



**REQUEST FOR PROPOSALS (RFP) #SJ1804
BUDGET PLANNING AND ENTERPRISE PERFORMANCE MANAGEMENT (EPM) SYSTEM**

**ONE (1) ORIGINAL SIGNATURE HARD COPY AND TWO (2) USB DRIVES OF THE RESPONSE
TO BE SUBMITTED**

All responses shall be addressed and returned to:

City Colleges of Chicago
Procurement Services
226 W. Jackson Blvd., Room 730
Chicago, IL 60606

Attn: Sheila Johnson, District Director of Business and Procurement Services

***Proposals must be received no later than 12:00 p.m. local Chicago time, on
Tuesday, June 12, 2018***

Responses shall be submitted in sealed envelope(s) or package(s). The outside of the envelope or package must clearly indicate the name of the project, **RFP #SJ1804 –Budget Planning and Enterprise Performance Management (EPM) System** for City Colleges of Chicago (CCC), the time, and the date specified for receipt. The name and address of the Proposer must also be clearly printed on the outside of envelope or package. The Proposer shall be responsible for delivery by the due date and time, whether delivered by U.S. mail or messenger. Late proposals will be returned to the sender unopened.

A pre-proposal conference is scheduled for Thursday, May 31, 2018 at 11:00 a.m. in Room 309/310 at City Colleges of Chicago, 226 W. Jackson Blvd., Chicago, IL 60606. The Scope of Services and the compliance procedures for the Minority and Women Business Enterprise Contract Participation Plan (MBE/WBE) will be discussed. Firms anticipating submitting a proposal are encouraged to attend in person or via teleconference. We recommend that you obtain a copy of the RFP document and bring it with you to the meeting.

Any firms that have initial questions prior to the pre-proposal conference must submit them in writing by Tuesday, May 29, 2018 no later than 12:00 p.m. All questions will be answered in writing via an addendum issued by Monday, June 4, 2018.

All attendees, please RSVP your attendance to procurementservices@ccc.edu by Tuesday, May 29, 2018, no later than 2:00 p.m. Photo identification is required when entering any City College of Chicago location.

The Letter of Intent to Submit a Proposal, Attachment A, is due via email, procurementservices@ccc.edu, attention Sheila Johnson, District Director of Business and Procurement Services, by Wednesday, June 6, 2018, no later than 12:00 p.m. If you do not intend to submit a proposal in response to this RFP, please email us a brief, detailed explanation, to procurementservices@ccc.edu, in order to continue to receive future bid/RFP notices.

Questions regarding clarification or verification of these specifications and MBE/WBE compliance procedures should be emailed to Sheila Johnson, District Director of Business and Procurement Services – 312-553-2590, at procurementservices@ccc.edu. The deadline for submitting final questions is Friday, June 1, 2018, by 12:00 p.m.

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APPENDIX IV - IRS W-9 INSTRUCTIONS AND FORM (Separate pdf file download)

EXHIBITS (Separate pdf file downloads):

EXHIBIT A – TECHNICAL INTERROGATORIES

EXHIBIT B – CCC SCOPE OF SERVICES - TECHNICAL ENVIRONMENT OVERVIEW

SECTION I - GENERAL INFORMATION

City Colleges of Chicago (CCC) consists of seven (7) community colleges which are all located within the city limits of Chicago. In addition, there are five (5) satellite locations that are affiliated with the colleges. A seven-member board of trustees, who are appointed by the Mayor of Chicago, governs the system. The chief administrative officer of the system is the Chancellor, who is appointed by the Board of Trustees. Each college has its own President, who reports to the Chancellor, and its own administrative staff which is responsible for policy administration in the areas of human resources and staff development, finance, academic affairs, administrative services and information technology. Each of these areas is headed by a Vice Chancellor that reports to the Chancellor.

The RFP and all attachments are available for download from the City Colleges of Chicago website, www.ccc.edu, Contract Opportunities. Proposers who download the RFP waive their right to have clarifications and/or addenda sent to them. Such Proposers are responsible for checking the website for clarifications and/or addenda. Failure to obtain clarifications and/or addenda from the website shall not relieve such Proposers from being bound by additional terms and conditions in the clarification and/or addenda, if any, or from considering additional information contained therein in preparing their proposals. Note that there may be multiple clarifications and/or addenda. Any harm to a Proposer resulting from such failure shall not be valid grounds for protest against award(s) made under this RFP. Proposals will not be accepted in electronic forms.

CCC Technical Environment Overview

The Office of Information Technology (OIT) is a division of the District Office of the City Colleges of Chicago (CCC). OIT supports the mission of CCC by creating technology solutions and services that support institutional goals and objectives to enhance the colleges' ability to enable and empower students, faculty, and staff to work collaboratively in the interest of increased student success. OIT's goal is to provide flexible and integrated technology-based systems that deliver critical information to the colleges, district departments, employees, students and community.

OIT provides technology services and support in areas such information systems management, application development, technology training, data management, systems infrastructure support, business intelligence, and information security.

The network consists of Cisco-based equipment, i.e., routers, switches and access points connected by high-speed data lines. CCC has a converged voice and data network and utilize Mitel VoIP controllers. A disaster recovery Co-location site exists with a full complement of equipment that covers most on premise systems. CCC has numerous Internet Service Providers that allows for redundancy and resiliency.

On premise systems consists of HP based equipment to include standalone servers, blade chassis and storage area networks. We have a mix of virtualized hosts utilizing VMWare. Additionally, we support Microsoft SQL databases for numerous systems and solutions. Lastly we have implemented Microsoft's Active Directory and associated Microsoft provisioning and authentication engines.

