to represent business and technical processes — Recommend changes in support practices, maintenance and standards and cross-training required to better share support responsibilities across the team and with the solution owners. — Provide guidance and training to less-experienced support personnel. — May conduct training sessions for less-experienced staff — Attend ongoing training sessions to achieve level of technical skill needed to solve more complex problems
<p>Experience</p>	<p>Minimum of 2 years of experience providing application support. Relevant experience includes:</p> <ul style="list-style-type: none"> — Providing first-level-or-higher user/customer telephone support for computer systems, which includes software, hardware or even telecommunications systems — Understanding and applying new technical information — Understanding customer service techniques — Troubleshooting, generally via telephone, hardware and software problems; assisting users with desktop applications and systems — Providing user training.
<p>Education</p>	<p>This classification requires the possession of a:</p> <ol style="list-style-type: none"> (1) Baccalaureate or equivalent university degree in management information systems, (2) Associate’s degree with 2 additional years of experience in software development, or (3) High school diploma with 4 additional years of experience in software development.
<p>Work Products</p>	<p>E.g., Solution documentation.</p>

Table 33. Operations and Production Support

<p>Description</p>	<p>Under minimal supervision, actively participate and support 24/7 computer operations environment. Under minimum supervision, responsible for day-to-day tasks within the Operations and Production Support department. Resolve complex issues specific to operations. Responsibilities include, but may not be limited to, the following:</p> <ul style="list-style-type: none"> — Analyze and support computer operations by controlling production applications, monitoring system resources and response times, and providing first-line support for operation problems. — Understand production procedures and material flow issues. — Able to analyze, troubleshoot and resolve production issues with minimal supervision. — Maintain production orders, perform inventory reconciliation, manage transactions involving material movements, maintain inventory accuracy and utilize technical knowledge and data to support decision-making functions. — Monitor the production environment via monitoring tools. — Resolve or escalate operational issues as required. — Document issues using trouble ticketing (i.e., Incident/Problem Management) tool. — Work as an effective teammate, communicator and trainer; able to work required hours and shifts — Review change records and an associated implementation for completeness, accuracy and adherence to standards and policy; duties may also include forecasting and the management of particular computer functions and data
<p>Experience</p>	<p>Minimum of 2 years of experience. Has typically received a degree in information systems with a production control emphasis and has PC literacy with word processing and spreadsheet applications. Experience in supporting batch schedules and reports.</p>
<p>Education</p>	<p>This classification requires the possession of a:</p> <ol style="list-style-type: none"> (1) Baccalaureate or equivalent university degree in management information systems, (2) Associate’s degree with 2 additional years of experience in software development, or (3) High school diploma with 4 additional years of experience in software development.
<p>Work Products</p>	<p>E.g., Updated to production run documentation.</p>

Table 34. Telecommunication Technician

<p>Description</p>	<p>Responsible for installation, configuration, upgrade, maintenance and evaluation of telecommunication systems. Responsibilities include, but may not be limited to, the following:</p> <ul style="list-style-type: none"> — May meet with various City staff on telecommunication requirements; collect, analyze and document requirements, with assistance — Configure and maintain routers, switches and hubs for the department’s telecommunication network — Monitor installed equipment; may work with outside hardware/software vendors to troubleshoot problems; ensure service requirements are met — Assist in the deployment of new telecommunications components and services — Assist help desk staff on telecommunications policies and procedures — Provide Level 1 support for clients experiencing problems with telecommunication networks and applications; may provide Level 2 support — Assist in the recovery of all telecommunication systems and services — May analyze and resolve issues related to facilities bandwidth requirements, capacity planning, and analyze system interdependencies — May assist in reviewing telecommunication invoices
<p>Experience</p>	<p>Typically requires a basic understanding of telecommunications and multi-platform environments.</p>
<p>Education</p>	<p>Associate’s degree in telecommunications engineering, computer science or other related field, or equivalent work experience.</p>
<p>Work Products</p>	<p>E.g., Telecommunication systems requirements documents.</p>

Table 35. Telecommunication Analyst

Description	<p>Responsible for design, installation, configuration, upgrade and maintenance of telecommunication systems. Responsibilities include, but may not be limited to, the following:</p> <ul style="list-style-type: none"> — Meet with various City staff on telecommunication requirements; collect, analyze and document telecommunications requirements — Research telecommunications industry information and provide input to recommendations on technologies that meet business requirements and performance — Evaluate vendor solutions to ensure requirements compliance and cost effectiveness; may assess any associated risks and options — Determine requirements impact on existing architecture, work processes and systems; may work with impacted areas to ensure proper communication/review of requirements and integration — Configure and maintain routers, switches and hubs for the City’s network; may validate voice network configurations — Monitor installed equipment; work with outside hardware/software vendors to discuss support and troubleshoot problems; ensure SLRs are met and continue to meet the needs of the business and future requirements — Deploy and review new telecommunications components and services to ensure they meet client expectations — Act as a liaison to help desk staff on telecommunications policies and procedures — Provide Level 1 and Level 2 support for clients experiencing problems with telecommunication networks and applications; identify and resolve recurring issues impacting service(s) — Ensure the recovery of all telecommunication systems and services — Analyze and resolve issues related to facilities bandwidth requirements, capacity planning, and analyze system interdependencies; may develop and implement strategies to identify future client and technology bandwidth and capacity needs — Maintain call accounting software and review all telecommunications invoices; may resolve discrepancies — May mentor junior staff members
Experience	Typically requires 3–5 years of related telecommunications and multi-platform environments.
Education	Bachelor’s degree in telecommunications engineering, computer science or other related field, or equivalent work experience.
Work Products	E.g., Telecommunications requirements and configuration documentation.

Table 36. Hardware Engineer

<p>Description</p>	<p>Manage and drive to closure the day-to-day hardware and software issues encountered during the system build and test phases of software development vehicles. Responsibilities include, but may not be limited to, the following:</p> <ul style="list-style-type: none"> — Support the hardware system in various duties, such as system environmental tests, system power profiling and working with vendors on resolving hardware issues, etc. — Must have experience with systems and system components in a development environment — Strong organizational and communication skills to work with diverse teams to drive resolution of issues — Troubleshoot computer system issues down to a particular hardware or software component and then work with the responsible party on closure — Strong documentation skills to compile information and summarize the impact of test results for test reports, release notes, etc. — Specialist in Unix, NT, Solaris and other network operating systems — Responsible for integrating multiple network systems (and their supported applications) across LAN/WAN — Prepare technical and progress reports on assigned projects — Prepare specifications, evaluate vendors, and analyze test reports — May specialize in one area such as storage systems, printers, etc.
<p>Experience</p>	<p>More than 5 years of experience in multiple network operating systems. Familiarity with Windows 2000/XP, knowledge of PC system architecture; ability to troubleshoot system issues to specific software/hardware component.</p>
<p>Education</p>	<p>Bachelor’s degree or equivalent experience in an engineering, computer science or similar field.</p>
<p>Work Products</p>	<p>E.g., Technical and progress reports on projects.</p>

6. ENGAGEMENT MANAGEMENT

6.1 Transition-In Plan

Respondent is to provide a detailed transition-in plan that includes:

- Specific and detailed, resource-loaded project plans for Transition-In activities that address the phasing in for all services described in this RFP
- Detailed plans for gathering information about the current environment, applications, documentation, help desk procedures, third-party vendors, etc.
- Update and/or confirmation of documentation with regards to the current environment
- Detailed phased-in plan for assigning staff from Respondent to the Account
- Establishment of processes, procedures and systems for measuring all Service Levels agreed to by the City and Respondent; written acceptance of these processes, procedures and metrics
- Training and Cross-Training of assigned staff to the City's project
- Incorporation of City standards (i.e., change control, technical standards) into processes and procedures used by the Respondent
- Assumptions of the role of the City and any other third parties with regards to Transition-In
- Any other requirements or assumptions required to complete a successful Transition-In
- Description of cost components for Transition-In as described in **EXHIBIT 3 - PRELIMINARY COST PROPOSAL**

6.2 Respondent Project Assumptions

The Respondent's Program Manager will manage the activities between the City and the Respondent's resources. In addition to other assumptions outlined within this RFP, the Respondent's Program Manager is responsible for the execution and coordination of the activities. Additionally, the following are key assumptions pertaining to Respondent:

- Respondent will follow all City project and technical standards, including documented standard operating procedures. All Respondent's deliverables will conform to the City standards and/or documented procedures.
- Respondent shall notify City in writing in advance in the event that Respondent is unable to meet any documented deliverable as a result of a City limitation of resource or availability of human or technical resources.
- Respondent shall be responsible at no cost to the City for any orientation or training of Respondent's resources as a result of unplanned vacancies.
- Respondent shall be responsible for the training of Respondent personnel for all future releases and upgrades of the applications that the City intends to implement.
- Respondent shall provide City with notice for any planned or unplanned training, vacations, leave, absences, etc., for all Respondent's resources supporting the City. The Respondent shall be responsible for providing adequate backup for any planned or unplanned absences. Said absences shall not relieve Respondent of overall delivery of services.

6.3 Future Projects and Development

The selected Respondent may also implement current, planned and future projects (e.g., rewrite of IRIS and ARMS). A Task Order Request will be issued, separate from this RFP, for cost proposals for future projects and application development work. The City requires that the rates established from this RFP be used in the selected Respondent's cost proposals for future projects.

6.4 Integration with Third-Party Vendors

The following third-party vendors provide services to the City. Respondent will be required to develop detailed procedures to work with these vendors. These vendors include:

- EDGE Systems—Document imaging services
- Active Network—Owns Payment Manager used to implement the future Cashiering application
- Business Objects—City's standard reporting software

Additionally, the Respondent will be required to work with any and all City staff and vendors in a collaborative manner to resolve issues that are or may be related to IRIS, ARMS and Cashiering applications.

6.5 Tracking Tools with User Visibility

The City desires that Respondent use issues and problems tracking tools that:

- Track all issues, including type of issue, criticality of issue, log of all activities taken to evaluate, analyze and resolve the issue, all communications with the user with regards to the resolution of issues
- Provides visibility to City management and users of issues
- Provides reporting and analysis on the types of problems, time to resolve, etc.
- Integrates with the service level metrics agreed to by the City and the Respondent

6.6 Issues Management Plans

Respondent is responsible for the reporting and tracking of all issues, defects and enhancement requests under these services.

6.7 Categorization and Prioritization

All issues and services are to be categorized. Respondent shall recommend a model for defining categories for establishing priorities and the Respondent's recommended method for workload balancing, given the categories and required service levels. Respondent shall also recommend a support organization sufficiently flexible to support the workload balance model.

Services may apply to Operations/Production Support, Application Support Services, Help Desk Services or any combination. It is the role of the Respondent to allocate and reallocate resources to meet the prioritization of the City. The allocation of staff will occur to meet the priorities as defined herein. The City will make available appropriate staff members to resolve problems, if required.

Prioritization of tasks shall be defined by City Project Sponsors. In the case of lack of clarity of priorities, the City Project Sponsor will be available.

6.8 Escalation

Respondent will recommend as part of the response to this RFP specific escalation procedures and remedies. Escalation procedures must ensure that appropriate discussion and actions are taking place, in the case of issues or problems between Respondent and the City that are not readily being resolved.

6.9 Retirement

A number of current service requests, issues and problem tickets are likely to be transitioned to the Respondent. The Respondent will be responsible for evaluating, analyzing, resolving and retiring all outstanding issues.

6.10 Code Control

Respondent must adhere to Code Control and Migration standards as adopted by the City.

6.11 User Satisfaction Reviews

As each Help Desk incident is closed, Respondent is to e-mail a customer service survey to the requester. Respondent will report monthly on the summary of survey results. Respondent must provide an action plan to address any failures in expectations identified in the customer satisfaction surveys; action plans are to be reviewed by the City.

Additionally, Respondent is to recommend other types of satisfaction surveys and reviews relative to these services.

6.12 Status Review and Reporting

Respondent is to identify routine status review and reporting. Minimum levels of review and reporting include:

- Planned and unplanned staff rotation processes, reporting and replacement activities
- Weekly Status Reports that include (samples to be provided as part of the response to this RFP):
 - Allocation of time spent on Production Support, Customer Service Center Support, Application Maintenance and Support and Application Enhancements
 - Type, priority, aging and status of issues
 - Accomplishments/issues/concerns
- Frequency, attendees and type of status meetings
- Quality Control/Quality Assurance Audits
- Weekly reporting for trends associated with application usage, application outages, application performance, batch processing, etc.
- Weekly technical status meetings with a designated City Technical Lead
- Weekly status meetings with regards to outstanding tickets (trends, status of each ticket, estimated time to resolve, etc.)
- Participation in the City change/configuration/instance management

6.13 Continuous Improvement

Respondent is to provide information, samples and references as to innovation and continuous improvement processes to be implemented for each of the services contained in this RFP.

The City also expects that continuous improvement will be made in the Respondent's provision of services and performance against the service requirements identified in **Section 4. SERVICE REQUIREMENTS** over time. Therefore, the City will review service requirements at least annually and, where appropriate, service requirements may be added or adjusted by mutual agreement to reflect changing or new business requirements and continuous improvements.

6.14 Service Credits and Fee Reductions

Section 4. SERVICE REQUIREMENTS identifies key performance measures that will be used to evaluate the Respondent's delivery of services. Upon any failure by Respondent to meet or achieve a critical service requirement (identified as "SLA Applicable"), financial credit or Fee Reduction of an "At-Risk Amount" equal to ten percent (10%) of the annual Fees (excluding Transition Fees, Fees for Projects, Fees for Major Enhancements, Pass-Through Expenses and any other cost reimbursements) shall be assessed.

6.15 Exit Strategy

Respondent may be required during the term of the services to be provided to work with the City to effect an orderly shutdown, or transition to a new generation of the applications. Additionally, the City may wish to resume responsibility for portions of the services provided. Respondent is to describe the process for transition out of some or all the services covered under this RFP. The Exit Strategy includes return support of some/all of services to the City and a Transition-Out Plan for the return of services to the City.

The City requires that all deliverables, data, findings or information in any form prepared, assembled or created by selected Respondent for the City under a contract awarded pursuant to this RFP will be deemed work made for hire by the Respondent and will, therefore, be the property of the City including, all copyrights, trademarks, or patents inherent in them or their preparation.

7. GENERAL INFORMATION AND GUIDELINES

7.1 Communications Between the City of Chicago and Respondents

A. 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 mail, e-mail or fax at 312-744-7679, and directed to the attention of Joseph Chan, joseph.chan@cityofchicago.org Department of Procurement Services, Room 403 of City Hall and must be received no later than 4:00 P.M. Central Standard Time, on June 11, 2008. Respondents are encouraged, but not required, to submit questions one (1) week prior to the scheduled Pre-Proposal Conference. The face of each envelope or the cover sheet of the fax 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 IRIS, ARMS and Cashiering Application Maintenance and Production Support and Tax and License Customer Service Center Support for the City of Chicago, Specification No. 65692.” No telephone calls will be accepted unless the questions are general in nature. A Respondent that deviates from any of these restrictions may be subject to immediate disqualification from this RFP process.

B. Pre-Proposal Conference

The City will hold a Pre-Proposal Conference in the Department of Procurement Services, Room 403, Conference Room B, 121 North LaSalle Street, Chicago, Illinois, at 10:00 A.M. Central Standard Time on June 5, 2008. All interested parties are invited to attend. The City will answer questions and clarify the terms of the RFP at the Pre-Proposal Conference. The City may respond both to questions raised on the day of the conference and to questions faxed or mailed prior to the deadline for receipt of questions per Section 7.1.A.

7.2 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 and Bond Room (Room 301, City Hall) no later than 4:00 P.M. Central Standard Time on July 15, 2008. The Bid and 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 7.2.1 above. Only the Chief Procurement Officer (“CPO”) 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 and Bond Room located in Room 301, City Hall. The time of the receipt of all Proposals to this RFP will be determined solely by the clock located in the Bid and Bond Room of City Hall. It is Respondent’s sole responsibility to ensure that the Proposal is received as required. All submissions are subject to the Freedom of Information Act.

3. Proposals must be delivered to the following address:

Montel M. Gayles, Chief Procurement Officer
Department of Procurement Services
Bid and Bond Room
Room 301, City Hall
121 North LaSalle Street
Chicago, Illinois 60602

4. Respondent must submit one (1) hardcopy original and seven (7) duplicate hardcopies of the Proposal. One (1) CD-ROM containing an Adobe Portable Document Format (pdf) version of all Proposal materials attached to the original should also be provided. No softcopy Proposal will be accepted in lieu of the hardcopy. The original documents must be clearly marked as "ORIGINAL," and must bear the original signature of an authorized corporate agent on all documents requiring a signature. Respondent must enclose all documents in sealed envelopes or boxes.
5. The outside of each sealed envelope or package must be labeled as follows:

Proposal Enclosed
Request for Proposals (RFP) for IRIS, ARMS and Cashiering Application
Maintenance and Production Support and Tax and License Customer Service
Center Support
Specification No.: 65692
Due: 4:00 P.M., **July 15, 2008**
Submitted by: (Name of Respondent)
Package ____ of ____

7.3 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 Web site: www.cityofchicago.org/Procurement:

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

7.4 Procurement Timetable

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

Key Activity	Target Date
City Issues RFP	May 21, 2008
Pre-Proposal Conference	June 5, 2008

Post-Conference Questions Due	June 11, 2008
RFP Addendum to Questions	June 18, 2008
Proposals Due	July 15, 2008

7.5 Confidentiality

Respondent may designate those portions of the Proposal which contain trade secrets or other proprietary data that must remain confidential. If a Respondent includes data that is not to be disclosed to the public for any purpose or used by the City except for evaluation purposes, the Respondent must:

A. Mark the title page as follows: “This RFP proposal includes trade secrets or other proprietary data (“data”) that may not be disclosed outside the City and may not be duplicated, used or disclosed in whole or in part for any purpose other than to evaluate this Proposal. The data subject to this restriction are contained in sheets (insert page numbers or other identification).” The City, for purposes of this provision, will include any consultants assisting in the evaluation of Proposals. If, however, a contract is awarded to this Respondent as a result of or in connection with the submission of this data, the City has the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the City’s right to use information contained in the data if it is obtained from another source without restriction.