Representative list of some critical CCC systems

PeopleSoft Human Capital Management	Version 9.2
PeopleSoft Financials and Supply Chain Management	Version 9.2
PeopleSoft Portal	Version 9.1
PeopleSoft Campus Solutions	Version 9.0

Please complete the attached "CCC Technical Interrogatories" Exhibit A

SECTION II - INTENT AND SCOPE OF SERVICES

A. INTENT

The City Colleges of Chicago (CCC) is soliciting proposals from Vendors (“Vendor”) qualified to provide an Enterprise/Corporate performance management (EPM) web based Software as a Service (SaaS) solution to continuously facilitate efficient, compliant and transparent processes within the Office of Finance and enable the Chief Financial Officer (CFO) and other business leaders to manage organizational performance and guide strategic direction.

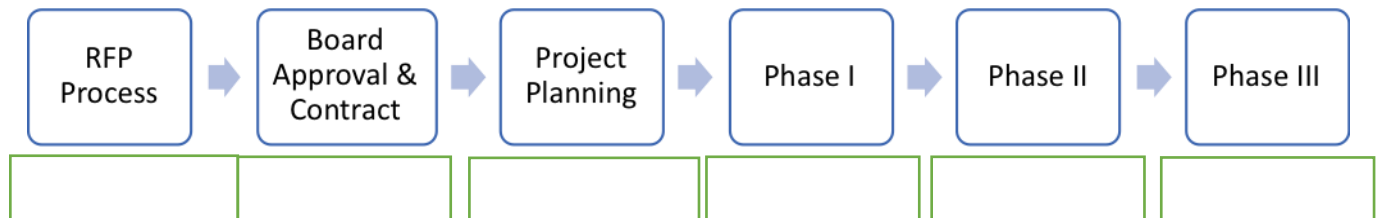
Vendors who have received this RFP and intend to respond should provide a proposal that demonstrates the depth and experience in the following areas:

(1) financial budgeting, planning and forecasting; (2) monthly roll up of actuals from ERP (PeopleSoft) for reporting purposes; (3) financial and management reporting and disclosure; (4) strategic planning, forecasting and strategy management; and (5) profitability modeling and optimization.

CCC plans to implement the EPM solution in a three-phase approach.

The City Colleges of Chicago would like to adopt a phased implementation of the Budget Solution in order to provide functionality as soon as possible.

The below outlines the proposed timeline and desired sequencing of functions.



The following is the minimum functionality to be delivered in each of the phases; detailed requirements listed in Appendix A and Appendix B.

Phase I (September 2018 – January 2019):

- Stand up the environments (Production and Test)
- Security and Technology Requirements (see Appendix A)
- Data clean-up
- Data load from PeopleSoft FSCM to Budget Solution
- Define hierarchy for approvals and workflows
- Final load from Budget Solution to PeopleSoft FSCM
- What-If Analysis
- Standard Reports (operational and management) – no custom reporting
- Extract from system/APIs – for Business Intelligence or other needs

Phase II (February 2019 – June 2019):

- Position Management
- Commitment Control
- Salvage
- Unplanned/Unbudgeted Positions
- Reports (operational and management) – additional identified standard reports and configuration

Phase III (July 2019 – December 2019):

- Integration with Recruitment Solution
- Additional configuration needs/enhancements
- Reports (operational and management) – additional identified standard reports and configuration

Please complete the attached “CCC Scope of Services and Technical Environment” Exhibit B

The proposed RFP schedule is listed below. This schedule is subject to change based on business and procurement needs.

ID	Milestone Date	Activity
1	5/21/2018	City Colleges advertises/Issues Request for proposals
2	5/31/2018 (11am CST)	Pre-Proposal Conference
3	6/1/2018 (12pm CST)	Deadline for submitting questions
4	6/4/2018	Issuance of Addendum No.1 (answers to questions)
5	6/12/2018 (12pm CST)	Proposals Due
6	6/13/2018	City Colleges Evaluation process begins
7	6/20/2018	Evaluation Committee to short list vendors
8	6/25/2018- 6/27/2018	<i>Oral Presentations/Demonstrations with short-listed finalists and additional info if required</i>
9	7/5/2018	Vendor recommendation presented to Board of Trustees for approval
10	7/9/2018	Notification of Intent to Award letter and Non-Award Letters sent to Proposers.
11	TBD	Contract Preparation
12	TBD	Contract Request made to CCC Legal Department
13	TBD	Final Contract Executed by all Parties

Background Information

CCC utilizes an ERP system (PeopleSoft Financial Management, Human Capital Management, Campus Solutions) as a platform to management its resources. CCC's fiscal year is July 1 to June 30 and has more than \$859 million in assets. CCC maintains its accounts accordance with accounting principles generally accepted in the United States of America (U.S. GAAP), as set forth by the Governmental Accounting Standards Board (GASB). CCC also maintains its accounts in accordance with guidelines set forth by the Government Finance Officers Association (GFOA), National Association of College and University Business Officers (NACUBO) and the Illinois Community College Board (ICCB). CCC's financial records are maintained on the accrual basis of accounting, whereby revenues are recorded when earned and expenses are recorded when incurred. CCC maintains approximately 1,700 active and non-active chart of accounts.

The budget process encompasses individual colleges submit budget requests based on the colleges' strategic and tactical plans as reviewed and approved by the Chancellor. Administrative units submit requests to the Budget Office. The Budget Office compiles requests and makes recommendations for the Chancellor's review. The Board of Trustees then approves the budget. The appropriated budget is prepared by fund, department, account (object of expense), and program (function). Budgetary control is implemented by individual fund within each college. Board approval is required for all transfers between funds, accounts, or programs.

Capital project funds are budgeted on a project-by-project basis and represent the entire project budget for projects expected to begin in that fiscal year.

Account Structure

Account	Fund	Department	Program	Class	Grant
000000	11111	2222222	33333	44444	555555555
6	5	7	5	5	9

System Sizing Information for EPM Solution:

- 125 -150 users
- 1,700 accounts
- 10 organizational entities
- 8 locations

B. SCOPE OF SERVICES

CCC requests only SaaS solutions. The first year of the contract shall include the cost of all professional services required for installation, implementation, data conversion (1 year data), application development, training, and the first year's warranty, maintenance, and support as well as any applicable license costs.

Instructions: In the "vendor response" column, proposers are required to respond with 'yes' indicating that the requirement is met in the corresponding column. For comments, respondents are encouraged to submit a separate document identifying how requirements are met. Respondents need to ensure that the same order as below is kept and that the respective ID number is referenced.

Please complete the Scope of Services - CCC Technical Environment Overview, see separate pdf file Exhibit B.

SECTION III - SUBMITTAL REQUIREMENTS

Each Proposer submitting a proposal will be required to present evidence of experience, qualifications, financial responsibility and capacity to perform the requested services. One (1) original signature hard copy and two (2) USB drives are to be submitted in response to this RFP, see Page 1. All USBs shall include your entire proposal response in one (1) pdf file; financial information may be submitted as an additional pdf file included on the USBs.

Discussions may be conducted with Proposers who submit responses determined to have a reasonable possibility of being selected. All Proposers shall be accorded fair and equal treatment with respect to the RFP process. **RESPONSES MAY BE DEEMED NON-RESPONSIVE AND WILL NOT BE FURTHER CONSIDERED FOR FAILING TO SUBMIT A RESPONSE AND/OR DOCUMENTATION THAT ADDRESSES EACH AND EVERY PARAGRAPH CITED IN THIS SECTION.**

A. Format of Response

All original response(s) must be submitted with pages numbered with section dividers for each item listed below. Each original signature response shall be submitted on standard 8 ½” x 11” plain white copy paper with material printed on one (1) side only. Expensive papers and special bindings (**Absolutely no spiral bindings nor machine bindings**) are discouraged since no materials will be returned to the Proposer. The USB drives (2 each) shall include your entire proposal response submitted in a pdf file format and each drive shall indicate Responder’s name, RFP number and name enclosed in individual sleeves/cases.

B. Contents of Response

1. Cover Letter:

The cover letter must be submitted on the Proposer’s letterhead, signed by a principal and the joint venture partner, if applicable. The cover letter must contain a plan explaining how services will be performed; a commitment to provide the services described in the Scope of Services of this RFP and indicates that the offer is good for one hundred-eighty (180) days from submittal of proposal.

2. Executive Summary and Executive Summary Sheet

An Executive Summary which shall include a brief statement of understanding the scope of services to be provided, a brief description of the firm, the services offered and the name of the Proposer and the location of the Proposer’s principal place of business. Proposer shall include the Executive Summary Form (Section VII).

3. Joint Ventures: A firm may propose both as a joint venture and independently as a single Proposer. If a joint venture response is rejected, no firm which has participated in the joint response can be considered to provide services unless it has separately submitted a response. Similarly, two (2) or more firms may submit responses as a prime proposer and subcontractor(s) relationship. In the event of such an arrangement, the CCC reserves the right to reject any subcontractor and accept only the prime proposer. CCC will not accept a subcontractor and reject the primary proposer. If a subcontractor wishes to be considered separately for a portion of the services, such firm should submit a separate submittal in response to this RFP. A copy of the executed Joint Venture Agreement, if applicable, must be submitted as well as the Federal Identification Number as a joint venture.

4. Experience and Statements of Qualifications

- a. Proposer must provide information on the company’s background, including the number of years in business, main office location and a list of services provided.
- b. Proposer must provide information on services similar in nature and scope as requested in Section II, Scope of Services, including company’s name, contact person, telephone and fax numbers and email address; provide information for similar services to any educational

institutions or government agencies. Proposer must submit company contacts. Provide the name, title, street address, city, state, zip code, telephone and fax numbers and email address for (a) primary contact person for this project and (b) the individual(s) authorized to negotiate a contract with the City Colleges of Chicago.

- c. Detailed information on the Proposer's ability to meet the Scope of Services of this RFP. This should include the services that your firm would be able to provide and how the services will be executed.
- d. Provide an organizational staffing plan chart for the personnel who will perform services as stated in Section II, Scope of Services, including resumes and educational background.

5. Clients and Portfolio

Proposers shall provide three (3) client examples as defined in the RFP. Provide scope of work, contract value and Proposer's project manager.

6. Implementation Plan

CCC plans to implement the EPM in three phases; at the minimum the outlined functionality should be activated in each of the phases.

The first phase consists of the implementation of the financial budgeting, planning and forecasting module with the "go live" date of January 2018.

Phase I (September 2018 – January 2019):

- Stand up the environments (Production and Test)
- Security and Technology Requirements (see Exhibit A)
- Data clean-up
- Data load from PeopleSoft FSCM to Budget Solution
- Define hierarchy for approvals and workflows
- Final load from Budget Solution to PeopleSoft FSCM
- What-If Analysis
- Standard Reports (operational and management) – no custom reporting
- Extract from system/APIs – for Business Intelligence or other needs

The second phase aim to add integration to the PeopleSoft environment and implement the financial and management reporting and disclosure; strategic planning, forecasting and strategy management; and profitability/optimization modeling modules. The "go-live" date for the second phase is June 2019.