B. Mark each sheet or data to be restricted with the following legend: “Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this Proposal.”

All submissions are subject to the Freedom of Information Act (FOIA).

8. PREPARING PROPOSALS: REQUIRED INFORMATION

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

8.1 Format of Proposals

Proposals must be prepared on 8½" × 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, proposals, reports and other documents prepared in connection with this solicitation. Expensive papers and bindings are discouraged, as no materials will be returned. Submit one (1) hardcopy original and seven (7) duplicate hardcopies of the Proposal.

Sections should be separated by labeled tabs and organized in accordance with subject matter sequence as set forth in Section 8.3 Required Content of Proposals below. Each page of the Proposal must be numbered in a manner so as to be uniquely identified. Proposal must be clear, concise and well organized.

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. Submission of a Proposal in response to this RFP constitutes acceptance of all requirements outlined in 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 costing structure in **EXHIBIT 3 - PRELIMINARY COST PROPOSAL** is critical to facilitating equitable comparisons.

8.2 Fees Relating to Submission of Proposal

(a) The Chief Procurement Officer shall require, for each competitively bid contract and each request for proposals where the estimated dollar value of the contract, as determined by the Chief Procurement Officer, exceeds \$10,000,000.00, that each bidder or proposer submit with its bid or proposal a non-refundable "Submittal Fee", in the amount described below. The Submittal Fee must be submitted no later than the date and time on which the bid or proposal is due. The Submittal Fee must be payable to the City of Chicago in the form of a certified check, cashier's check, money order or such other payment method as may be acceptable to the Chief Procurement Officer. The amount of the submittal fee shall be based upon the Chief Procurement Officer's estimated value of the contract, as follows:

TABLE INSET:

Estimated Contract Term Value	Fee
Over \$10,000,000.00	\$900.00

(b) This section does not apply to contract solicitations to the extent prohibited by federal or state law or regulation.

(Added Coun. J. 12-15-04, p. 39840, § 1; Amend Coun. J. 12-7-05, p. 64870, § 1.1)

8.3 Required Content of Proposals

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

1. Cover Letter

Respondent(s) 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:

- (i) Indicate the number of years the entity has been in business, and provide an overview of the experience and background of the entity and its key personnel committed to this project.
- (ii) Identify the legal name of the entity, its headquarters address, its principal place of business, its legal form (i.e., corporation, joint venture, limited partnership, etc.), and the names of its principals or partners and authority to do business in Illinois.
- (iii) Indicate the name and telephone number(s) of the principal contact for oral presentation, or negotiations.

(iv) Summary of Respondent's commitment to comply with the MBE/WBE requirements as stated in the Special Conditions Regarding Minority Business Enterprise (MBE) and Women Business Enterprise (WBE) Commitment in **Exhibit 4** of this RFP.

(v) Acknowledgement of receipt of Addendum to RFP 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 its Proposal would achieve those objectives. The summary must discuss Respondent's plan for implementing and monitoring the services; approach to project management; strategies, tools and safeguards for ensuring performance of all required services; equipment, software and firmware considerations; training and ongoing support; and any additional factors for the City's consideration.

3. **Professional Qualifications and Specialized Experience of Respondent and Team Members Committed to This Project**

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

A. **Company Profile Information (See Form in EXHIBIT 1 – COMPANY PROFILE INFORMATION).**

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.

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

- (i) Schedule B as shown in **EXHIBIT 4 - SPECIAL CONDITIONS REGARDING MINORITY AND WOMEN OWNED BUSINESS ENTERPRISE (MBE/WBE) COMMITMENT AND SCHEDULES**, if a joint venture or partnership includes City of Chicago-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 or partnership as

shown in **EXHIBIT 5 - ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT**.

- (iii) Insurance certificate in the name of the joint venture or partnership business entity.

Provide a chronological history of all mergers and/or acquisitions involving the Respondent's 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.

B. **Company References/Client Profile (See Form in EXHIBIT 2 - COMPANY REFERENCES/CLIENT PROFILE INFORMATION)**

Respondent must provide client references, preferably at least five (5), of which at least two (2) of these references must be client references for custom development, Web development and customer service center support, and preferably from municipalities on contracts of similar scope and magnitude as described in this RFP. Experience will not be considered unless complete reference data are provided. At a minimum, the following information must be included for each client reference:

- Client name, address, contact person name, telephone and fax number
- Description of services provided similar to the services outlined in **Section 3. SCOPE OF SERVICES** of this RFP
- Nature and extent of Respondent's involvement as the prime contractor Identify services, if any, subcontracted, and to what other company
- Total dollar value of the contract
- Contract term (Start and Expiration).

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. 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. Provide copies with the Proposal submission.

4. **Professional Qualifications and Experience of Key Personnel who will Be Dedicated to the Services Described in This RFP**

For each person identified, describe the following information:

- Title and reporting responsibility
- Proposed role in this project, 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 knowledge base, skill sets, experience and expertise in terms of credentials outlined in **Section 5. PROJECT STAFFING AND STAFFING QUALIFICATIONS**

5. **Service Implementation**

Respondent must include a comprehensive and detailed description of the process by which it will provide the Services as described in this RFP.

A. Service Plan by Category

All responses should provide a detailed plan which addresses the requirements for providing the services outlined in the RFP, specifically:

- **Section 3. SCOPE OF SERVICES**
- **Section 4. SERVICE REQUIREMENTS**
- **Section 6. ENGAGEMENT MANAGEMENT**

Respondent should, additionally, provide a detailed approach (methodology) to rewriting IRIS and ARMS.

B. Organization Chart

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

- (a) A chart which identifies not only the proposed organizational structure, but also key personnel by name and title. Staffing levels of each organizational unit should be estimated.
- (b) The specific role of each of the firms in a team or joint venture for each task/work activity must be described.

C. Dedicated Resources

- (a) Describe facilities, equipment, personnel, communication technologies and other resources available for implementing any proposed Services.
- (b) Staffing requirements. 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 in **EXHIBIT 8 – PRELIMINARY STAFFING PROPOSAL**.
- (c) Submit resumes for key personnel who will be committed to this engagement. Correlate team members to the tasks they will be performing during

implementation/transition and ongoing operations. Along with each resume, Respondent should identify each primary team member working on staff with Respondent, as well as those working in a subcontracting capacity. 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.

6. **Preliminary Cost Proposal Detail**

The City is requesting a “Fixed Unit Price” solution. Detailed information regarding the costs for the Services is also required. **EXHIBIT 3 - PRELIMINARY COST PROPOSAL** (MS Excel Workbook) contains instructions and a series of separate spreadsheets designed to provide a robust understanding of the pricing models used by the Respondent. Each worksheet in the Workbook is designed to elicit specific pricing information related to establishing, managing, developing and deploying the work required. The Respondent is responsible for disclosing any charges or fees not listed in the Workbook that the City would incur with the Respondent, before, during and after the transition.

All costs should, at a minimum, be provided as requested in **EXHIBIT 3 - PRELIMINARY COST PROPOSAL**. If your typical pricing model does not normally charge for a specific element provided within the workbook, a statement in your “Assumptions” regarding your methodology for charging for that element (i.e., not applicable, charged on T&M basis, etc.) should be provided.

For purposes of comparing costs between Respondents, Respondents should not deviate from the pricing elements outlined in **EXHIBIT 3 - PRELIMINARY COST PROPOSAL**. Failure to provide the pricing details as required in this Workbook will be considered non-compliance and the proposal may be rejected.

The City reserves the right to negotiate the final fixed price, terms and conditions with selected Respondent.

7. **Minority and Women Business Enterprises Commitment**

Respondent must complete and submit the forms that are attached to this RFP in **EXHIBIT 4 - SPECIAL CONDITIONS REGARDING MINORITY AND WOMEN OWNED BUSINESS ENTERPRISE (MBE/WBE) COMMITMENT AND SCHEDULES** to evidence Respondent’s proposed MBE/WBE participation in some aspect of the contract. The current Minority Business Enterprise (MBE) participation goal is 25%, and the current Women Business Enterprise (WBE) participation goal is 5% of the total contract value.

Respondent must submit a completed Schedule D-1 and obtain a separate Schedule C-1 completed and signed by each proposed MBE and WBE firm describing the services to be provided. With each Schedule C-1 form, Respondent should submit a current Letter of Certification issued by the City of Chicago Department of Procurement Services. The proposed MBE or WBE firm must be certified by the City of Chicago 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.

Further, the percentage participation for each MBE or WBE firm on the individual Schedule C-1s should match the percentages for each MBE or WBE firm listed on the Schedule D-1. All schedules submitted must be original signature. Failure to submit these documents, or incomplete documents, may result in Respondent being declared non-responsive.

In order to determine the best way in which to achieve and document MBE/WBE participation, Respondent must refer to the Special Conditions Regarding Minority Business Enterprise Commitment and Women Business Enterprise Commitment attached to this RFP as **EXHIBIT 4 - SPECIAL CONDITIONS REGARDING MINORITY AND WOMEN OWNED BUSINESS ENTERPRISE (MBE/WBE) COMMITMENT AND SCHEDULES**. To locate MBE/WBE firms that are currently certified with the City of Chicago in various areas of specialty, you can search the City's MBE/WBE Directory Database on the City's Web site: www.cityofchicago.org/Procurement.

8. **Financial Statements**

Respondent must provide a copy of its audited financial statements for the last three years. Respondents that are comprised of more than one entity must include financial statements for each entity. The City reserves the right to accept or reject any financial documentation other than the financial statements requested by this section.

9. **Economic Disclosure Statement ("EDS") and Affidavit**

Respondent must submit a completed and executed Economic Disclosure Statement and Affidavit. If Respondent is a business entity other than a corporation, then each member, partner, etc., of Respondent must complete as applicable, per 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. The EDS form is attached to this RFP as **EXHIBIT 5 - ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT**.

Respondent must not scan or otherwise reproduce the EDS form for purposes of altering the form.

Subcontractors may be asked, at the City's discretion, to provide an EDS during the evaluation process.

10. **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 five (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 if 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.

11. **Insurance**

Prior to contract award, the selected Respondent will be required to submit evidence of insurance in the amounts specified in the attached **EXHIBIT 6 - INSURANCE REQUIREMENTS AND INSURANCE CERTIFICATE.**

9. EVALUATING PROPOSALS

An Evaluation Committee, which will include the representatives from Department of Innovation and Technology, the Department of Business Affairs and Licensing, Department of Revenue, Department of Consumer Services, , and 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 RFP 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 8.3 Required Content of Proposals.** 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 project requirements set forth in the RFP. Phase II will include a detailed analysis of the Respondent’s qualifications, experience, proposed service plan, preliminary cost proposal and other factors based on the evaluation criteria outlined in **Section 9. EVALUATING PROPOSALS.**

As part of the evaluation process, the EC will review the information required by **Section 8. PREPARING PROPOSALS: REQUIRED INFORMATION** for each Proposal received. The EC may also review any other information that is available to it, including but not limited to information gained by checking references and by investigating the Respondent's financial condition.

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.

In addition, the Evaluation Committee will review the Respondent's Proposal in terms of overall responsiveness and completeness with respect to the requirements outlined in the RFP using the following criteria (not necessarily listed in order of importance):

- A. Professional and Technical Competence
 - 1. Ability to provide the Services described in the RFP, including capacity to achieve the project goals, objectives and scope of services described in this RFP.
 - 2. Professional Qualifications and Specialized Experience of Respondent and its Team in providing IRIS, ARMS, Cashiering and other application maintenance and production support, Tax and License Customer Service Center Support, and bulk mailing services on projects of similar scope and magnitude (e.g., specifically with respect to large organizations, organizations with strong identities of their own and government agencies).
 - 3. Professional Qualifications and Specialized Experience of Respondent's Team Personnel and other Key Personnel and Local Availability of Key Personnel committed to the City of Chicago project.
 - 4. Past and Current Performance of the Respondent (and Team members) on other contracts in terms of quality of services 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.
- B. Quality, Comprehensiveness and Adequacy of the proposed Service Plan including Transition-In Plan for providing IRIS, ARMS, Cashiering and other application maintenance and production support, Tax and License Customer Services Support and bulk mailing services, including the staffing plan, local availability and commitment of personnel who will manage and oversee the City of Chicago project.

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 its overall strategy, methodology, timetable and approach to meeting the City's requirements.

- C. Preliminary Cost Proposal relative to information provided in **EXHIBIT 3 - PRELIMINARY COST PROPOSAL**.
- D. The level, relevancy and quality of participation by MBE/WBE firms certified by the City of Chicago. It should be noted that non-responsiveness to this requirement may be cause for the prospective Respondent to be disqualified.
- E. 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.
- F. 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.
- G. Compliance with Laws, Ordinances, and Statutes—The EC will consider Respondent’s compliance with all laws, ordinances, and statutes governing the contract.
- H. 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.

10. SELECTION PROCESS

After the Evaluation Committee (“EC”) completes its review of Proposals in Phase II, it may submit to the Chief Information Officer (CIO) of the Department of Innovation and Technology (DoIT), Director of the Department of Revenue (DR) and Director of the Department of Business Affairs and Licensing (DBAL) hereinafter “Selection Committee” a recommended shortlist of Respondents (Phase III), or the EC may forgo Phase III and submit a recommendation to consider up to 2 finalists, or a recommendation to reject any or all Proposals.

Phase III—Site Visit and/or Oral Presentations

If the EC submits a shortlist of Respondents for further review, then, in the sole discretion of the Chief Procurement Officer, those shortlisted Respondents may be subject to a site visit and/or invited to appear before the EC for an oral presentation; to clarify in more detailed information what was submitted in Respondent’s Proposal; and/or to ask Respondent to respond to additional questions. Afterwards, the EC will make a final evaluation, including a final ranking of the Respondents. The EC will submit a recommendation, to the Selection Committee to consider 2 Respondents as finalists if necessary.

The Selection Committee will consider the 2 finalists and make a final recommendation to select one Respondent.

If the Selection Committee makes a recommendation for selection, the recommendation will be forwarded to the Chief Procurement Officer for concurrence and authorization to enter into contract negotiations with the selected Respondent.

The City will require the selected Respondent to participate in contract negotiations. The City's requirement that the selected Respondent negotiate is not a commitment by the City to award a contract. If the City determines that it is unable to reach an acceptable contract with the selected Respondent, including failure to agree on a fair and reasonable cost proposal for the Services or any other terms or conditions, the CIO of DoIT, may ask the Chief Procurement Officer to terminate negotiations with the selected Respondent, and to negotiate with any of the other qualified Respondents, until such time as the City has negotiated a contract meeting its needs.

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 interests. 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.

11. ADDITIONAL DETAILS OF THE RFP PROCESS

11.1 Addenda

If it becomes necessary to revise or expand on any part of this RFP, an addendum will be sent to all the prospective Respondents listed on the "Take-Out Sheet" prior to the Proposal due date. Prospective Respondents are automatically listed when they sign or leave a business card for a copy of the RFP package in the Bid and Bond Room. Each addendum is incorporated as part of the RFP documents, and the prospective Respondent must acknowledge receipt.

The 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 according to the provisions of **7.1. Communications Between the City of Chicago and Respondents** herein; or
2. Responses to questions and requests for clarification raised at the Pre-Proposal Conference or by the deadline for submission of questions.

11.2 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 **Section 8. PREPARING PROPOSALS: REQUIRED INFORMATION**. 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 here.

11.3 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 participating in any conferences, site visits, oral presentations or negotiations.

11.4 Prohibition on Certain Contributions—Mayoral Executive Order No. 05-1

Pursuant to Mayoral Executive Order No. 05-1, from the date of public advertisement of this request for qualifications/proposals/information through the date of award of a contract pursuant to this request for qualifications/proposals/information, Respondent, any person or entity who directly or indirectly has an ownership or beneficial interest in Respondent of more than 7.5 percent (“Owners”), spouses and domestic partners of such Owners, Respondent’s proposed Subcontractors, any person or entity who directly or indirectly has an ownership or beneficial interest in any Subcontractor of more than 7.5 percent (“Sub-owners”) and spouses and domestic partners of such Sub-owners (Respondent and all the other preceding classes of persons and entities are together, the “Identified Parties”) must not: (a) make a contribution of any amount to the Mayor of the City of Chicago (the “Mayor”) or to his political fundraising committee; (b) coerce, compel or intimidate its employees to make a contribution of any amount to the Mayor or to the Mayor’s political fundraising committee; (c) reimburse its employees for a contribution of any amount made to the Mayor or to the Mayor’s political fundraising committee; or (d) bundle or solicit others to handle contributions to the Mayor or to his political fundraising committee;

If Respondent violates this provision or Mayoral Executive Order No. 05-1 prior to the award of an agreement resulting from this request for qualifications/proposals/information, the Chief Procurement Officer may reject Respondent’s proposal.