Phase II (February 2019 – June 2019):

- Position Management
- Commitment Control
- Salvage
- Unplanned/Unbudgeted Positions
- Reports (operational and management) – additional identified standard reports and configuration

The third phase will add the integration with recruitment solution.

Phase III (July 2019 – December 2019):

- Integration with Recruitment Solution
- Additional configuration needs/enhancements
- Reports (operational and management) – additional identified standard reports and configuration

In Exhibit A and Exhibit B of this document, the City Colleges describe the functional and technical requirements. Please describe how your implementation approach and methodology will support these requirements.

Proposers shall provide a comprehensive implementation plan in the context of this phased project. This should include an overall roadmap that specifically deals with phasing and functionality activated by phase. Describe each of the work that will be performed in each phase and the requirement for City Colleges resources (by skill set).

Deliverables, Milestones, and Templates:

Please describe the deliverables and milestones associated with each phase of the implementation methodology. Additionally, please speak to any tools or templates that you intend to use as part of your approach. Where you feel relevant, you are encouraged to provide samples of these deliverables.

High-Level Work Plan:

A high level work plan is provided in Appendix C. Please use the outline as a starting point and provide a workplan that details the tasks, deliverables, and milestones.

Change Management Approach:

Please detail your change management approach. Where appropriate, describe the challenges you see in representative engagements and how you address these to ensure successful acceptance of the project.

Expected City Colleges of Chicago Responsibilities:

The City Colleges of Chicago assumes that will have some level of responsibility in delivering on all phases of the project. Please provide details on the tasks and the roles that might be the responsibility to the City Colleges of Chicago staff.

Project Management Approach:

In this section, you will be asked to detail your Project Management approach. This differs from the Implementation Methodology questions above. However, we realize that some vendors have integrated methodologies that encompass both areas. In either case, please make sure you address all areas and explain them in the context of the City Colleges of Chicago project.

1. Project Management Methodology

Please detail your project management methodology and describe where you have used it on comparable projects. Show examples of how the methodology is appropriate for managing projects of this size, scope, and complexity. Please detail any tools and templates that it contains which provide you with a competitive advantage for efficient and effective management of the project.

2. Status Reporting

Please describe your status reporting process. Detail the process at the individual, team, and executive levels. This should include meetings as well as documented reporting.

3. Risk Management

Clearly define your risk management approach. Please show where this approach has proven successful on similar projects. Additionally, please describe the most common risks you encounter on comparable projects (functional and technical) and detail a typical mitigation strategy for each one.

4. Issues Management

Clearly define your issues management approach. Provide a description (or example) of the tools and processes you employ to effectively identify, track, escalate, and resolve issues.

5. Change Control

Clearly define your approach for managing scope. Provide a description of the process for managing, investigating, tracking, and closing change requests. Additionally, detail the process for assessing impact to cost, schedule, and resources. Please provide approximate figures for number of scope changes and financial impact on comparable projects.

6. Training and Knowledge Transfer

The City Colleges recognizes that a detailed Training and Knowledge Transfer effort are critical to the success of this project. Your proposed approach should include at least the following:

- Process to determine training needs.
- Method, schedule, and timeline to deliver training
- Knowledge transfer strategy, including description of end state roles and responsibilities
- Metrics, tools, and processes to ensure knowledge transfer has occurred

7. Post Implementation Approach

The City Colleges of Chicago requests that all respondents include recommendation of Post Implementation Support in their RFP responses.

The implementation plan shall include key project team lead and members by name, title and specific responsibilities on the project. An organizational chart for the project team and resumes for key Proposer personnel shall be included. Key personnel will be an important factor considered by the evaluation committee. Changes in key personnel after proposal is submitted are plausible with written consents from CCC.

7. **References**

Provide a minimum of three (3) references from government, non-for-profits or higher education entities. Please include contact persons' names, mailing addresses, telephone and fax numbers and email addresses. Please complete Page One of the Reference Questionnaire (Attachment B) and submit with your proposal. City Colleges will fax this form to the references included in your submittal. Please inform your references that they will be contacted by CCC.

8. **IRS W-9 Form**

A current IRS W-9 Form must be completed, signed and submitted with your proposal. (See Appendices)

9. **Financial Statements**

Copies of audited/non-audited financial statements for the three (3) previous fiscal years or audited/non-audited tax returns signed by preparer and the most recent quarterly report must be provided. Financial Statements must include auditor's letter of opinion, auditor's notes, balance sheet and statements of income/loss. Each prime or joint venture partner must submit this information. The City Colleges of Chicago reserves the right to accept alternative information and/or documentation submitted by Proposers. CCC will, also, accept as a substitute for Financial Statements, three (3) years of Profit/Loss Income Statements and Balance Sheets.

10. **Legal Actions**

List and briefly describe any and all legal actions for the past three (3) years in which Proposer has been:

- (a) a debtor in bankruptcy,
- (b) a defendant in a lawsuit for deficient performance under a contract or agreement,
- (c) a Respondent in an administrative action for deficient performance,

(d) a defendant in a criminal action.

11. Minority/Women Business Enterprise Plan (M/WBE)

City Colleges of Chicago (CCC) has adopted a Minority and Women Business Enterprise (MBE/WBE) Plan to ensure that MBEs and WBEs shall have maximum feasible opportunities to participate on City Colleges of Chicago contracts. All Proposers must address the Plan included as Appendix 1 in the solicitation.

Specifically, Proposers must submit the appropriate compliance documents (i.e. Schedules A and C or D) with their proposal. Also, MBE/WBE Implementation Plans (Schedule A) may include either direct or indirect participation in the provision of the goods and services requested in the RFP.