For purposes of this provision:

“Bundle” means to collect contributions from more than one source which is then delivered by one person to the Mayor or to his political fundraising committee.

“Contribution” means a “political contribution” as defined in Chapter 2-156 of the Municipal Code of Chicago, as amended.

Individuals are “Domestic Partners” if they satisfy the following criteria:

- (A) They are each other’s sole domestic partner, responsible for each other’s common welfare; and
- (B) Neither party is married; and
- (C) The partners are not related by blood closer than would bar marriage in the State of Illinois; and
- (D) Each partner is at least 18 years of age, and the partners are the same sex, and the partners reside at the same residence; and
- (E) Two of the following four conditions exist for the partners:
 - 1. The partners have been residing together for at least 12 months.
 - 2. The partners have common or joint ownership of a residence.
 - 3. The partners have at least two of the following arrangements:
 - a. joint ownership of a motor vehicle;
 - b. a joint credit account;
 - c. a joint checking account;
 - d. a lease for a residence identifying both domestic partners as tenants.
 - 4. Each partner identifies the other partner as a primary beneficiary in a will.

“Political fundraising committee” means a “political fundraising committee” as defined in Chapter 2-156 of the Municipal Code of Chicago, as amended.

Any contract awarded pursuant to this solicitation will be subject to and contain provisions requiring continued compliance with Executive Order 2005-01.

11.5 False Statements

(a) 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 attorneys' 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)

(b) 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)

(c) 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)

EXHIBITS

EXHIBIT 1 – 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 Three Full Fiscal Years: _____
- (10) Major Products and/or Services Offered:

- (11) Other Products and/or Services: _____

- (12) Briefly describe your firm’s strategic approach in providing Application Maintenance Services for a client:

- (13) Briefly describe your firm’s experience in managing Application Maintenance Services for clients:

- (14) Briefly describe your firm’s strategic approach in providing IT Production Support Services for a client:

- (15) Briefly describe your firm’s experience in managing IT Production Support Services for clients:

(16) Briefly describe your firm's strategic approach in providing Customer Service Center Support for a client:

(17) Briefly describe your firm's experience in managing Customer Service Center Support for clients:

(18) Briefly describe your firm's strategic approach in providing Bulk Mailing Services for a client:

(19) Briefly describe your firm's experience in managing Bulk Mailing Services for clients:

(20) Briefly describe your firm's strategic approach in providing Application Development and Enhancements services for a client:

(19) Briefly describe your firm's experience in managing Application Development and Enhancement Services for clients:

EXHIBIT 2 - COMPANY REFERENCES/CLIENT PROFILE INFORMATION

Submit a completed client profile information sheet for each company reference. Provide a minimum of five (5) 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: _____ Cutover Date: _____
- (10) Initial Contract Amount: \$_____ Final Contract Amount: \$_____

- (11) Describe how the client's goals were met. What was the outcome of the project? Attach additional pages, as necessary.

- (12) Discuss significant obstacles to implementation and how those obstacles were overcome:

- (13) Is the client still utilizing your firm's services?

- (14) What was the cost/financing structure of the contract?

EXHIBIT 3 - PRELIMINARY COST PROPOSAL

Respondents are required to submit compensation methods as specified in the “Cost Proposal”.



Cost Proposal

City Of Chicago

**IRIS, ARMS AND CASHIERING
APPLICATION AND PRODUCTION SUPPORT
AND
TAX AND LICENSE CUSTOMER SERVICE CENTER SUPPORT**

Service Pricing Table Of Contents	
City of Chicago	
Confidential and Proprietary Information	Description
Worksheet Title / Hyperlink	
Instructions	
<u>READ FIRST—Instructions for Completing the Pricing Spreadsheet</u>	Overall Instructions about this individual worksheets
Pricing Summary Sheets	
<u>Pricing Summary - 5 Year Rollup</u>	Summary of Five-Year pricing across all Service Areas—recurring and once-off
Services - Monthly Recurring Charges	
<u>Application Maintenance and Production Support (AMS)</u>	Annual Recurring Pricing—Application Maintenance and Support Services
<u>Customer Service and Support</u>	Annual Recurring Pricing—Customer Service and Support Services
<u>Mail Outsourcing</u>	Annual Recurring Pricing—Mail Outsourcing Services
One Time Charges for Transition/Migration	
<u>Transition</u>	One Time Transition / Start-up Charges
Unit Rate Charges	
<u>IT Services Rate Card</u>	Worksheet for itemizing the Respondent staff hourly rates
<u>Mail Outsourcing Pricing List</u>	Worksheet for itemizing Respondent price list for Mail Outsourcing services
Financial Responsibility Tables	
<u>Financial Responsibilities - Hardware</u>	Financial Responsibilities Breakdown for Hardware
<u>Financial Responsibilities - Software</u>	Financial Responsibilities Breakdown for Software
<u>Financial Responsibilities - Facilities</u>	Financial Responsibilities Breakdown for Facilities
Other Provider Assumptions	
<u>Assumptions</u>	Worksheet to itemize all business and Service assumptions not addressed elsewhere

Instructions for completing this Cost Proposal Workbook

City of Chicago

Confidential and Proprietary

Click Link for

IOC page

ASSUMPTIONS

0

1. This MS Excel Workbook contains a series of separate spreadsheets designed to provide a robust understanding of the pricing models used by the Respondent. It is essential that the Respondent use this model in preparing its pricing response. Failure to provide the pricing details as required in this Workbook will be considered non-compliance and may be subject to rejection.

2. The spreadsheet tab labeled TOC (Table of Contents) contains brief descriptions of each spreadsheet, as well as convenient one-click navigation of the workbook.

Each worksheet is designed to elicit specific pricing information related to establishing, managing, developing, and deploying the work required. If your typical pricing model does not normally charge for a specific element provided within this workbook, then please provide a statement in your "Assumptions" regarding your methodology for charging for that element (i.e., not applicable, charged on T&M basis, etc.). Deviations from pricing elements is not encouraged.

4. The worksheets in this Pricing Template are protected to minimize the risk of compromising the integrity of the workbook structure and formulas. As such, the editable cells within each worksheet are indicated in light green highlight as shown

5. You should complete this workbook from the perspective of sizing a "Fixed Unit Price" solution. For purpose of the price proposal, the Service Provider should assume growth per the workload volumes provided in SECTION IV. SERVICE REQUIREMENTS in the RFP. City will provide as much detail as possible to enable you to size this solution. All pertinent supporting documentation has been provided to you to assist in the proposal preparation and minimize ambiguity. City costs to support your proposal will be added to arrive at the total burdened cost of this "proposed" solution.

PLEASE NOTE: Recurring fees MUST include the delivery of a reasonable level of project work that ordinarily must occur in each application area as a part of day-to-day operations. Projects for which additional fees would be negotiated should be few and clearly over and above day-to-day operations and associated "ordinary" project work covered by unit rates for recurring services. Respondent shall provide "All-In" service pricing.

6. The Respondent must provide details pertaining to the assumptions, expectations, and/or performance parameters you have used as the basis for your pricing. Please note that the Respondent's response to this pricing model will not be considered an actual commitment to perform the project, but will be considered a costing model and pricing structure commitment to perform the work under this RFP if it is the chosen Respondent.

7. The Respondent shall provide complete pricing information in both hard and soft copy as part of their proposal. The proposals must be completed in full and where information is omitted from a proposal, City reserves the right to treat that proposal as non-responsive.

8. Pricing must be all inclusive, and include any Account Management fees, etc. In the case of City (choose asset situation below):

- 1. Considering there would be continued Respondent ownership of assets. In this case, the Respondent's annual charges should include the cost of refreshing and maintaining assets under their control.
- 2. Considering there would be NO Respondent ownership of assets and all assets would be owned by City. In this case, the Respondent's annual charges should not include asset costs, but include separately, all expected pass-through expenses.
- 3. Respondent is to ignore any asset transfer and associated costs in this response. This will be negotiated only if Customer decides to buy back assets

9. The Respondent must detail Key Assumptions for pricing by line item in each Tab.

10. Alternative service delivery and pricing options that would deliver significant cost reductions without sacrificing service delivery are welcome. Alternative options tendered should address the same issues and provide the same pricing information as for a conforming response.

11. If the Respondent solution implies some major changes in the baseline quantities, the Respondent MUST provide two Pricing Formats: the first one using the forecasted baseline and the second one with the Respondent forecasted baseline reflecting any service changes the Respondent would suggest.

DO NOT MAKE CHANGES TO THIS PRICING MODEL. If you need to include any additional elements, please include pricing for those elements as supplemental cost information in a separate worksheet.

Please refer to the RFP documentation for details describing each of the service deliverables that Respondent is expected to provide and price in accordance with this RFP.

Respondent Input

Do Not Make Changes to Yellow Cells

City of Chicago Confidential and Proprietary Information

5 Year Summary

NOTE - Except for early termination fees, this worksheet is **NOT EDITABLE**.

- All edits must be made in the worksheets pertaining to each respective Service Category (e.g., Application Maintenance and Production Support, Customer Service and Support).
- To navigate within this Workbook, click on the appropriate Hyperlinked text in the worksheet fields.

Click links for
[Summary - 5 Year Rollup](#)
[IOC page](#)
[ASSUMPTIONS](#)

Respondent
 Input

Do Not Make
 Changes to Yellow
 Cells

RECURRING / ONGOING COSTS		Summary Annual Fees					Totals
		Year 1	Year 2	Year 3	Year 4	Year 5	
Service Category Application Maintenance and Production Support (AMS) Customer Service and Support Mail Outsourcing	Service / Description						
	Application Maintenance and Production Support (AMS)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Customer Service and Support	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Mail Outsourcing	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Total Annual Service Fees		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

ONE-TIME TRANSITION		Total
Service Category	Service / Description	
Transition-In Fees	Transition-In	\$ -
Total One-Time Transition-In Costs		\$ -

TOTAL FIVE-YEAR CHARGES INCLUDING ONE-TIME TRANSITION-IN COSTS \$ -

**City of Chicago
Confidential and Proprietary Information**

Click Link for
IOC page
Rate Card
[5 Year Summary Assumptions](#)

Do Not Make Changes to
Yellow Cells

Application Maintenance & Production Support (AMS) Labor and Rates

ASSUMPTIONS (The Respondent is required to state all assumptions upon which its pricing is being determined). Insert as many lines as necessary to ensure all concerns are accurately expressed.

		Year 1	Year 2	Year 3	Year 4	Year 5	Assumptions
Summary							
Estimate of Total Required FTEs by Year							
Total Fees		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	

DETAIL ASSUMPTIONS OR REFERENCE ON ASSUMPTION TAB

Table 1. Application Support and Maintenance

Resource Unit	Metric	Annual Fees					Assumptions
		Year 1	Year 2	Year 3	Year 4	Year 5	
	Onsite/Offsite Ratio	% / %	% / %	% / %	% / %	% / %	
	Overall Productivity Improvement Year Over Year in \$\$\$						
	Total Estimated AMS Hours by Year	0	0	0	0	0	
Job Title / Labor Category #1 (From the Rate Card)	Hours						
	Rate						
	Subtotal						
Job Title / Labor Category #2 (From the Rate Card)	Hours						
	Rate						
	Subtotal						
Job Title / Labor Category #3 (From the Rate Card)	Hours						
	Rate						
	Subtotal						
Job Title / Labor Category #4 (From the Rate Card)	Hours						
	Rate						
	Subtotal						
	Total IRIS AMS Fees	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	

ARMS - Applications Support and Maintenance

Resource Unit	Metric	Annual Fees					Assumptions
		Year 1	Year 2	Year 3	Year 4	Year 5	
	Onsite/Offsite Ratio	% / %	% / %	% / %	% / %	% / %	
	Overall Productivity Improvement Year Over Year in \$\$\$						
	Total Estimated AMS Hours by Year	0	0	0	0	0	
Job Title / Labor Category #1 (From the Rate Card)	Hours						
	Rate						
	Subtotal						
Job Title / Labor Category #2 (From the Rate Card)	Hours						
	Rate						
	Subtotal						
Job Title / Labor Category #3 (From the Rate Card)	Hours						
	Rate						
	Subtotal						
Job Title / Labor Category #4 (From the Rate Card)	Hours						
	Rate						
	Subtotal						
	Total ARMS AMS Fees	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	

City of Chicago
Confidential and Proprietary Information

Customer Service and Support

ASSUMPTIONS (The Respondent is required to state all assumptions upon which its pricing is being determined). Insert as many lines as necessary to ensure all concerns are accurately expressed.

Click Link for
[IOC page](#)
[Rate Card](#)
[5 Year Summary Assumptions](#)

Respondent Input

Do Not Make Changes to Yellow Cells

Customer Service and Support Annual Fees					
	Year 1	Year 2	Year 3	Year 4	Year 5
Estimate of Total Required FTEs by Year					
Total Fees	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

Table 1. Customer Service and Support					
	Year 1	Year 2	Year 3	Year 4	Year 5
Onsite/Offsite Ratio	% / %	% / %	% / %	% / %	% / %
Overall Productivity Improvement Year Over Year in \$\$\$					

Resource Unit	Metric	Annual Fees					DETAIL ASSUMPTIONS OR REFERENCE ON ASSUMPTION TAB
		Year 1	Year 2	Year 3	Year 4	Year 5	
Total Estimated Customer Service and Support Hours by Year		0	0	0	0	0	Assumptions
Hours							
Rate							
Subtotal		0	0	0	0	0	
Hours							
Rate		0	0	0	0	0	
Subtotal		0	0	0	0	0	
Hours							
Rate		0	0	0	0	0	
Subtotal		0	0	0	0	0	
Hours							
Rate		0	0	0	0	0	
Subtotal		0	0	0	0	0	
Total Customer Service and Support Fees		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	

**City of Chicago
 Confidential and Proprietary Information
 Transition Fees and Expenses**

Click links for:
[5 Year Summary](#)
[IOC page](#)
[ASSUMPTIONS](#)

ASSUMPTIONS (The Respondent is required to state all assumptions upon which its pricing is being determined). Insert as many lines as necessary to ensure all concerns are accurately expressed.

Transition Fees and Expenses (One-Time)		Cost Breakdown	Transition Project Plan Reference	Key Assumptions That Drive Pricing
Resource Category (itemize all charges)				
Project Team / Management		\$ -		
Hardware		\$ -		
Software		\$ -		
Testing		\$ -		
Training		\$ -		
Milestone/Deliverable 1 (describe)		\$ -		
Milestone/Deliverable 2 (describe)		\$ -		
Milestone/Deliverable 3 (describe)		\$ -		
Milestone/Deliverable 4 (describe)		\$ -		
Milestone/Deliverable 5 (describe)		\$ -		
Milestone/Deliverable 6 (describe)		\$ -		
Milestone/Deliverable 7 (describe)		\$ -		
Shipping/Handling/Storage		\$ -		
Installation / build-out		\$ -		
Third-party consulting and/or labor		\$ -		
Total Transition Fees		\$ -		

City of Chicago Confidential and Proprietary Information Financial Responsibility Matrix	Click links for Summary - 5 Year Rollup TOC page ASSUMPTIONS

Hardware Type of Asset/Service	Current Assets				Future Assets				Upgrades/Enhancements				Growth				Technology Refreshment				Charging Mechanism						
	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	
Desktop																											
Workstation (City Service Locations)	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	
Workstation (Respondent Service Location)	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	
Miscellaneous Equipment																											
IRIS Mobile (Investigations)	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	
Cashiering Peripherals	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	
Other	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	
Development, Test, QA and Production Servers																											
Data Center Hardware (City Service Locations)	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	
Hardware specific to City (Respondent Service Location)	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	City	Respondent	

Definitions:
 Part of Fees means included in Base Charges.
 N/A = Not Applicable

Click links for
[Summary - 5 Year Rollup](#)
[TOC page](#)
[ASSUMPTIONS](#)

City of Chicago
Confidential and Proprietary Information
 Financial Responsibility Matrix

Software	Ownership					Support Operations					Financial Responsibility		
	Current Assets	Future Assets	Upgrades/Enhancements	Growth	Technology Refreshment	Charging Mechanism	Install	Support	Maintenance	Move, Add or Change	Support / Operations	Charging Mechanism	
Desktop/Workstations													
Windows OS, Office automation Software and anti-virus (Staff at Respondent Service Location)	Respondent	Respondent	Respondent	Respondent	Respondent	Pass through	Respondent	Respondent	Respondent	Respondent	Respondent	Part of Fees	
Windows OS, Office automation Software and anti-virus (Staff at City Service Location)	City	City	City	City	City	N/A	City	City	City	City	City	N/A	
Client Server Software/IDE (Staff at Respondent Service Location)	City	City	City	City	City	N/A	City	City	City	City	City	N/A	
Client Server Software/IDE (Staff at City Service Location)	City	City	City	City	City	N/A	City	City	City	City	City	N/A	
Mobile / Peripherals													
IRIS Investigations	City	City	City	City	City	N/A	City	City	City	City	City	N/A	
Other - specify													
Applications													
IRIS	City	City	City	City	City	N/A	City	City	City	City	City	N/A	
ARMS	City	City	City	City	City	N/A	City	City	City	City	City	N/A	
Cashiering	City	City	City	City	City	N/A	City	City	City	City	City	N/A	
Customer Service Tracker	City	City	City	City	City	N/A	City	City	City	City	City	N/A	
ACD - Automatic Call Distribution	City	City	City	City	City	N/A	City	City	City	City	City	N/A	
Other - specify													
Respondent Software Used in Delivery of Services													
Mail Outsourcing Templates	City	City	City	City	City	Part of Fees	Respondent	Respondent	Respondent	Respondent	Respondent	Part of Fees	
AMS Related	Respondent	Respondent	Respondent	Respondent	Respondent	Part of Fees	Respondent	Respondent	Respondent	Respondent	Respondent	Part of Fees	
Customer Service Related	Respondent	Respondent	Respondent	Respondent	Respondent	Part of Fees	Respondent	Respondent	Respondent	Respondent	Respondent	Part of Fees	
Other - specify													
Development, Test, QA and Production Servers (City site)													
Operating Systems	City	City	City	City	City	N/A	City	City	City	City	City	N/A	
Middleware	City	City	City	City	City	N/A	City	City	City	City	City	N/A	
Management tools*	Respondent	Respondent	Respondent	Respondent	Respondent	Part of Fees	Respondent	Respondent	Respondent	Respondent	Respondent	Part of Fees	
Server SW: Applications / Respondent Proprietary	City	City	City	City	City	N/A	City	City	City	City	City	N/A	
Server SW: Applications / City Proprietary	City	City	City	City	City	N/A	City	City	City	City	City	N/A	
Development, Test, QA and Production Servers (Respondent site)													
Operating Systems	City	City	City	City	City	N/A	Respondent	Respondent	Respondent	Respondent	Respondent	N/A	
Middleware	City	City	City	City	City	N/A	Respondent	Respondent	Respondent	Respondent	Respondent	N/A	
Management tools	Respondent	Respondent	Respondent	Respondent	Respondent	Part of Fees	Respondent	Respondent	Respondent	Respondent	Respondent	Part of Fees	
Server SW: Applications / Respondent Proprietary	City	City	City	City	City	N/A	Respondent	Respondent	Respondent	Respondent	Respondent	Part of Fees	
Server SW: Applications / City Proprietary	City	City	City	City	City	N/A	Respondent	Respondent	Respondent	Respondent	Respondent	Part of Fees	

Definitions:
 SW means software.
 Management Tools means, software that is used to in the application maintenance and production support. The following tools are currently utilized (the Respondent may suggest alternate tools for these categories):
 Source Code Control - PVCS
 Data Modeling - TOAD
 Project Planning - MS Project
 Design - MS Visio
 UML Design - Enterprise Architect
 Part of Fees means included in the Base Fees.
 N/A = Not Applicable

City of Chicago
 Cost Proposal
 Financial Resp - Facilities

City of Chicago
Confidential and Proprietary Information
 Financial Responsibility Matrix

Click links for
Summary - 5 Year Rollup
TOC page
ASSUMPTIONS

Facilities	Facilities / Space Financial Responsibility					Charging Mechanism
	Current	Future	Upgrades	Maintenance		
City Facilities	City Respondent	City Respondent	City Respondent	City Respondent	City Respondent	N/A
Respondent Facilities (including subcontractors)						Part of Fees

Definitions:
 "Part of Fees" means included in Base Fees.
 N/A = Not Applicable

City of Chicago
Confidential and Proprietary
Assumption Recap

Click links for

[Summary - 5 Year Rollup](#)

[TOC page](#)

[ASSUMPTIONS](#)

ASSUMPTIONS (The Respondent is required to state all assumptions upon which its pricing is being determined). Insert as many lines as necessary to ensure all concerns are accurately expressed.

1

2

3

4

5

6

7

8

9

10

11

12

13

14

15

16

17

18

19

20

21

22

23

24

25

**EXHIBIT 4 - SPECIAL CONDITIONS REGARDING MINORITY AND WOMEN OWNED
BUSINESS ENTERPRISE (MBE/WBE) COMMITMENT AND SCHEDULES**

**SPECIAL CONDITION REGARDING MINORITY BUSINESS
ENTERPRISE COMMITMENT AND WOMEN BUSINESS ENTERPRISE
COMMITMENT**

(MBE/WBE Professional Services) (10 pgs)

I. Policy and Terms

- A. It is the policy of the City of Chicago that Local Businesses certified as Minority Business Enterprises (MBE) and Women 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 shall have the maximum opportunity to participate fully in the performance of this agreement. Therefore, the contractor shall not discriminate against any person or business on the basis of race, color, national origin or sex, and shall take affirmative action to ensure that women and minority businesses shall have the maximum opportunity to compete for and perform subcontracts for supplies or services.

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.

- B. 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 of Chicago deems appropriate.
- C. Accordingly, the Respondent commits to expend at least the following percentages of the total contract price (inclusive of any and all modifications and amendments), if awarded, for contract participation by MBEs and WBEs:

MBE Contract Goal: 25 and WBE Contract Goal: 5

- D. The commitment is met by the Respondent's status as an MBE or WBE, or by a joint venture with one or more certified MBEs or WBEs that will perform work on the project, or by subcontracting a portion of the work to one or more MBEs or WBEs, or by the purchase of materials used in the performance of the contract from one or more MBEs or WBEs, or by the indirect participation of MBEs or WBEs in other aspects of the Respondent's business (but no dollar of such indirect MBE or WBE participation shall be credited more than once against a Respondent's MBE or WBE commitment with respect to all contracts of such contractor), or by any combination of the foregoing.

Note: MBE/WBE participation goals are separate and those businesses certified with the City of Chicago as both an MBE and WBE shall not be credited more than once against a contractor's MBE or WBE commitment in the performance of the contract.

- E. As noted above, the Respondent may meet all or part of this commitment by contracting with MBEs or WBEs for the provision of goods or services not directly related to the performance of this contract. However, in determining the manner of MBE/WBE participation, the Respondent shall first consider involvement of MBEs/WBEs as joint venture partners, subcontractors, and suppliers of goods and services directly related to the performance of this contract. In appropriate cases, the Chief Procurement Officer will require the contractor to demonstrate the specific

efforts undertaken to involve MBEs and WBEs in direct participation in the performance of this contract.

- F. The Respondent also may with prior approval of the Chief Procurement Officer or designee, meet all, or part, of this commitment through credits received pursuant to Section 2-92-530 of the Municipal Code of Chicago for the voluntary use of MBEs or WBEs in private sector projects.

II. Definitions

- A. **“Minority Business Enterprise”** or **“MBE”** means a firm awarded certification as a minority owned and controlled business in accordance with City Ordinances and Regulations.
- B. **“Women Business Enterprise”** or **“WBE”** means a firm awarded certification as a women owned and controlled business in accordance with City Ordinances and Regulations.
- C. **“Directory”** means the Directory of Certified “Disadvantaged Business Enterprises,” “Minority Business Enterprises” and “Women Business Enterprises” maintained and published by the Contract Compliance Administrator. 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.
- D. **“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. 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 Department of Procurement Services 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.

- E. **“Joint Venture”** means an association of two or more businesses to carry out a single business enterprise for profit, and for which purpose they combine their expertise, property, capital, efforts, skill and knowledge. Contractors may develop joint venture agreements as an instrument to provide participation by MBEs and WBEs in contract work.
- F. **“Contract Compliance Administrator”** means the officer appointed pursuant to Section 2-92-490 of the Municipal Code of Chicago.

III. Joint Ventures

Respondents may develop joint venture agreements as an instrument to provide participation by certified MBEs and WBEs in contract work. A joint venture seeking to be credited for MBE and/or WBE participation may be formed among MBE and/or WBE firms or between an MBE and/or WBE firm and a non-MBE/WBE firm.

A joint venture is eligible for MBE or WBE credit if the MBE/WBE joint venture partner(s) share in the ownership, control and management responsibilities, risks and profits of the joint venture, and are responsible for a clearly defined portion of work to be performed, in proportion with the MBE and/or WBE ownership percentage.

Notice: The City requires that, whenever a joint venture is proposed as the prime contractor, each joint venture partner must separately sign the proposal to the City, in the pages captioned, **TO BE EXECUTED BY A CORPORATION; TO BE EXECUTED BY A PARTNERSHIP; and/or TO BE EXECUTED BY A SOLE PROPRIETOR**, as applicable.

IV. Counting MBE/WBE Participation Toward the Contract Goals

- A. The inclusion of any MBE or WBE in the Respondent's MBE/WBE Utilization Plan shall not conclusively establish the Respondent's right to full MBE/WBE credit for that firm's participation in the contract. Once an MBE or WBE is determined to be eligible in accordance with these rules, the total dollar value of the work awarded to the MBE or WBE may be counted toward the MBE or WBE goal except as indicated below:
- B. The Chief Procurement Officer reserves the right to deny or limit MBE/WBE credit to the contractor where any MBE or WBE is found to be engaged in substantial subcontracting or pass-through activities with others. A contractor may count toward its MBE and WBE goals only expenditures to firms that perform a commercially useful function. A firm is considered to perform a commercially useful function when it is responsible for the performance of a clearly defined and distinct element of work and is carrying out its responsibilities by actually performing, managing, and supervising the work involved. To determine whether a firm is performing a commercially useful function, the Chief Procurement Officer shall evaluate the amount of work subcontracted, industry practices, and other relevant factors. The amount of MBE/WBE participation credit shall be based on an analysis by the Chief Procurement Officer of the specific duties that will be performed by the MBE or WBE. Each MBE/WBE shall be expected to actually perform a substantial (i.e., more than eighty-five percent (85%)) portion of the work contemplated for it by any subcontract or agreement through the use of its own employees and equipment.

Requested information may include, without limitation: (1) specific information concerning brokers' fees and/or commissions; (2) intended sub-suppliers or other sources of goods and/or services; and (3) specific financial or other risks to be assumed by the MBE/WBE.

- C. MBEs and WBEs who have been certified as "brokers" shall no longer be considered eligible to participate for any consideration of MBE or WBE credit on contracts awarded by the City in 1993 and thereafter, until further notice.
- D. A joint venture may count toward its MBE or WBE goal the dollar value of the actual work performed by the MBE and/or WBE joint venture partner with its own resources.

The Chief Procurement Officer reserves the right to disallow goal credit for all, or any portion, of work performed by an MBE or WBE joint venture based on evaluations of non-compliance with these Special Conditions or any other City, State and/or Federal regulation.

V. Regulations Governing Reduction or Waiver of MBE/WBE Goals

The following Regulations set forth the standards to be used in determining whether or not a reduction or waiver of the MBE/WBE commitment goals of a particular contract is appropriate. If a Respondent determines that it is unable to meet the MBE and/or WBE goal percentage on a City of Chicago contract, a written request for the reduction or waiver of the commitment must be included in the bid or proposal.

The written request for reduction or waiver from the commitment must be in the form of a signed petition for grant of relief from the MBE/WBE percentages submitted on the Respondent's letterhead, and must demonstrate that all required efforts as set forth in this document were taken to secure eligible Minority and Women Business Enterprises to meet the commitments. The Chief Procurement Officer or designee shall determine whether the request for the reduction or waiver will be granted.

Respondents will be considered responsive to the terms and conditions of these Regulations if a waiver request and proof of notification to an assist agency is submitted at the time of bid/proposal opening. Once the bids have been opened, the lowest responsive and responsible bidder so deemed by the Chief Procurement Officer or authorized designee will have no more than fourteen (14) calendar days to submit to the Department of Procurement complete documentation that adequately addresses the conditions for waiver described herein.

Respondents to this Request for Proposals (RFPs) who have been identified as a shortlisted candidate and/or a prospective awardee will be given a designated time allowance, but no more than fourteen (14) calendar days to submit to the Department of Procurement Services complete documentation that adequately addresses the conditions for waiver described herein. Respondents to Request for Information and or Qualifications (RFI/RFQs) deemed by the Chief Procurement Officer or authorized designee to be the most responsive and responsible shall submit documentation that adequately addresses the conditions for waiver described herein during negotiations. Failure to submit documentation sufficient to support the waiver request will cause the bid/proposal to be found non-responsive by the Chief Procurement Officer, and the bid/proposal will be rejected. In such cases the remedies to be taken by the Chief Procurement Officer, in his discretion, may include, but are not limited to, forfeiture of bid deposit; negotiating with the next lowest Respondent; or re-advertising the bid/proposal. All Respondents are encouraged to submit all required documents at the time of bid opening to expedite the contract award.

A. Direct/Indirect Participation

Each of the following elements must be present to determine whether or not such a reduction or waiver is appropriate.

1. The Respondent has documented the unsuccessful solicitation for either subcontractors or joint venture partners of at least 50% (or at least five when there are more than eleven certified firms in the commodity area) of the appropriate certified MBE/WBE firms to perform any direct or indirect work identified or related to the advertised bid/proposal. Direct participation involves subcontracting a portion of the goods/services specifically required in the bid/proposal. Indirect participation is the subcontracting of goods/services not specifically related to the performance of this contract. Documentation must include but is not necessarily limited to:

- a. A detailed statement of efforts to identify and select portions of work identified in the bid solicitation for subcontracting to certified MBE/WBE firms;
- b. A listing of all MBE/WBE firms contacted that includes:
 - (1) Names, address and telephone numbers of MBE/WBE firms solicited;
 - (2) Date and time of contact;
 - (3) Method of contact (written, telephone, facsimile, etc.)
- c. Copies of letters or any other evidence of mailing that substantiates outreach to MBE/WBE vendors that includes:
 - (1) Project identification and location;
 - (2) Classification/commodity of work items for which quotations were sought;
 - (3) Date, item and location for acceptance of subcontractor bid proposals;
 - (4) Detailed statement which summarizes direct negotiations with appropriate MBE/WBE firms for specific portion of the work and indicates why negotiations were unsuccessful;
 - (5) Affirmation that good faith efforts have been demonstrated by choosing subcontracting opportunities likely to achieve MBE/WBE goals by not imposing any limiting conditions which were not mandatory for all subcontractors; or denying the benefits ordinarily conferred on MBE/WBE subcontractors for the type of work that was solicited.

OR

- 2. Subcontractor participation will be deemed excessively costly when the MBE/WBE subcontractor proposal exceeds the average price quoted by more than twenty percent (20%). In order to establish that a subcontractor's quote is excessively costly, the Respondent must provide the following information:
 - a. A detailed statement of the work identified for MBE/WBE participation for which the Respondent asserts the MBE/WBE quote(s) were excessively costly (more than 20% higher).
 - (1) A listing of all potential subcontractors contacted for a quotation on that work item;
 - (2) Prices quoted for the subcontract in question by all such potential subcontractors for that work item.
 - b. Other documentation which demonstrates to the satisfaction of the Chief Procurement Officer that the MBE/WBE proposals are excessively costly, even though not more than 20% higher than the average price quoted. This determination will be based on factors that include, but are not limited to the following:
 - (1) The City's estimate for the work under a specific subcontract;
 - (2) The Respondent's own estimate for the work under the subcontract;
 - (3) An average of the bona fide prices quoted for the subcontract;

- (4) Demonstrated increase in other contract costs as a result of subcontracting to the M/WBE or other firm.

B. Assist Agency Participation

Every waiver and/or reduction request must include evidence that the Respondent has provided timely notice of the need for subcontractors to an appropriate association/assist agency representative of the MBE/WBE business community.

The notice requirement of this Section will be satisfied if a Respondent contacts at least one of the associations on Attachment A when the prime contractor seeks a waiver or reduction in the utilization goals. Attachment B provides the letter format that a prime contractor may use. Proof of notification prior to bid submittal (e.g., certified mail receipt or facsimile transmittal receipt) will be required for any bid/proposal submitted to be deemed responsive on the date of bid opening. If deemed appropriate, the Chief Procurement Officer or Contract Compliance Officer may contact the assist agency for verification of notification.

C. Impracticability

1. If the Chief Procurement Officer determines that a lesser MBE and/or WBE percentage standard is appropriate with respect to a particular contract subject to competitive bidding prior to the bid solicitations for such contract, bid specifications shall include a statement of such revised standard.
2. The requirements set forth in these Regulations shall not apply where the Chief Procurement Officer determines prior to the bid solicitations that MBE/WBE subcontractor participation is impracticable.

This may occur whenever the Chief Procurement Officer determines that for reasons of time, need, industry practices or standards not previously known by the Procurement Department administrator, or such other extreme circumstances as may be deemed appropriate, such a Waiver is in the best interests of the City. This determination may be made in connection with a particular contract, whether before the contract is let for bid, during the bid or award process, before or during negotiation of the contract, or during the performance of the contract.