Any questions regarding the M/WBE Compliance policy or any part of Appendix I should be directed to Sheila Johnson, District Director of Business and Procurement Services via email at procurementservices@ccc.edu. (Reference RFP# SJ1804 in the Subject area.)

12. CCC Ethics Orientation Contractors/Vendors

As a contractor or vendor doing business with the City Colleges of Chicago, you are required to comply with the CCC Ethics Policy. Contractors are expected to work on behalf of CCC in a manner that always complies with laws, rules, regulations and policies. By doing so and by always acting with honesty and integrity, you are allowing established values to guide your actions and decisions. The City Colleges of Chicago Ethics Policy can be found at <http://www.ccc.edu/departments/Pages/Ethics-Training.aspx>. Contractors are required to read and return a signed "ACKNOWLEDGEMENT" form with all responses. (See Appendices)

13. Price/Cost Proposal

With respect to the requirements outlined in the scope of work section of this RFP, please complete section VIII to provide a breakdown schedule of all fees and cost that will be applicable in order to perform all services listed under Section II - Scope of Services of this RFP and any other services offered under this requirement. CCC will not pay nor reimburse any travel, hotel costs, parking, presentation reproduction costs, etc. to the awarded vendor.

14. Disclosure

The Proposer will disclose any professional or personal financial interest which could be a possible conflict of interest in representing the District. The Proposer shall further disclose arrangements to derive additional compensation from various investment and reinvestment products, including financial contracts. The Proposer will be required to disclose any lobbying activities if any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any sister governmental agency, member of Congress, officer or employee of Congress, or employee of a member of Congress in connection with this contract.

15. Debarment

Proposers must disclose that neither the vendor nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in a contract or agreement with any federal, state, county or local department or agency. If the vendor is unable to certify to this statement, it must attach an explanation to this application.

16. Economic Disclosure Statement

Proposers must complete the attached economic disclosure statement and affidavit as referenced in the Appendices. The economic disclosure forms must be completed by the Prime contractor and all subcontractors in its entirety and notarized. Privately held firms and not-for-profit organizations must disclose the board of directors/corporate officers. All others firms must disclose the percentage

of ownership. Failure to provide complete ownership information may cause your response to be deemed non-responsive. (See Appendices – 10 pages)

SECTION IV - INSURANCE REQUIREMENTS

A. Proposer's Insurance

The Proposer shall procure and maintain at all times, at Proposers own expense, until final acceptance of the Work covered by this Agreement, and if required to return during the warranty period, the types of insurance specified below, with insurance companies authorized to do business in the State of Illinois covering all operations under this Agreement, whether performed by the Proposer or by subcontractors.

The kinds and amounts of insurance required are as follows:

1. Worker's Compensation and Occupational Disease Insurance

Workers Compensation and Occupational Disease Insurance, in accordance with the laws of the State of Illinois, or any other applicable jurisdiction, covering all employees who are to provide a service under this contract. Employer's liability coverage with limits of not less than \$1,000,000 each accident or illness shall be included.

2. Commercial Liability Insurance (Primary and Umbrella)

Commercial Liability Insurance or equivalent with limits of not less than \$5,000,000 per occurrence, combined single limit, for bodily injury, personal injury, and property damage liability. Products/completed operations, explosion, collapse, underground, independent contractors, broad form property damage and contractual liability coverages are to be included. City Colleges of Chicago is to be named as an additional insured without recourse or right of contribution for any liability arising from this work.

3. Automobile Liability Insurance

When any motor vehicles are used in connection with work to be performed, the Contractor shall provide Automobile Liability Insurance with limits of not less than \$1,000,000 per occurrence combined single limit, for bodily injury and property damage. The City Colleges of Chicago is to be named as an additional insured.

4. Fidelity, EPLI and Professional Liability (E&O)

Professional liability insurance covering errors, omissions or negligent acts must be maintained with limits of not less than \$5,000,000. Coverage must include contractual liability. When policies are renewed or replaced, the policy retroactive date must coincide with, or precede start of work on this Agreement. A Claims-Made Policy, which is not renewed or replaced, must have an extended reporting period of two (2) years.

5. Cyber Liability

A Cyber and Privacy Policy shall be maintained with limits of not less than \$5,000,000 to address liability for a data breach which may result in the compromise of personal data pertaining to District Trustees, Employees, Students, Administrators, Staff, Visitors and Guests. The Policy shall cover a variety of expenses associated with data breaches, including, but not limited to: notification costs, credit monitoring, costs to defend claims by state regulators, fines and penalties, and loss resulting from identity theft.

The Contractor will furnish City Colleges of Chicago original Certificates of Insurance evidencing the required coverage to be in force on the date of this contract, and Renewal Certificates of Insurance, or such similar evidence, if the coverages have expiration or renewal date occurring during the term of this contract. The Contractor shall submit evidence of insurance prior to contract award. The failure of City Colleges of Chicago to obtain such evidence from Proposer before permitting Proposer to commence work shall not be deemed to be a waiver by City Colleges of

Chicago, and the Proposer shall remain under continuing obligation to maintain the insurance coverage.

The insurance herein specified shall be carried until all work required to be performed under the terms of the Agreement is satisfactorily completed and formally accepted. Failure to carry or keep such insurance in force may constitute a violation of the Agreement, and City Colleges of Chicago maintains the right to stop work until proper evidence of insurance is provided.

The insurance shall provide for 60 days prior written notice to be given to City Colleges of Chicago, Office of Administrative and Procurement Services in the event coverage is substantially changed, canceled, or non-renewed.

The Proposer shall require all subcontractors to carry the insurance required herein, or Proposer may provide the coverage for any or all subcontractors, and, if so, the evidence of insurance submitted shall so stipulate.