For all notifications required to be made by Respondents, in situations where the Chief Procurement Officer has determined that time is of the essence, documented telephone contact may be substituted for letter contact.

VI. Procedure To Determine Bid Compliance

The following Schedules and described documents constitute the Respondent's MBE/WBE proposal, and must be submitted in accordance with the guidelines stated:

A. Schedule C-1: Letter of Intent from MBE/WBE to Perform as Subcontractor, Supplier and/or Consultant.

A Schedule C-1 executed by the MBE/WBE (subcontractor or Joint Venture partner) must be submitted by the bidder/proposer for each MBE/WBE included on their Schedule D-1 and must accurately detail the work to be performed by the MBE/WBE and the agreed rates and prices to be paid.

If any fully completed and executed Schedule C-1 is not submitted with the bid/proposal, it must be received by the Contract Administrator within ten (10) days of the bid/proposal opening. (All post bid/proposal submissions must have original signatures on all documents). Failure to submit a completed Schedule C-1 in accordance with this section shall entitle the City to deem the bid/proposal non-responsive and therefore reject the bid/proposal.

B. Letters of Certification.

A copy of each proposed MBE/WBE firm's current Letter of Certification from the City of Chicago must be submitted with the bid/proposal.

All Letters of Certification issued by the City of Chicago 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-1, must conform to their stated Area of Specialty.

C. Joint Venture Agreements.

If the Respondent's MBE/WBE proposal includes the participation of an MBE/WBE as joint venture on any tier (either as the bidder/proposer or as a subcontractor), the Respondent must provide a copy of the joint venture agreement.

D. Schedule D-1: Affidavit of MBE/WBE Goal Implementation Plan

Respondents must submit, together with the bid, a completed Schedule D-1 committing them to the utilization of each listed MBE/WBE firm.

Except in cases where the Respondent has submitted a request for a complete waiver of or variance from the MBE/WBE commitment in accordance with **V. Regulations Governing Reduction or Waiver of MBE/WBE Goals** herein, the Respondent must commit to the expenditure of a specific dollar amount of participation and a specific percentage of the total award amount for each MBE/WBE firm included on their Schedule D-1. The total dollar commitment to proposed MBEs must at least equal the MBE goal, and the total dollar commitment to proposed WBEs must at least equal the WBE goal. Bidders are responsible for calculating the dollar equivalent of the MBE and WBE goals as percentages of their total base bids or in the case of Term Agreements, as percentages of the total estimated usage.

All commitments made by the Respondent's Schedule D-1 must conform to those presented in the submitted Schedule C-1. If Schedule C-1 is submitted after the bid opening (see Section VI. A., above), the bidder/proposer may submit a revised Schedule D-1 (executed and notarized) to conform with the Schedule C-1. Except in cases where substantial and documented justification is provided, Respondents will not be allowed to reduce the dollar commitment made to any MBE or WBE to achieve conformity between the Schedules C-1 and D-1.

VII. Reporting Requirements During the Term of the Contract

- A. The Contractor shall, not later than thirty (30) days from the award of a contract by the City, execute formal contracts or purchase orders with the MBEs and WBEs included in their approved MBE/WBE Utilization Plan. These written agreements shall be made available to the Chief Procurement Officer on request.

- B. In the case of one time procurements of supplies with either single or multiple deliveries to be performed in less than one year from the date of contract award, an “MBE/WBE Utilization Report,” indicating final MBE and WBE payments shall be submitted directly to the Department of Procurement Services so as to assure receipt either at the same time, or before the using Department receives the contractor’s final invoice. Final payments may be held until the Utilization Reports have been received.
NOTICE: Do not submit invoices with “MBE/WBE Utilization Reports.”
- C. During the term of all other contracts, the contractor shall submit regular “MBE/WBE Utilization Reports,” a copy of which is attached. The frequency with which these reports are to be submitted will be determined by the Chief Procurement Officer, but in no case will reports be required less often than on a quarterly basis. In the absence of written notice from the Chief Procurement Officer, the contractor’s first “MBE/WBE Utilization Report” will be due ninety (90) days after the date of contract award, and reports will be due quarterly thereafter.
- D. “MBE/WBE Utilization Reports” are to be submitted directly to: Department of Procurement Services, Office of Vendor Relations, City Hall, Room 403, 121 N. LaSalle Street, Chicago, Illinois 60602.
- E. The Contract Compliance Administrator shall be entitled to examine, on five (5) 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 its commitment to MBE/WBE participation 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.

VIII. MBE/WBE Substitutions

Changes by the contractor of the commitments earlier certified in the Schedule D-1 are prohibited. In some cases, however, it may become necessary to substitute a new MBE or WBE to actually fulfill the MBE/WBE requirements.

The contractor must notify the Chief Procurement Officer immediately in writing of the necessity to reduce or terminate an MBE/WBE subcontract and to utilize a substitute firm for some phase of work. The contractor’s notification should include the reason for the substitution request, as well as, the name, address and principal official of the substitute MBE/WBE and the dollar value and scope of work of the subcontract. Attached should be all the requisite MBE/WBE affidavits and documents, as enumerated above in Section VI. above, “Procedure to Determine Bid Compliance.”

The City will not approve extra payment for escalated costs incurred by the contractor when a substitution of subcontractors becomes necessary for the contractor to comply with MBE/WBE contract requirements.

After award of contract, no relief of the MBE/WBE requirements will be granted by the City except in exceptional circumstances. Requests for complete or partial waiver of the MBE/WBE requirements of this contract must be made in writing, stating all details of the request, the circumstances, and any additional relevant information. The request must be accompanied by a record of all efforts taken by the contractor to locate specific firms, solicit MBE/WBE bids, seek assistance from technical assistance agencies, etc., as outlined above in the section V. above, entitled “Regulations Governing Reductions To or Waiver of MBE/WBE Goals.”

IX. Non-Compliance and Damages

The following constitutes a material breach of this contract and 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:

- (1) Failure to satisfy the MBE/WBE percentages required by the contract; and
- (2) The contractor or subcontractor is disqualified as an MBE or WBE, and such status was a factor in contract award, and was misrepresented by the contractor.

In the event that the contractor is determined not to have been involved in any misrepresentation of the status of the disqualified subcontractor or supplier, the contractor shall seek to discharge the disqualified subcontractor or supplier, on proper notification to the Chief Procurement Officer and/or Contract Compliance Administrator and make every effort to identify and engage a qualified MBE or WBE as its replacement. Furthermore, continued eligibility to enter into future contracting arrangements with the City may be jeopardized as a result of non-compliance. Payments due to the contractor may be withheld until corrective action is taken.

X. Arbitration

- A. In the event that a contractor has not complied with the contractual MBE/WBE percentages in its Schedule D, 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 disputes 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 an MBE/WBE.
- B. An MBE/WBE desiring to arbitrate shall contact the contractor in writing to initiate the arbitral 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, Section X. A. above, within ten (10) 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 fees of the arbitrator are the initial responsibility of the MBE/WBE; 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 (10) 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 (10) days of receiving such decision. Judgment on the award rendered by the arbitrator may be entered in any court of competent jurisdiction.

XI. Record Keeping

The Respondent shall maintain records of all relevant data with respect to the utilization of MBEs/WBEs, retaining these records for a period of at least three years after final acceptance of the work. Full access to these records shall be granted to the City of Chicago, Federal or State authorities in this project, the U.S. Department of Justice, or any duly authorized representatives thereof.

XII. Information Sources

Small business guaranteed loans; surety bond guarantees; 8 (a) certification:

U.S. Small Business Administration

500 W. Madison Street, Suite 1250
Chicago, Illinois 60661
General Information
(312) 353-4528

**S.B.A.—Bond Guarantee Program
Surety Bonds**

500 West Madison, Suite 1250
Chicago, Illinois 60661
Attention: Carole Harris
(312) 353-4003

S.B.A.—Procurement Assistance

500 West Madison, Suite 1250
Chicago, Illinois 60661
Attention: Robert P. Murphy, Area Regional Administrator
(312) 353-7381

Project information and general MBE/WBE information:

**City of Chicago
Department of Procurement
Office of Vendor Relations**

City Hall—Room 403
Chicago, Illinois 60602
Attention:
(312) 744-7655

**City of Chicago
Department of Procurement
Contract Administration Division**

City Hall—Room 403
Chicago, Illinois 60602
Attention: Byron Whittaker
(312) 744-4926

Directory of Certified Disadvantaged, Minority and Women Business Enterprises:

**City of Chicago
Department of Procurement
Office of Business Development -Certification Unit**

City Hall—Room 403
Chicago, Illinois 60602
Attention: Lori Lypson
(312) 744-4909

General Information, Department of Procurement Services: www.cityofchicago.org/purchasing

Information on MBE/WBE availability in the manufacturing, sales or supplies, and related fields (direct assistance from 42 regional affiliates located throughout the U.S.):

**National Minority Suppliers
Development Council, Inc.**

1040 Avenue of the Americas, 2nd floor
New York, New York 10018
Attention: Harriet R. Michel
(212) 944-2430

**Chicago Minority Business
Development Council**

1 East Wacker Drive
Suite 1200
Chicago, Illinois 60601
Attention: Tracye Smith, Executive
Director
Phone: (312) 755-8880
Fax: (312) 755-8890

ATTACHMENT A—ASSIST AGENCY

African American Contractors Association

3901 S. State
Chicago, IL 60653
Phone: (312) 915-5960
Fax: (312) 567-9919
Web: none
E-Mail: omaraaca@hotmail.com
Attn: Omar Shareef, President

Asian American Alliance

222 W. Cermak Road
Suite 303
Chicago, IL 60616
Phone: (312) 293-1249
Fax: (312) 293-3642
Web: www.asianamericanalliance.com
E-Mail: ctakada@asianamericanalliance.com
Attn: Mitch Schneider, Executive Director

Association of Asian Construction Enterprises

333 N. Ogden Avenue
Chicago, IL 60607
Phone: (312) 563-0746
Fax: (312) 666-1785
Web: None
Attn: Perry Nakachi, President

Black Contractors United

400 W. 76th Street
Suite 200
Chicago, IL 60620
Phone: (773) 483-4000
Fax: (773) 483-4150
Web: www.blackcontractorsunited.com
Attn: Florence Cox, Executive Director

Chicago Minority Business Development Council,

1 East Wacker Drive
Suite 1200
Chicago, IL 60601
Phone: (312) 755-8880
Fax: (312) 755-8890
Web: www.cmbdc.org
Attn: Tracye Smith, Executive Director

Chicago Urban League

220 S. State Street
11th Floor
Chicago, IL 60604
Phone: (312) 692-0766 Ext. 256
Fax: (312) 692-0769
Web: www.cul-chicago.org
E-Mail: jarchie@cul-chicago.org
Attn: Joan Archie, Director of
Employment, Counseling & Training

Cosmopolitan Chamber of Commerce

560 West Lake St., Suite 5th Floor
Chicago, IL 60661
Phone: (312) 786-0212
Fax: (312) 234-9807
Web: www.cchamber.org
Attn: Gloria Bell, Executive Director

Federation of Women Contractors

5650 S. Archer Avenue
Chicago, IL 60638
Phone: (312) 360-1122
Fax: (312) 360-0239
Web: www.fwcchicago.com/
Attn: Beth Doria, Executive Director

Hispanic American Contractors Industry Association (HACIA)

901 West Jackson Boulevard
Suite 205
Chicago, IL 60607
Phone: (312) 666-5910
Fax: (312) 666-5692
Web: www.haciaworks.org
E-Mail: mailto:csatoy@haciaworks.org
Attn: Cesar A. Santoy, Executive Director

Latin American Chamber of Commerce

3512 West Fullerton Avenue
Chicago, IL 60647
Phone: (773) 252-5211
Fax: (773) 252-7065
Web: www.latinamericanchamberofcommerce.com
E-Mail: lacc@latinamericanchamberofcommerce
Attn: Anthony Guillen, Director

**Illinois Hispanic Chamber of Commerce (Formerly
MACC)**

33 N. Lasalle Street
Suite 1720
Chicago, IL 60602
Phone: (312) 372-3010
Fax: (312) 372-3403
Web: www.maccbusiness.com
Attn: Juan Ochoa, President & CEO

**National Association of Women Business Owners
Chicago Chapter**

330 S. Wells Street
Suite 1110
Chicago, IL 60606
Phone: (312) 322-0990
Fax: (312) 461-0238
Web: www.nawbochicago.org
E-Mail: info@nawbochicago.com
Attn: Clair Gregoire, President

Rainbow/PUSH Coalition

930 E. 50th Street
Chicago, IL 60615
Phone: (773) 256-2728
Fax: (773) 256-2751
Web: www.rainbowpush.org
Attn: Donna Gaines, Deputy Director Trade Bureau

Suburban Black Contractors

848 Dodge Avenue
Suite 347
Evanston, IL 60202
Phone: (847) 359-5356
Fax: (847) 359-5367
Web: None
Attn: Larry Bullock, President

rev. 3/17/05

Successful Independent Network Association (SIN)

Street Address: 2100 W. Washington
Chicago, IL 60612
Phone: (312) 850-1665
Fax: (312) 850-1665
Web: None
Mailing Address: P.O. Box 1113
Chicago, IL 60608
Attn: Diane Jones, President
Attn: Arnette King, General Manager

Triton College

Small Business Development Center

2000 Fifth Avenue
Room R-201
River Grove, IL 60171
Phone: (708) 456-0300 Ext. 3714
Fax: (708) 583-3114
Web: www.triton.edu
E-Mail: gbarnes@triton.edu
Attn: Mary Ann Olson, Dean of Workforce
Development

Uptown Center Hull House

4520 N. Beacon Street
Chicago, IL 60640
Phone: (773) 561-3500
Fax: (773) 561-3507
Web: www.hullhouse.org/edu.htm
E-Mail: mailto:croeschley@hullhouse.org
Attn: Curt Roeschley, Director
Small Business Development

Women's Business Development Center

8 South Michigan Avenue
Suite 400
Chicago, IL 60603
Phone: (312) 853-3477
Fax: (312) 853-0145
Web: www.wbdc.org
E-Mail: mailto:hrtatner@wbdc.org
Attn: Hedy Ratner, Executive Director

**The Chicago Area Gay & Lesbian Chamber of
Commerce**

1210 W. Rosedale
Chicago, IL 60660
Phone: (773) 303-0167
Fax: (773) 303-0168
Web: <http://www.glchamber.org/>
Barry A. Flynn, Executive Director

ATTACHMENT B
(On Bidder/proposer's Letterhead)

RETURN RECEIPT REQUESTED

(Date)

Re: Specification _____
Description: _____

(Assist Agency Name and Address)

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 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

_____ at _____
Name of Company Representative
Address/phone

within (10) ten working days of receipt of this letter.

Under the City of Chicago's MBE/WBE/DBE Ordinance, your agency is entitled to comment on this waiver request to the City of Chicago. Written comments may be directed within fifteen (15) working days of your receipt of this letter to:

Monica Cardenas, Deputy Procurement Officer
Department of Procurement Services
City of Chicago
121 North La Salle Street, Room 403
Chicago, IL 60602

If you wish to discuss this matter, please contact the undersigned at _____.

Sincerely,

SCHEDULE B: Affidavit of Joint Venture (MBE/WBE)

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 its current Letter of Certification.

All Information Requested by 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.

I. Name of joint venture: _____
Address of joint venture: _____
Phone number of joint venture: _____

II. Identify each non-MBE/WBE venturer(s):
Name of Firm: _____
Address: _____
Phone: _____
Contact person for matters concerning MBE/WBE compliance: _____

III. Identify each MBE/WBE venturer(s):
Name of Firm: _____
Address: _____
Phone: _____
Contact person for matters concerning MBE/WBE compliance: _____

IV. Describe the role(s) of the MBE and/or WBE venturer(s) in the joint venture: _____

V. 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/WBE's 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.

VI. 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):

1. Profit and loss sharing: _____
2. Capital contributions:
 - (a) Dollar amounts of initial contribution: _____

 - (b) Dollar amounts of anticipated ongoing contributions: _____

Schedule B: Affidavit of Joint Venture (MBE/WBE)

- 3. Contributions of equipment (specify types, quality and quantities of equipment to be provided by each venturer): _____

- 4. Other applicable ownership interests, including ownership options or other agreements which restrict or limit ownership and/or control: _____

- 5. Provide copies of all written agreements between venturers concerning this project.
- 6. 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:

VII. 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:

Schedule B: Affidavit of Joint Venture (MBE/WBE)

F. Negotiating and signing labor agreements:

G. Management of contract performance (identify by name and firm only):

- 1. Supervision of field operations: _____
- 2. Major purchases: _____
- 3. Estimating: _____
- 4. Engineering: _____

VIII. 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?

IX. State the approximate number of operative personnel (by trade) needed to perform the joint venture's work under this contract. Indicate whether they will be employees of the non-MBE/WBE firm, the MBE/WBE firm, or the joint venture.

Schedule B: Affidavit of Joint Venture (MBE/WBE)

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 venture’s 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.

Signature of Notary Public

My Commission Expires: _____

(SEAL)

SCHEDULE C-1
Letter of Intent from MBE/WBE to Perform
as Subcontractor, Supplier and/or Consultant

Name of Project/Contract: _____
Specification Number: _____

From: _____
(Name of MBE/WBE Firm)

MBE: Yes _____ No _____
WBE: Yes _____ No _____

To: _____ and the City of Chicago:
(Name of Prime Contractor—Bidder/Proposer)

The undersigned intends to perform work in connection with the above projects as a:

_____ Sole Proprietor _____ Corporation
_____ Partnership _____ Joint Venture

The MBE/WBE status of the undersigned is confirmed by the attached letter of Certification from the City of Chicago effective date of _____ to _____ for a period of five years.

The undersigned is prepared to provide the following described services or supply the following described goods in connection with the above named project/contract:

The above described performance is offered for the following price and described terms of payment:

If more space is needed to fully describe the MBE/WBE firm's proposed scope of work and/or payment schedule, attach additional sheets.

The undersigned will enter into a formal written agreement for the above work with you as a Prime Contractor, conditioned on your execution of a contract with the City of Chicago, and will do so within (3) three working days of receipt of a signed contract from the City of Chicago.

(Signature of Owner or Authorized Agent)

Name/Title (Print)

Date

Phone

SCHEDULE D-1

Affidavit of MBE/WBE Goal Implementation Plan

Project Name : _____

State of _____

County (City) of _____

I HEREBY DECLARE AND AFFIRM that I am 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 (Letters of Certification Attached).

- I. MBE or WBE Prime Consultant/Contractor. If prime consultant is a certified MBE or WBE firm, attach copy of City of Chicago Letter of Certification. (Certification of the prime consultant as a MBE satisfies the MBE goal only. Certification of the prime consultant as a WBE satisfies the WBE goal only.)
- II. MBEs and WBEs as Joint Venturers. If prime consultant is a joint venture and one or more joint venture partners are certified MBEs or WBEs, attach copies of Letters of Certification and a copy of Joint Venture Agreement clearly describing the role of the MBE/WBE firm(s) and its ownership interest in the joint venture.
- III. MBE/WBE Subconsultants. Complete for each MBE/WBE subconsultant/subcontractor/supplier.

- 1. Name of MBE/WBE: _____
Address: _____
Contact Person: _____ Phone: _____
Dollar Amount of Participation: \$ _____
Percent Amount of Participation: _____%
- 2. Name of MBE/WBE: _____
Address: _____
Contact Person: _____ Phone: _____
Dollar Amount of Participation: \$ _____
Percent Amount of Participation: _____%
- 3. Name of MBE/WBE: _____
Address: _____
Contact Person: _____ Phone: _____

Dollar Amount of Participation: \$ _____

Percent Amount of Participation: _____%

4. Name of MBE/WBE: _____

Address: _____

Contact Person: _____ Phone: _____

Dollar Amount of Participation: \$ _____

Percent Amount of Participation: _____%

5. Name of MBE/WBE: _____

Address: _____

Contact Person: _____ Phone: _____

Dollar Amount of Participation: \$ _____

Percent Amount of Participation: _____%

6. Name of MBE/WBE: _____

Address: _____

Contact Person: _____ Phone: _____

Dollar Amount of Participation: \$ _____

Percent Amount of Participation: _____%

7. Name of MBE/WBE: _____

Address: _____

Contact Person: _____ Phone: _____

Dollar Amount of Participation: \$ _____

Percent Amount of Participation: _____%

8. Attach additional sheets as needed.

IV. Summary of MBE Proposal:

MBE Firm Name	Dollar Amount of Participation	Percent Amount of Participation
_____	\$ _____	_____ %
_____	\$ _____	_____ %
_____	\$ _____	_____ %
_____	\$ _____	_____ %
_____	\$ _____	_____ %
Total MBE Participation:	\$ _____	_____ %

V. Summary of WBE Proposal:

WBE Firm Name	Dollar Amount of Participation	Percent Amount of Participation
_____	\$ _____	_____ %
_____	\$ _____	_____ %
_____	\$ _____	_____ %
_____	\$ _____	_____ %
_____	\$ _____	_____ %
Total WBE Participation:	\$ _____	_____ %

To the best of my knowledge, information and belief, the facts and representations contained in this Schedule are true, and no material facts have been omitted.

The contractor designates the following person as its MBE/WBE Liaison Officer:

Name _____ Phone Number: _____

I do solemnly declare and affirm under penalties of perjury that the contents of the foregoing document are true and correct, and that I am authorized, on behalf of the contractor, to make this affidavit.

Signature of Affiant (Date)

State of _____
County of _____

This instrument was acknowledged before me on _____ (date)
by _____ (name/s of person/s)
as _____ (type of authority, e.g., officer, trustee, etc.)
of _____ (name of party on behalf of whom instrument
was executed).

(Seal)

Signature of Notary Public

MBE/WBE UTILIZATION REPORT

Utilization Report No. _____ Specification No. _____

Contract No. _____

Project Name: _____

STATE OF: _____)

COUNTY (CITY) OF: _____)

In connection with the above-captioned contract:

I HEREBY DECLARE AND AFFIRM that I am the _____
(Title—Print or Type)

and duly authorized representative of _____
(Name of Prime Consultant/Contractor—Print or Type)

_____ (Address of Prime Consultant/Contractor) (_____) (Phone)

and that the following Minority and Women Business Enterprises have been contracted with, and have furnished, or are furnishing and preparing materials for, and rendering services stated in the contract agreement.

The following Schedule accurately reflects the value of each MBE/WBE sub-agreement and the amounts of money paid to each to date.

MBE/WBE FIRM NAME	GOODS/SERVICES PROVIDED	AMOUNT OF CONTRACT	AMOUNT PAID TO-DATE
_____	_____	\$ _____	\$ _____
_____	_____	\$ _____	\$ _____
_____	_____	\$ _____	\$ _____
_____	_____	\$ _____	\$ _____
_____	_____	\$ _____	\$ _____
_____	_____	\$ _____	\$ _____
_____	_____	\$ _____	\$ _____
_____	_____	\$ _____	\$ _____

Total MBE: \$ _____

Total WBE: \$ _____

MBE/WBE UTILIZATION REPORT

I do solemnly declare and affirm under the penalties of perjury that the contents of the foregoing document are true and correct, and that I am authorized, on behalf of the contractor, to make this affidavit.

Name of Contractor: _____
(Print or Type)

Signature: _____
(Signature of affiant)

Name of Affiant: _____
(Print or Type)

Date: _____
(Print or Type)

State of _____

County (City) of _____

This instrument was acknowledged before me on _____ (date)

by _____ (name/s of person/s)

as _____ (type of authority, e.g., officer, trustee, etc.)

of _____ (name of party on behalf of whom instrument was executed).

Signature of Notary Public

(Seal)

EXHIBIT 5 - ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT AND AFFIDAVIT

SECTION I—GENERAL INFORMATION

A. Legal name of Disclosing Party submitting this EDS. Include d/b/a/ if applicable:

Check ONE of the following three boxes:

Indicate whether Disclosing Party submitting this EDS is:

1. the Applicant

OR

2. a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which Disclosing Party holds an interest: _____

OR

3. a specified legal entity with a right of control (see Section II.B.1.b.). State the legal name of the entity in which Disclosing Party holds a right of control: _____

B. Business Address of Disclosing Party: _____

C. Telephone: _____ Fax: _____ E-Mail: _____

D. Name of Contact Person: _____

E. Federal Employer Identification No. (if you have one): _____

F. Brief description of contract, transaction or other undertaking (referred to below as the “Matter”) to which this EDS pertains (include project number and location of property, if applicable):

G. Which City agency or department is requesting this EDS? _____

If the Matter is a contract being handled by the City’s Department of Procurement Services, please complete the following:

Specification # _____ and Contract # _____

SECTION II—DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:
- | | |
|---|--|
| <input type="checkbox"/> Person | <input type="checkbox"/> Limited liability company* |
| <input type="checkbox"/> Publicly registered business corporation | <input type="checkbox"/> Limited liability partnership* |
| <input type="checkbox"/> Privately held business corporation | <input type="checkbox"/> Joint venture* |
| <input type="checkbox"/> Sole proprietorship | <input type="checkbox"/> Not-for-profit corporation |
| <input type="checkbox"/> General partnership* | (Is the not-for-profit corporation also a 501(c)(3))? |
| <input type="checkbox"/> Limited partnership* | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| <input type="checkbox"/> Trust | <input type="checkbox"/> Other (please specify) |
-

* Note B.1.b below.

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable:
-

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

Yes No N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1.a. List below the full names and titles of all executive officers and all directors of the entity. For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

Name	Title
_____	_____
_____	_____
_____	_____
_____	_____

1.b. If you checked "General partnership," "Limited partnership," "Limited liability company," "Limited liability partnership" or "Joint venture" in response to Item A.1. above (Nature of Disclosing Party), list below the name and title of each general partner, managing member, manager or any other person or entity that

controls the day-to-day management of the Disclosing Party. NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name	Title
_____	_____
_____	_____
_____	_____
_____	_____

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None."

NOTE: Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name	Business Address	Percentage Interest in the Disclosing Party
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

SECTION III—BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing Party had a "business relationship," as defined in Chapter 2-156 of the Municipal Code, with any City elected official in the 12 months before the date this EDS is signed?

Yes No

If yes, please identify below the name(s) of such City elected official(s) and describe such relationship(s):

SECTION IV—DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in

connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

“Lobbyist” means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. “Lobbyist” also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated)
<hr/>			
<hr/>			
<hr/>			
<hr/>			

(Add sheets if necessary)

Check here if the Disclosing Party has not retained, nor expects to retain, any such persons or entities.

SECTION V—CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the term of the contract.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

Yes No No person owns 10% or more of the Disclosing Party.

If “Yes,” has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

Yes No

B. FURTHER CERTIFICATIONS

1. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:

- a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
- c. are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in clause B.1.b. of this Section V;
- d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
- e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

2. The certifications in subparts 2, 3 and 4 concern:

- the Disclosing Party;
- any “Applicable Party” (meaning any party participating in the performance of the Matter, including but not limited to any persons or legal entities disclosed under Section IV, “Disclosure of Subcontractors and Other Retained Parties”);
- any “Affiliated Entity” (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Applicable Parties, the term Affiliated Entity means a person or entity that directly or indirectly controls the Applicable Party, is controlled by it, or, with the Applicable Party, is under common control of another person or entity;

- any responsible official of the Disclosing Party, any Applicable Party or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Applicable Party or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Applicable Party or any Affiliated Entity (collectively “Agents”).

Neither the Disclosing Party, nor any Applicable Party, nor any Affiliated Entity of either the Disclosing Party or any Applicable Party nor any Agents have, during the five years before the date this EDS is signed, or, with respect to an Applicable Party, an Affiliated Entity, or an Affiliated Entity of an Applicable Party during the five years before the date of such Applicable Party's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
- b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
- c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
- d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).

3. Neither the Disclosing Party, Affiliated Entity or Applicable Party, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.

4. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.

5. The Disclosing Party understands and shall comply with (1) the applicable requirements of the Governmental Ethics Ordinance of the City, Title 2, Chapter 2-156 of the Municipal Code; and (2) all the applicable provisions of Chapter 2-56 of the Municipal Code (Office of the Inspector General).

6. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

If the letters “NA,” the word “None,” or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

For purposes of this Part C, under Municipal Code Section 2-32-455(b), the term “financial institution” means a bank, savings and loan association, thrift, credit union, mortgage banker, mortgage broker, trust company, savings bank, investment bank, securities broker, municipal securities broker, securities dealer, municipal securities dealer, securities underwriter, municipal securities underwriter, investment trust, venture capital company, bank holding company, financial services holding company, or any licensee under the Consumer Installment Loan Act, the Sales Finance Agency Act, or the Residential Mortgage Licensing Act. However, “financial institution” specifically shall not include any entity whose predominant business is the providing of tax deferred, defined contribution, pension plans to public employees in accordance with Sections 403(b) and 457 of the Internal Revenue Code. (Additional definitions may be found in Municipal Code Section 2-32-455(b).)

1. CERTIFICATION

The Disclosing Party certifies that the Disclosing Party (check one)

is is not

a “financial institution” as defined in Section 2-32-455(b) of the Municipal Code.

2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

“We are not and will not become a predatory lender as defined in Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City.”

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section

2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: Does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

Yes No

NOTE: If you checked "Yes" to Item D.1., proceed to Items D.2. and D.3. If you checked "No" to Item D.1., proceed to Part E.

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

Yes No

3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name	Business Address	Nature of Interest
_____	_____	_____
_____	_____	_____
_____	_____	_____

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

The Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities for records of investments or profits from slavery, the slave industry, or slaveholder insurance policies from the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves) and has disclosed in this EDS any and all such records to the City. In addition, the Disclosing Party must disclose the names of any and all slaves or slaveholders described in those records. Failure to comply with these disclosure requirements may make the Matter to which this EDS pertains voidable by the City.

Please check either 1. or 2. below. If the Disclosing Party checks 2., the Disclosing Party must disclose below or in an attachment to this EDS all requisite information as set forth in that paragraph 2.

___1. The Disclosing Party verifies that (a) the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities for records of investments or profits from slavery, the slave industry, or slaveholder insurance policies, and (b) the Disclosing Party has found no records of investments or profits from slavery, the slave industry, or slaveholder insurance policies and no records of names of any slaves or slaveholders.

___2. The Disclosing Party verifies that, as a result of conducting the search in step 1(a) above, the Disclosing Party has found records relating to investments or profits from slavery, the slave industry, or slaveholder insurance policies and/or the names of any slaves or slaveholders. The Disclosing Party verifies that the following constitutes full disclosure of all such records:

SECTION VI—CERTIFICATIONS FOR FEDERALLY-FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII.

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Begin list here, add sheets as necessary):

(If no explanation appears or begins on the lines above, or if the letters “NA” or if the word “None” appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995 have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.

3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

If the Matter is federally funded and any funds other than federally appropriated funds have been or will be paid to any person or entity for influencing or attempting to influence an officer or employee of any agency (as defined by applicable federal law), a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the Matter, the Disclosing Party must complete and submit Standard Form-LLL, “Disclosure Form to Report Lobbying,” in accordance with its instructions. The form may be obtained online from the federal Office of Management and Budget (OMB) Web site at <http://www.whitehouse.gov/omb/grants/sfillin.pdf>, linked on the page http://www.whitehouse.gov/omb/grants/grants_forms.html.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in “Lobbying Activities.”

5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A.1. through A.4. above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors’ certifications for the duration of the Matter and must make such certifications promptly available to the City on request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the Applicant?

Yes

No

If “Yes,” answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

Yes

No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

Yes

No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

Yes

No

If you checked “No” to question 1. or 2. above, please provide an explanation:

SECTION VII—ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The Disclosing Party understands and agrees that:

A. By completing and filing this EDS, the Disclosing Party acknowledges and agrees, on behalf of itself and the persons or entities named in this EDS, which the City may investigate the creditworthiness of some or all of the persons or entities named in this EDS.

B. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.

C. The City’s Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available online at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

D. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded, void or voidable), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.

E. It is the City's policy to make this document available to the public on its Internet site and/or on request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.

F. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires.

The Disclosing Party represents and warrants that:

G. The Disclosing Party has not withheld or reserved any disclosures as to economic interests in the Disclosing Party, or as to the Matter, or any information, data or plan as to the intended use or purpose for which the Applicant seeks City Council or other City agency action.

For purposes of the certifications in H.1. and H.2. below, the term "affiliate" means any person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members; shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with the federal government or a state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity.

H.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor is the Disclosing Party or its affiliates delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.

H.2 If the Disclosing Party is the Applicant, the Disclosing Party and its affiliates will not use, nor permit their subcontractors to use, any facility on the U.S. EPA's List of Violating Facilities in connection with the Matter for the duration of time that such facility remains on the list.

H.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in H.1. and H.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any of the items in H.1., H.2. or H.3. above, an explanatory statement must be attached to this EDS.

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS are true, accurate and complete as of the date furnished to the City.

_____ Date: _____
(Print or type name of Disclosing Party)

By:

(sign here)

(Print or type name of person signing)

(Print or type title of person signing)

Signed and sworn to before me on (date) _____, by _____, at _____

_____ County, _____ (state).

_____ Notary Public.

Commission expires: _____.

EXHIBIT 6 - INSURANCE REQUIREMENTS AND INSURANCE CERTIFICATE

**PROFESSIONAL SERVICES INSURANCE REQUIREMENTS
IRIS, ARMS AND CASHIERING
APPLICATION AND PRODUCTION SUPPORT
AND
TAX AND LICENSE CUSTOMER SERVICE CENTER SUPPORT**

Respondent must provide and maintain at Respondent's own expense, during the term of the Agreement and time period following expiration if Respondent is required to return and perform any of the Services or Additional Services under this Agreement, the insurance coverage and requirements specified below, insuring all operations related to the Agreement.

A. INSURANCE TO BE PROVIDED

1) Workers Compensation and Employers Liability

Workers Compensation Insurance, as prescribed by applicable law, covering all employees who are to provide a service under this Agreement and Employers Liability coverage with limits of not less than \$500,000 each accident, illness or disease.