Any and all deductibles on referenced insurance coverages shall be borne by Proposers.

Proposer expressly understands and agrees that any insurance coverages and limits furnished by Proposer shall in no way limit the Proposer's liabilities and responsibilities specified within the contract documents or by law.

The Proposer and each subcontractor agree that insurer shall waive their rights of subrogation against City Colleges of Chicago.

The Proposer expressly understands and agrees that any insurance maintained by City Colleges of Chicago shall apply in excess of and not contribute with insurance provided by the Proposer under the contract.

If the Proposer or its subcontractors desire additional coverage, higher limits of liability, or other modifications for its own protection, the Proposer and each of its subcontractors, shall be responsible for the acquisition and cost of such additional protection.

City Colleges of Chicago maintains the rights to modify, delete, alter, or change these requirements.

Prior to the execution of this Agreement, Licensee shall furnish the Institution with original insurance certificates evidencing the required coverage. The above referenced coverage limits are at levels consistent with Illinois statutory requirements and are within reasonable levels to insure the District's requirements, interests and operations. The Insurance Carriers underwriting said Policies shall reflect an AM Best Rating Guide of "A-", VIII or better. All insurance certificates shall name the Board of Trustees of Community College District No. 508, County of Cook and State of Illinois, and its officers, directors, agents, students, employees, contractors and volunteers as additional insured on a primary, non-contributory basis. Institution's failure to obtain certificates or others insurance evidence from Consultant shall not be deemed a waiver of this provision by the Institution. This Agreement, at Institution's sole discretion, may be terminated if Licensee fails to comply with this provision. All insurance policies required hereunder shall include a provision which requires the Institution to receive sixty (60) days prior written notice before coverage is substantially changed, cancelled or non-renewed. Any insurance or self-insurance programs maintained by Institution shall apply in excess of and not contribute with insurance provided by Licensee.

B. Non-Discrimination

A Proposer, in performing under this Agreement, shall not discriminate against any worker, employee or applicant, or any member of the public, because of race, creed, color, sex, age or national origin, nor otherwise commit an unfair employment practice.

Proposer further agrees that this article will be incorporated by Proposer in all agreements entered into with supplier of materials or services, Contractors and Subcontractors and all labor organizations, furnishing skilled, unskilled and craft union skilled labor, or who may perform any such labor or services in connection with this contract. Attention is called to Executive Order 11246 issued September 24, 1965, 3 CFR p. 567, 1966; The Civil Rights Act of 1964, Pub. L. 88-352, July 2, 1964, 78 Stat. 241 et sub; to the State Acts approved July 28, 1961, Ill. Rev. Stat. 1967, CH. 38, Secs. 13-3 to 13-4 inclusive; July 8, 1933, Ill. Rev. Stat. 1967, CH. 29, Secs. 17 to 24 inclusive: July 21, 1961, Ill. Rev. Stat. 1967, CH. 48, Secs. 851 to 866 inclusive, and July 26, 1967, Ill. Rev. Stat. 1967, CH. 48, Secs. 881 to 887 inclusive, and an ordinance passed by the City Council of the City of Chicago, August 21, 1945, page 3877 to the Journal of the Proceeding.

When requested to demonstrate compliance, the Proposer and Subcontractors will furnish such reports and information as requested by the Chicago Commission on Human Relations.

SECTION V - GENERAL INSTRUCTIONS

A. **Time for Receiving Proposals**

Proposals must be received no later than **12:00 p.m.** local Chicago time, on **Tuesday, June 12 , 2018**. Proposals received prior to the due date and time will be securely kept and unopened. Proposals submitted after the designated time and date will be returned unopened. Proposals are not publicly opened and once submitted become the property of the City Colleges of Chicago.

B. **Preparatory Cost**

All costs incurred in the preparation and presentation of the Proposals shall be wholly borne by each Proposer.

C. **Submission of Proposals**

The City Colleges of Chicago at its discretion, may reject any or all of the proposals, cancel and reissue this RFP, negotiate with any, all or none of the proposers, solicit best and final proposal from all or some of the proposers and award a contract to one or more of the proposers.

D. **Contract Award**

The successful proposer will be required to enter into a Professional Service Agreement with the Board of Trustees of Community College District No. 508, which incorporates as part of the agreement, this RFP and the proposer's response to the RFP. City Colleges of Chicago reserves the right to award to multiple vendors

E. **Withdrawal of Proposals**

Proposers may withdraw their proposals at any time prior to the time specified as the closing time for the receipt of proposals. However, no proposer shall withdraw or cancel his proposal for a period of one hundred-eighty (180) calendar days after said closing time for the receipt of proposals nor shall the successful proposer(s) withdraw, cancel or modify its proposal after having been notified by the City Colleges of Chicago that said proposal has been accepted.

F. **Addenda to this RFP**

If the City Colleges of Chicago determines that this RFP should be modified before the date set for receipt of proposal, CCC will inform all prospect Proposers by distributing addendum. The addendum will be emailed, faxed or mailed to each Proposer receiving this RFP. Proposer must acknowledge receipt of each addendum issued in the RFP Executive Summary Introduction Letter.

G. **Conflicts**

In the event of conflict between the Contractor's terms and conditions and those of City Colleges of Chicago, City Colleges of Chicago's terms and conditions will take precedence.