2) Commercial General Liability (Primary and Umbrella)

Commercial General Liability Insurance or equivalent with limits of not less than \$2,000,000 per occurrence for bodily injury, personal injury and property damage liability. Coverage must include the following: all premises and operations, products/completed operations, separation of insures, defense and contractual liability (with no limitation endorsement). The City of Chicago is to be named as an additional insured on a primary, non-contributory basis for any liability arising directly or indirectly from the Services.

Subcontractors performing Services for Respondent must maintain limits of not less than \$1,000,000 with the same terms herein.

3) Automobile Liability (Primary and Umbrella)

When any motor vehicles (owned, non-owned and hired) are used in connection with Services to be performed, Respondent must provide Automobile Liability Insurance with limits of not less than \$2,000,000 per occurrence for bodily injury and property damage. The City of Chicago is to be named as an additional insured on a primary, non-contributory basis.

Subcontractors performing Services for Respondent must maintain limits of not less than \$1,000,000 with the same terms herein.

4) Error and Omissions/Professional Liability

When any system technicians, cyber engineers, project managers or EDP professionals including but not limited to system programmers, hardware and software designers/consultants or any other professional consultants perform Services in connection with this Agreement, Professional Liability Insurance covering acts, errors or omissions must be maintained with limits of not less than \$2,000,000. Coverage must include but not limited to contractual liability for liability of others including the City of Chicago assumed under any written contract or agreement for breach of professional services or duty caused by or on behalf of the Respondent, 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 Services on the Agreement. A claims-made policy which is not renewed or replaced must have an extended reporting period of two (2) years.

Subcontractors performing Services for Respondent must maintain limits of not less than \$1,000,000 with the same terms herein.

5) Valuable Papers

When any plans, designs, drawings, specifications, media, data, reports, records and other documents are produced or used under this Agreement, Valuable Papers Insurance must be maintained in an amount to insure against any loss whatsoever and must have limits sufficient to pay for the re-creation and reconstruction of such records.

6) Property

Respondent is responsible for all loss or damage to City property at full replacement cost including the Department of Innovation and Technology and various City departments' equipment or loss to any other City property as a result of the Agreement.

Respondent is responsible for all loss or damage to personal property (including but not limited to materials, equipments, tools and supplies), owned, used, leased or rented by Respondent.

B. ADDITIONAL REQUIREMENTS

Respondent must furnish the City of Chicago, Department of Procurement Services, City Hall, Room 403, 121 North La Salle Street, Chicago, IL 60602, original Certificates of Insurance, or such similar evidence, to be in force on the date of this Agreement, and Renewal Certificates of Insurance, or such similar evidence, if the coverages have an expiration or renewal date occurring during the term of this Agreement. Respondent must submit evidence of insurance on the City of Chicago Insurance Certificate Form (copy attached as Exhibit-) or equivalent prior to Agreement award. 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 Agreement requirements. The failure of the City to obtain certificates or other insurance evidence from Respondent is not a waiver by the City of any requirements for the Respondent to obtain and maintain the specified coverages. Respondent must advise all insurers of the Agreement provisions regarding insurance. Non-conforming insurance does not relieve Respondent of the obligation to provide insurance as specified in this Agreement. Non-fulfillment 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.

The insurance must provide for 60 days prior written notice to be given to the City in the event coverage is substantially changed, canceled or non-renewed.

Any deductibles or self-insured retentions on referenced insurance coverage must be borne by Respondent.

Respondent hereby waives and agrees to require its insurers to waive their rights of subrogation against the City of Chicago, its employees, elected officials, agents or representatives.

The coverage and limits furnished by Respondent in no way limit Respondent's liabilities and responsibilities specified within the Agreement or by law.

Any insurance or self-insurance programs maintained by the City of Chicago do not contribute with insurance provided by Respondent under this Agreement.

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.

Respondent must require all Subcontractors to provide the insurance required in this Agreement, or Respondent may provide the coverage for Subcontractors. All Subcontractors are subject to the same insurance requirements of Respondent unless otherwise specified in this Agreement.

If Respondent or Subcontractors desire additional coverage, the party desiring the additional coverage is responsible for the acquisition and cost.

The City of Chicago Risk Management Department maintains the right to modify, delete, alter or change these requirements.

INSURANCE CERTIFICATE OF COVERAGE

Name Insured: _____ Specification #: _____
 Address (Street): _____ RFP: _____
 (City/State/ZIP) _____ Project #: _____
 Contract #: _____

Description of Operation/Location: _____

The insurance policies and endorsements indicated below have been issued to the designated named insured with the policy limits as set forth herein covering the operation described within the contract involving the named insured and the City of Chicago. The Certificate issuer agrees that in the event of cancellation, non-renewal or material change involving the indicated policies, the issuer will provide at least sixty (60) days prior written notice of such change to the City of Chicago at the address shown on this Certificate. This certificate is issued to the City of Chicago in consideration of the contract entered into with the named insured, and it is mutually understood that the City of Chicago relies on this certificate as a basis for continuing such agreement with the named insured:

Type of Insurance	Insurer Name	Policy Number	Expiration Date	Limits of Liability All Limits in Thousands	
General Liability					
Claims made [] Occurrence				CSL Per Occurrence	\$ _____
Premise-Operations				General Aggregate	\$ _____
Explosion/Collapse Underground				Products/Completed Operations Aggregate	\$ _____
Products/Completed—Operations					
Blanket Contractual					
Broad Form Property Damage					
Independent Contractors					
Personal Injury					
Pollution					
Automobile Liability					
Excess Liability				CSL per Occurrence	\$ _____
Umbrella Liability				Each Occurrence	\$ _____
Worker's Compensation and Employer's Liability					
				Statutory/Illinois Employers Liability	\$ _____
Builders Risk/Course of Construction					
Professional Liability				Amount of Contract	\$ _____
Owner Contractors Protective					\$ _____
Other					\$ _____

- Each Insurance policy required by this agreement, excepting policies for worker's compensation and professional liability, will read: "The City of Chicago is an additional insured as respects operations and activities of, or on behalf of the named insured, performed under contract with or permit from the City of Chicago."
- The General, Automobile and Excess/Umbrella Liability Policies described provide for severability of Interest (cross liability) applicable to the named insured and the City.
- Workers Compensation and Property Insurers shall waive all rights of subrogation against the City of Chicago.
- The receipt of this certificate by the City does not constitute agreement by the City that the insurance requirements in the contract have been fully met, or that the insurance policies indicated by this certificate are in compliance with all contract requirements.

Name and Address of Certificate Holder and Recipient of Notice	
Certificate Holder/Additional Insured	Signature of Authorized Rep. _____
City of Chicago	Agency/Company: _____
Procurement Department	Address _____
121 N. LaSalle St., #403	Telephone _____
Chicago, IL 60602	

For City use only

Name of City Department requesting certificate: (Using Dept.) _____
 Address: _____ ZIP Code: _____ Attention: _____

EXHIBIT 7 - BULK MAILING ESTIMATED VOLUMES

Department	Mailing Type	Components	Frequency	Volume per Mailing
DBA	Account Hold Notice	Hold Notification	Weekly	500
DBA	License Renewals	License Renewal Notice and Application	Monthly	8000
DBA		Payment Coupon	Monthly	8000
DBA		Miscellaneous Inserts	Monthly	8000
DBA	License Renewal Late Notice	Renewal Late Notice	Monthly	3500
DBA		Payment Coupon	Monthly	3500
DBA	License Renewal Late Notice Due to HOLDS	Renewal Late Notice	Monthly	1000
DBA		Hold Notification	Monthly	1000
DBA		Payment Coupon	Monthly	1000
DBA	Public Permit Annual Bill	Public Permit Billing Notice	Monthly	350
DBA		Payment Coupon	Monthly	350
DBA	Public Right of Way Permit Renewal	Renewal Notice	Monthly	100
DBA		Public Way Permit Application	Monthly	100
DOR	Annual Tax Return Mailing	Tax Return	Annually	16000
DOR		Cover Letter	Annually	16000
DOR		Payment Coupon	Annually	16000
DOR		Site Schedule (Partial)	Annually	400
DOR		Annualization Schedule	Annually	16000
DOR		Instruction Sheet	Annually	16000
DOR		Miscellaneous Inserts	Annually	16000
DOR	Annual Tax Return Mailing for Web Filers	Cover Letter	Annually	2000
DOR	Taxi Medallion Payment Coupons	Payment Coupon	Annually	4000
DOR	Tax Notice of Tentative Decision (NTD)	NTD Notice	Quarterly	2000
DOR		Statement of Rights	Quarterly	2000
DOR	Tax Notice of Overpayment (OP)	Overpayment Notice	Quarterly	1000
DOR	Tax Notice of Refund (NR)	Refund Notice	Quarterly	300
DOR	7505 Tax Return Mailing for Web Filers	Cover Letter	Annually	400
DOR	2221 and 2222 Tax Return Mailing	Tax Return	Annually	400
DOR		Cover Letter	Annually	400
DOR		Instruction Sheet	Annually	400
DOR		Miscellaneous Inserts	Annually	400

Department	Mailing Type	Components	Frequency	Volume per Mailing
DOR		Payment Coupon	Annually	400
DOR	Tax Deficiency Notice (DF)	Notice of Tax Deficiency	Quarterly	3500
DOR		Payment Coupon	Quarterly	100
DOR	Tax Delinquency Notice (DL)	Notice of Tax Delinquency	Quarterly	8400
DOR		Tax Return	Quarterly	8400
DOR		Payment Coupon	Quarterly	8400
DOR	False Burglar Alarm Violation Notice	Violation Notice	Weekly	1400
DOR		Payment Coupon	Weekly	1400
DOR	FBA Annual Bill	FBA Billing Notice	Monthly	500
DOR		Payment Coupon	Monthly	500
DCS	Taxi Medallion Renewal Packet	Taxi Medallion Renewal Notice	Annually	4000
DCS		Hold Notification	Annually	4000
DCS		Inspection Schedule	Annually	4000
DCS		Payment Coupon	Annually	4000

EXHIBIT 8 – PRELIMINARY STAFFING PROPOSAL

A. Quality of Candidates

Respondent is to demonstrate his ability to staff this project with consultants with appropriate technical, business process and communications expertise.

Provide information in full detail on your company's ability to support the qualifications in **Section 5. PROJECT STAFFING AND STAFFING QUALIFICATIONS** of this RFP.

B. Staffing – Team Structure and Numbers

As part of the formal response, the Respondent is to recommend a Team Structure to support all Business Services as defined in **Section 0. 3. SCOPE OF SERVICES** at the Service Requirement Standards defined in **Section 0. 4. SERVICE REQUIREMENTS**. The City is open to a mixture of on-site and off-site support. However, the Respondent is to assume on-site staffing for all consultants providing direct application development, maintenance, and production support due to the nature and complexity of the applications. Provide in complete detail how on-site and off-site staffing will be accomplished.

C. Team Management

As part of the response to this RFP, the Respondent is to include the practices and processes for the overall management of the team assigned to this assignment. Minimally, these practices and processes must include:

1. **On Boarding** – Describe in full detail, method and practices for on boarding new consultants onto the City account. Include method of knowledge transfer to all new consultants; evidence of the review process for new consultants' knowledge of the City applications and processes.
2. **Knowledge Retention** – Describe in full detail, method and practices for ensuring that overall City expertise (process, functional, application and technical) is retained within the overall team and expertise of Respondent. Provide how required documentation of maintaining knowledge for retention will be supported
3. **Staff Retention Plans** - The Respondent is to provide evidence of a documented practice and plan for attracting and retaining staff assigned to the City account. These plans may be part of the overall Respondent company practice or developed specifically for the City. The Respondent is to provide evidence that use of these plans has been successful in retaining staff for other similar consulting assignments.
4. **Staff Exit Strategies** - The City acknowledges that, as part of normal promotion and staff development, staff assigned to the City account may be replaced as part of Respondent's staffing plans. Your company's response to this RFP is to include the strategies for staff exit and knowledge transition as part of the overall transition. The Respondent is to assume all costs associated with the transition.

D. Communications for Support Categories

As part of the response to this RFP, Respondent must propose communication strategies, planned tools, and frequencies for each Service Level Agreement (SLA) identified in **Section 0.4. SERVICE REQUIREMENTS**. The Communications shall include:

- Service Requirement
- Constituency for Communication (e.g. Users, Project Sponsors, etc.)
- Tool for Communication (e.g. email, reports, etc)
- Frequency of Communication
- Type of Communication (e.g. Planned, Emergency, On Demand, etc.)

Respondent must include in complete detail samples of similar communications for similar consulting engagements.

E. Work Estimates, Deliverables for Support Categories

As part of the response to this RFP, Respondent shall include work estimates and deliverables for each Business Services identified in **Section 0.3. SCOPE OF SERVICES** in **EXHIBIT 3 - PRELIMINARY COST PROPOSAL**. These work estimates are to be based on best practices, similar engagements as provided by the Respondent or other methodology.

EXHIBIT 9 – IRIS INTERFACES

EXHIBIT 10 – ARMS INTERFACES

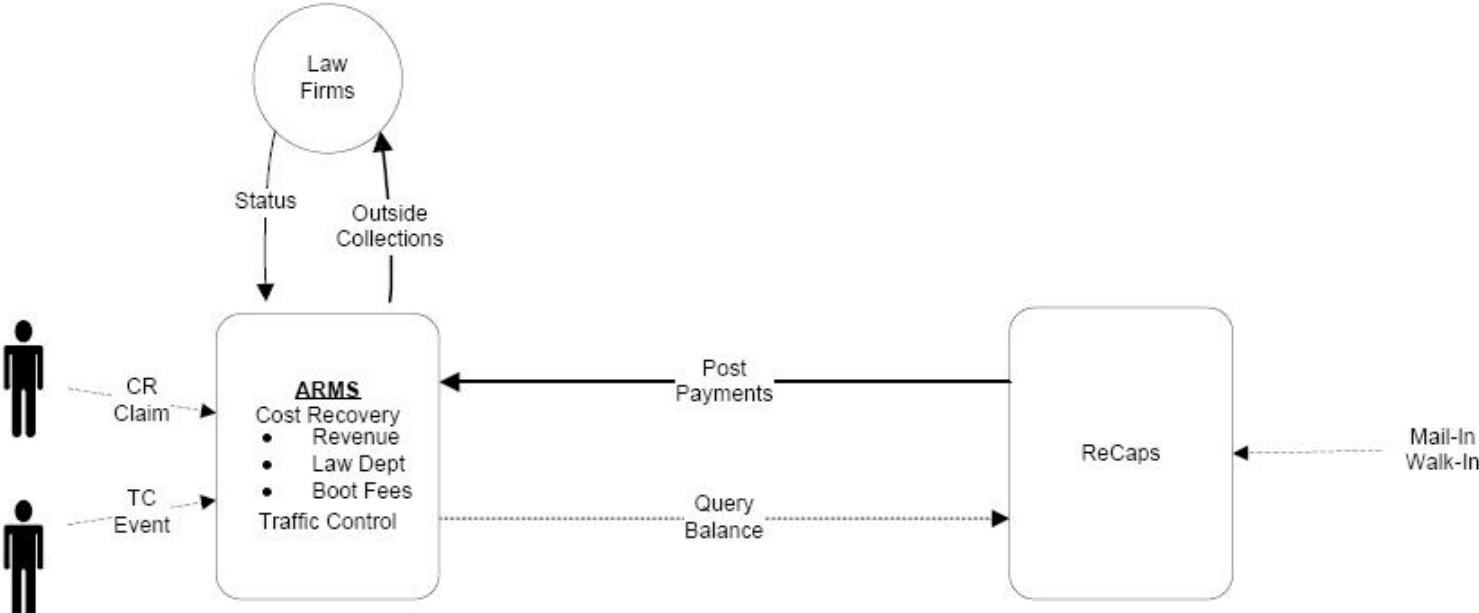


Figure 2. ARMS Interfaces

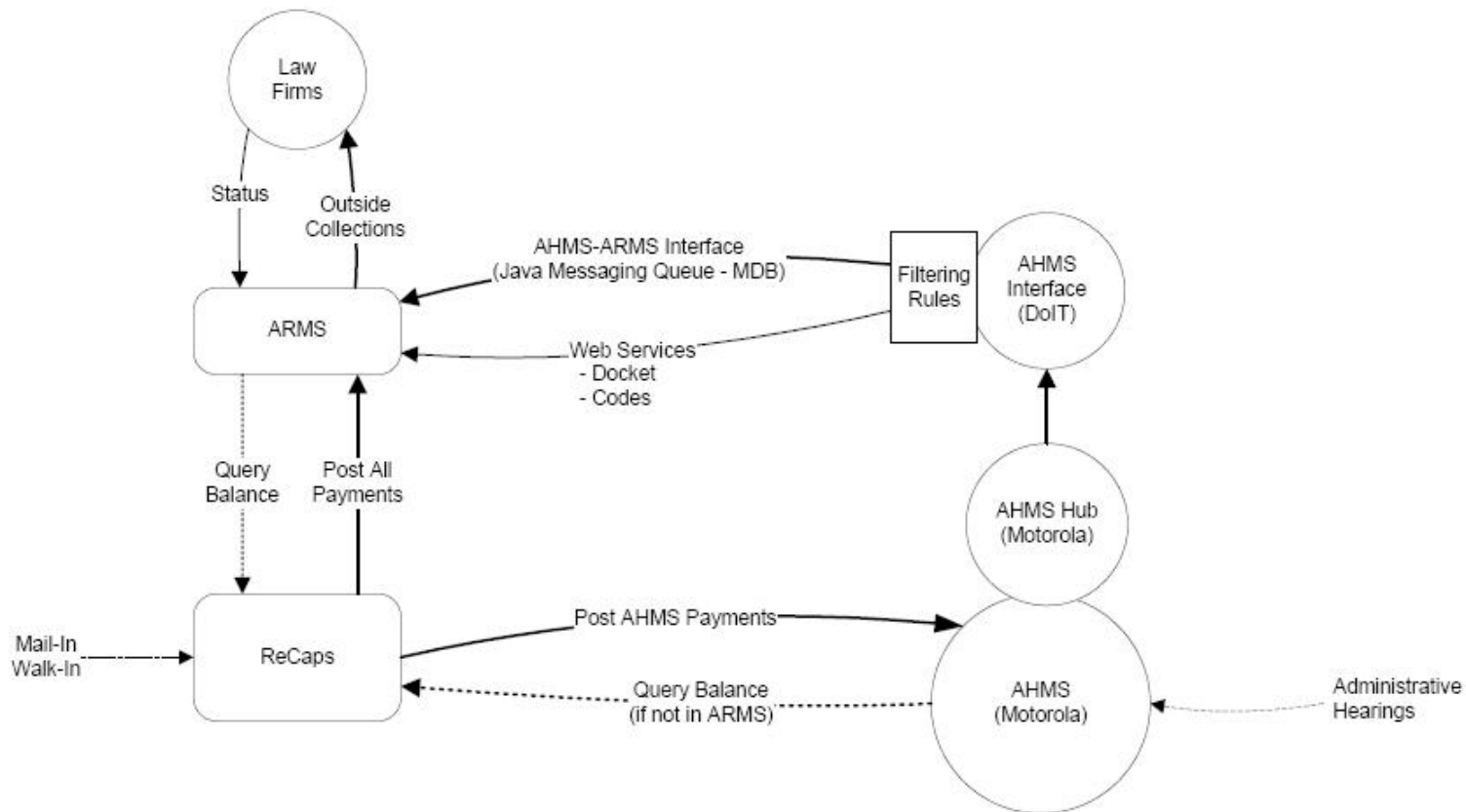


Figure 3. ARMS – Administrative Hearing System (AHMS) Interfaces

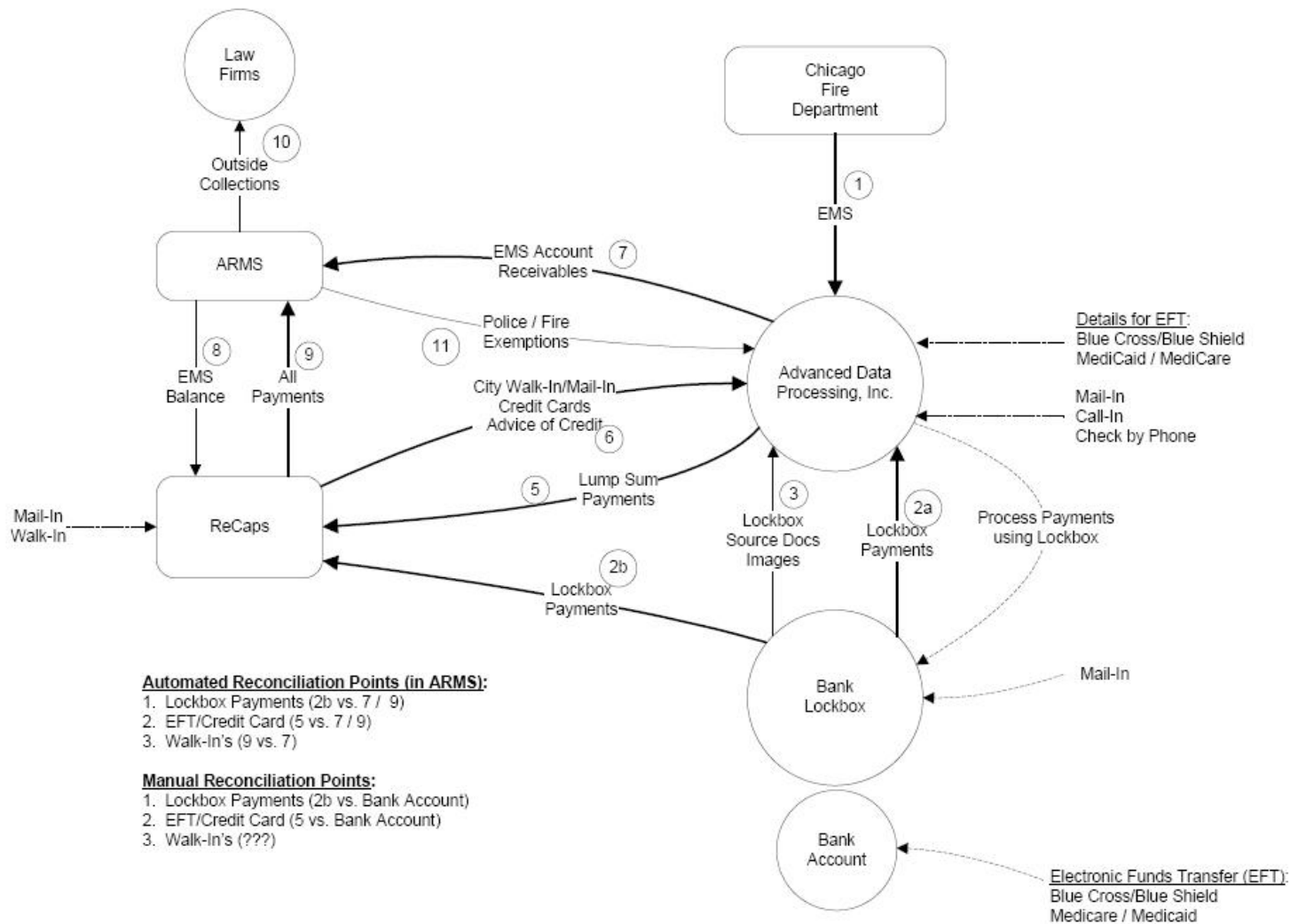


Figure 4. ARMS - EMS Interfaces

EXHIBIT 11 – City Hardware and Software Standards Overview

INTRODUCTION

This document provides a high-level list of current City standards for its hardware and software environments and is intended for City department use. This does not mean that other software and hardware, which might have been previously listed as standard, may not be used or supported, but the following items should be purchased for any new initiative or growth/replacement needs. City departments will also need to determine if the standard hardware/software item has been deployed in their department, if needed for a new initiative.

Any proposals for non-standard hardware or software purchases or questions/comments should be forwarded to the Business and Information Services (BIS) Architecture team for review.

An asterisk (*) denotes standards currently under review (in all sections in this document).

CURRENT MAINFRAME/SERVER STANDARDS – PLATFORMS AND FUNCTIONALITY

Operating System (O/S)	Hardware Platform	Functionality					
		File	Database	Application	Web	Email	Print
Novell Netware 4.2	Compaq	Bundled with O/S	n/a	n/a	n/a	Groupwise 5.5	Bundled with O/S
Solaris 8 (Unix)	Sun Microsystems	n/a	Oracle 8.1.7	*	Apache	n/a	n/a
Windows 2000 Server	Dell, Compaq	*	Oracle 8.1.7	Citrix Metaframe XPA 1.0	*	*	*
O/S 390	Hitachi (IBM compatible)	n/a	Oracle 8.1.7	n/a	n/a	n/a	n/a

CURRENT CLIENT WORKSTATION STANDARDS

Operating System (O/S)	Hardware Platform	Functionality					
		Word Proc.	Spread-sheet	Presentation	E-mail	Web Browser	Database
Windows 2000 Professional	Dell, Compaq	MS Word 2000	MS Excel 2000	MS Powerpoint 2000	Group-Wise 5.5	MS Internet Explorer 5.5	MS Access 2000

CURRENT STANDARDS – HANDHELD DEVICES

Operating System (O/S)	Personal Information Management	Custom Applications
RIM	X	
Palm	X	
Windows CE/Pocket PC	X	X

GUIDELINES FOR SELECTING HANDHELD DEVICES: Rugged devices may be required depending on the environment that the handheld will be used in. Handheld applications can be developed using one of three models: 1) run completely on the handheld (completely disconnected), 2) run on the handheld but exchange data with a backend system either wirelessly or by synchronizing (occasionally connected) or 3) run on the handheld or through a browser and require a full time connection to the backend system (fully connected). It is strongly encouraged that all developed systems use the occasionally connected model due to the limitations of wireless technology.

CURRENT STANDARDS – UTILITIES – MAINFRAME/SERVER PLATFORMS

Operating System (O/S)	Hardware Platform	Utilities						
		Back-up	Scheduling	DB Back-up	FTP	Virus Protection	Hardware Monitoring	File System Mgmt
Novell Netware 4.2	Compaq	Harbor or Veritas Backup Exec. 6.01	Bundled with O/S	Harbor 5.x	Bundled with O/S	McAfee 4.6*	Compaq Insight Mgr 7.0	Bundled with O/S
Solaris 8 (Unix)	Sun Microsystems	Legato	CA Scheduler	Legato DMO 2.1 (RMAN)	WinFTP	n/a	Sun RSM	Veritas Volume Mgr 3.2
Windows 2000 Server	Dell, Compaq	Veritas Backup Exec 8.6	Bundled with O/S	Veritas Oracle Backup Module	Bundled with O/S	*	Compaq: Insight Mgr 7.0 Dell: Open Mgr	Bundled with O/S
O/S 390	Hitachi (IBM compatible)	FDR 5.3	CA7 3.3	DFSMS v1, r. 4.0	Bundled with O/S	n/a	Bundled with O/S	DFSMS v1, r. 4.0

CURRENT STANDARDS - CLIENT WORKSTATION UTILITIES/CLIENTS

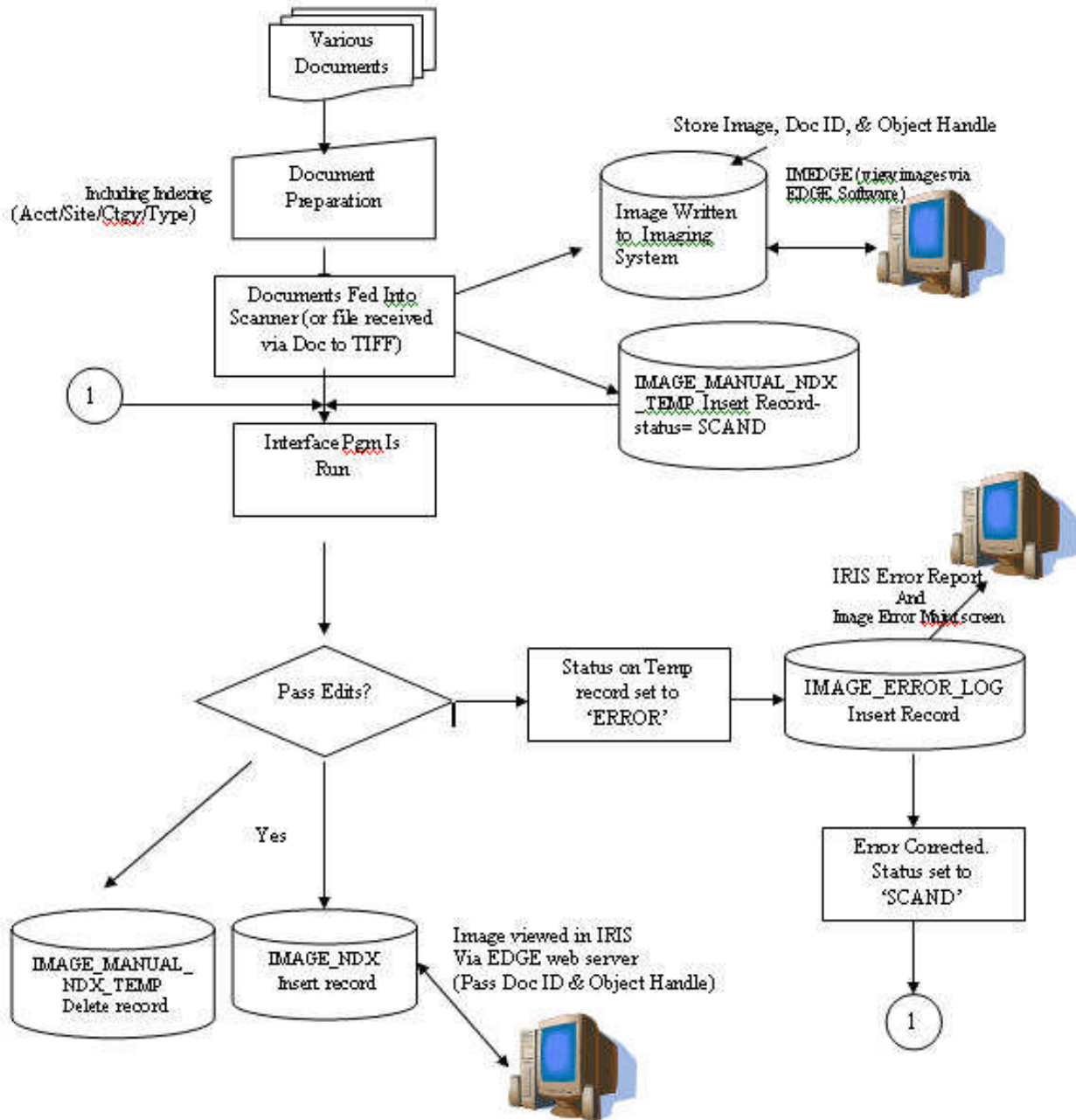
Operating System (O/S)	Back up	Virus Protection	Terminal Emulation	Other client tools	Network	PIM Integration
Windows 2000 Professional	Ghost 6.0	McAfee*	EXTRA (part of LanWorkPlace)	Citrix, Intel LANdesk Client, J-initiator	TCP/IP and IPX/SPX	Intellisync Gold 5.0.2

CURRENT STANDARDS – MAJOR APPLICATION TYPES

Application Type	City Standard
Financials – general ledger, payroll, accounts receivable & payable, purchasing	Oracle applications
Human Resource tracking	Oracle applications
GIS	ArcGIS
Work order tracking	Motorola (Suncoast)
Inspections/Permitting related to City infrastructure/services	Motorola (Suncoast)
Inspections/Permitting related to a building	Hansen
Licensing	IRIS
Ad-hoc Reporting	Business Objects
Imaging – document storage	Imedge
Imaging – workflow	IBM
Internet	Broadvision
Custom Development	Java*

*A standard Java development suite is being selected.

EXHIBIT 12 – Data Flow: Imaging to IRIS



Listed below are the Imaged documents for the DBA area:

CATEGORY	TYPE	DESCRIPTION
ACCLTR	LTR	License Acceptance Letter
AFF	ADLT	Adult Use Affidavit
AFF	INDEBT	Indebtedness Affidavit
AFF	MGRST	Manager Statement
AFF	RE	Real Estate Affidavit
AFF	RES	Residency Affidavit
AFF	ZONE	Zoning Affidavit
APP	CHANGE	Change License Application
APP	CHGCAP	Change of Capacity Application
APP	CHGDBA	Change of DBA Application
APP	CHGLOC	Change of Location Application
APP	CHGMGR	Change of Manager Application
APP	CHGNAM	Change of Legal Name Application
APP	CHGOFF	Change of Officer Application
APP	CHGOWN	Change of Owners Application
APP	CHGUSE	Change of Expansion of Use Application
APP	ISSUE	Issue License Application
APP	NEW	Issue new License Application
CERT	INSU	Insurance Certificate
CERT	PED	Food Peddler Certificate
CERT	THR	Massage Therapist Certificate
CERT	TIPS	TIPS Certificate
CNTRCT	CNTRCT	License Contracts
COR	CNCL	License Cancellation Request
COR	COR	License Correspondence
COR	MLC	MLC Letter
CORP	INC	Articles Of Incorporation
CORP	MIN	Minutes
CORP	ORG	Organization Chart
CORP	STK	Stock Certificates
FIN	ANNREP	Annual Reports
FIN	BNK	Bank Statements
FIN	LEN	Money Lender Statements
FIN	LLC	LLC Papers
LES	LES	License Lease
MISC	MISC	License Miscellaneous Documents
MOR	MOR	Moratorium Documents
NSF	AC	License Account Closed

NSF	COR	License NSF Correspondence
NSF	MISC	License NSF Miscellaneous
NSF	NSF	License Non-Sufficient Funds
NSF	RM	License Refer To Maker
NSF	SP	License Stopped Payment
PHOTOID	PHOTOID	License Photo Identification
PLAN	OCC	Occupancy Placards
PLAN	SITE	Site Plans
POL	INSRPT	Police Inspection Report
RNU	RNU mon-yyyy	License Renewal
RNU	RNUAUG	License Renewal AUG
RNU	RNUFEB	License Renewal FEB
RNU	RNUMAY	License Renewal MAY
RNU	RNUNOV	License Renewal NOV