H. Indemnity

Notwithstanding any other terms and conditions, including any obligations regarding insurance coverage, Vendor agrees to defend, indemnify, save and hold harmless fully the Board of Trustees of Community College District No. 508, its colleges, satellite campus', officers, employees, agents, students, volunteers and contractors against any and all claims, suits or judgments, costs or expenses, including attorney's reasonable fees, (collectively ("Loss")) in connection with this Agreement. This indemnification obligation does not extend to that portion of a Loss caused by Institution's negligence, as determined by a court of competent jurisdiction in a final, non-appealable judicial order. The firm must acknowledge in their submission their willingness to indemnify City Colleges of Chicago.

The requirements listed below are mandatory for protecting the interests of the City Colleges of Chicago.

1. The successful Proposer shall indemnify and hold CCC harmless from all providers' performance or failure of performance under the resulting contract.
2. The successful Proposer shall keep CCC free and clear from all liens asserted by any person or firm for any reason arising out of the furnishing of services or materials by or to the provider.
3. The action of the successful Proposer with third parties is not binding upon CCC.

I. Termination

Termination for Convenience. This contract can be terminated upon ten (10) days written notice by City Colleges of Chicago on the grounds of Proposer's violation of any terms and conditions of the Contract, procedures or guidelines or inadequacy of Proposer's performance or if there is no further need for the requirements. In the event that no funds or insufficient funds are appropriated and budgeted in any fiscal period of the City Colleges of Chicago for payments to be made under this agreement, then the City Colleges of Chicago will notify the contractor of such occurrence and this agreement shall terminate on the earliest of the last day of the fiscal period for which sufficient appropriation was made or whenever the funds appropriated for payment under this Agreement are exhausted. No payments will be made or due to the contractor under this contract beyond those amounts appropriated and budgeted by the City Colleges of Chicago to fund payment under this contract.

City Colleges of Chicago may terminate this Contract, or any portion of the Services to be performed under it, at any time for convenience by a notice in writing from CCC to the Proposer when the Contract may be deemed no longer in the best interest of CCC.

Termination for Default. Subject to Section 10(a) herein, this Agreement may also be terminated for default. Each of the following shall constitute an event of default by Consultant ("Default").

- i. Any material misrepresentation, whether in the inducement or in the performance, made by the Consultant to the Institution; and
- ii. A breach of a representation or warranty contained in this Agreement; and
- iii. The insolvency, bankruptcy or committing of any act of bankruptcy or insolvency, or making an assignment for the benefit of creditors; and
- iv. Failure to comply with or perform any material provision of this Agreement; and
- v. Failure or refusal to provide enough properly skilled personnel, adequate supervision, or adequate materials and equipment of the proper quality to perform the Services; and
- vi. Causing, by any action or omission, the stoppage, delay of, or interference with, the work of any other Consultant or subconsultant.

If a court of competent jurisdiction rules that termination of this Agreement by the Institution for default of Consultant was wrongful, then the termination shall be deemed to have been a termination for convenience.

- a. **Curable and Incurable Defaults.** Time-sensitive defaults (e.g., failure to meet deadlines) are not curable unless the Institution, in its sole and absolute discretion, extends the deadline. Such extension, however, does not relieve Consultant of liability for any damages the Institution may suffer. Consultant shall cure any default that is not time-sensitive with ten (10) calendar days after Consultant is given notice of the default.
- b. **Remedies.** In addition to any other remedies contained herein, the Institution may invoke any or all of the following remedies for a Default:
 - i. Complete the Services at Consultant's expense, either directly or through the use of contractors and subcontractors; or
 - ii. Receive a refund or withhold all or any portion of the Fee; or
 - iii. Demand specific performance, an injunction or any other appropriate equitable remedy; or
 - iv. Terminate this Agreement.
- c. **Right to Offset.** All costs incurred by the Institution due to: (i) termination of this Agreement for default; or (ii) Consultant's performance of the Services; or (iii) Institution's exercise of any of the remedies available herein, may be offset by: (i) any credits due to or overpayments made by the Institution; or (ii) any payments due to Consultant for Services completed. If such amount offset is insufficient to cover those excess costs, Consultant shall be liable for and promptly remit to the Institution the balance upon written demand. This right to offset is in addition to and not a limitation on any other remedies available to the Institution.

No remedy hereunder is exclusive of any other remedy, but each remedy shall be cumulative and in addition to any other remedies at law, in equity or by statute existing now or hereafter. No delay or omission to exercise any right or power accruing upon any Default shall impair any such right or power nor shall it be construed to be a waiver of any Default or acquiescence therein, and every such right and power may be exercised periodically and as often as may be deemed expedient. If the Institution considers it to be in the Institutions best interest, it may choose not to declare a default or terminate the Agreement. The parties acknowledge that this provision is solely for the benefit of the Institution and that if the Institution permits Consultant to continue providing Services despite one or more events of default, the Consultant is in no way relieved of any of its duties and obligations under the Agreement and the Institution does not waive or relinquish any of its rights.

Additional Provisions. The parties further agree the following provisions:

- a. **Cooperation with Successors.** If this Agreement expires or is terminated for any reason, Consultant shall use its best efforts to assure an orderly transition to Institution and to the successor consultant, if any. Consultant must make an orderly demobilization of its own operations, provide the Services uninterrupted until the effective day of such termination or expiration, and otherwise comply with the reasonable requests and requirements of the Institution in connection with the termination or expiration.

J. Minimum Wage

Effective December 11, 2014, City Colleges of Chicago (CCC) adopted Mayoral Executive Order 2014-1 which provides for a fair and adequate Minimum Wage to be paid to employees of CCC contractors

and subcontractors performing work on CCC contracts. A copy of the Order may be downloaded from the Chicago City Clerk's website at: <http://chicityclerk.com/wp-content/uploads/2014/09/Executive-Order-No.-2014-1.pdf>

If this contract was advertised on or after December 11, 2014, Contractor must comply with Mayoral Executive Order 2014-1 and any applicable regulations issued by the Chief Procurement Officer. As of December 11, 2014, the Minimum Wage to be paid is \$13.00 per hour. The Minimum Wage must be paid to:

- All employees regularly performing work on CCC property or at a CCC jobsite.
- All employees whose regular work entails performing a service for CCC under a CCC contract.

The Minimum Wage is not required to be paid to employees whose work is performed in general support of contractors operations, does not directly relate to the services provided to CCC under the contract, and is included in the contract price as overhead, unless that employee's regularly assigned work location is on CCC property or at a CCC jobsite. It is also not required to be paid by employers that are 501(c)(3) not-for-profits.

Except as further described, the Minimum Wage is also not required to be paid to categories of the Illinois Minimum Wage Law, 820 ILCS 105/1 et seq., in force as of the date of this Contract or as amended. Nevertheless, the Minimum Wage is required to be paid to those workers described in subsections 4(a)(2)(A) and 4(a)(2)(B) of the Illinois Minimum Wage Law.

Additionally, the Minimum Wage is not required to be paid to employees subject to a collective bargaining agreement that provides for different wages than those required by Mayoral Executive Order 2014-1, if that collective bargaining agreement was in force prior to December 11, 2014, or if that collective bargaining agreement clearly and specifically waives the requirements of the order.

If the payment of a prevailing wage is required and the prevailing wage is higher than the Minimum Wage, then the Contractor must pay the prevailing wage.

K. Prevailing Wage

As required by the Illinois Revised Statutes, Chapter 48, Sections 39s-1 -39s-11, Prevailing Wage Act, as amended, requires that all wages paid to laborers, workers or mechanics performing work under this contract be in accordance with the general prevailing hourly rate of wages for persons engaged in the construction of public works in this locality as determined by the Department of Labor of the State of Illinois.

L. Contract Terms

Services will begin upon execution of a professional service agreement and the issuance of a Purchase Order, for a period of five (5) years, subject to our Board's approval with an option to extend for five (5) additional years or in one year increments. All extension options are subject to our Board's approval.

M. Payment

The selected proposer will not be entitled to demand or receive payment under this Agreement until all of the stipulations, provisions and conditions set forth in the Agreement have been complied with. Invoice(s) should be transmitted to the Accounts Payable Department via e-mail (preferred method) to accountpayableservices@ccc.edu or in duplicate hard copy to CCC, Accounts Payable Department, 226 W. Jackson Blvd., Chicago, IL 60606. CCC offers expedited payment terms to its suppliers for accepting electronic payments, as follows:

Net 15 days or less- CCC utilizes an electronic payment method leveraging unique and secure cardless payment accounts which allows for placement of funds for approved payment transactions on a Visa Single Use Account ("SUA") administered through U.S. Bank via the Payment Plus program.

Net 45 days - CCC also utilizes Automatic Clearing House (“ACH”) as a method to pay suppliers. This requires completion of a form indicating Bank routing and account number information authorizing CCC to deposit funds into your Bank account.

Net 60 days – CCC will issue traditional checks to suppliers unable to accept one of the preferred electronic methods.

N. Communication

All written inquiries regarding this RFP should be directed to Sheila Johnson, District Director of Business and Procurement Services, at City Colleges of Chicago, Procurement Services, 226 W. Jackson Blvd., Room 730, Chicago, IL 60606 or via email, procurementservices@ccc.edu.

Such requests must be submitted by Friday, June 1, 2018, no later than 12:00 p.m.

Any interpretation of the proposed documents will be made only by an addendum issued by the Chief Procurement Officer. A copy of the addendum will be emailed and/or posted on the delivered to each person receiving a copy of the proposal prior to the proposal due date. Failure on the part of the prospective Proposer to receive a written interpretation prior to time of submittal will not be grounds for withdrawal of proposal. Oral explanation is not binding.

Proposers requiring additional information shall contact the Buyer. Proposers who contact any City Colleges of Chicago personnel other than the Buyer will be considered in violation of the procurement rules and may have any proposal response disqualified.

O. CCC Ethics Policy

As a contractor or vendor doing business with the City Colleges of Chicago, you are required to comply with the CCC Ethics Policy. Contractors are expected to work on behalf of CCC in a manner that always complies with laws, rules, regulations and policies. By doing so and by always acting with honesty and integrity you are allowing established values to guide your actions and decisions. The CCC Ethics Policy can be found at www.ccc.edu/departments/pages/ethics.aspx. Contractors and vendors are required to read and return the signed ACKNOWLEDGEMENT with submissions. (See Appendix I)

SECTION VI - EVALUATION CRITERIA

An Evaluation Committee, which will include CCC representatives, will review proposals in accordance with the evaluation criteria. The Committee will submit its recommendation to the Vice Chancellor of Administrative & Procurement Services and the Vice Chancellor of Finance & Business Enterprises/CFO. The CFO will review and make a recommendation to the Chancellor and the Board of Trustees. Responses to this RFP will be evaluated according to the following criteria:

1. Past experience with higher educational institutions or comparable organizations
2. Functional and technical requirements as outlined in the scope of services
3. Qualifications of firm and assigned team members
4. Viability of the implementation plan
5. Price
6. MBE/WBE compliance

This RFP does not commit City Colleges of Chicago to negotiate a contract, enter into an agreement nor obligate it to pay for any costs incurred in the preparation or submission of any proposal or in anticipation of a contract or agreement. City Colleges of Chicago reserves the right to reject all proposals, and to do business with any one or more of the firms responding to this RFP.

CCC reserves the right to seek clarification of information submitted in response to this RFP and/or to request additional information during the evaluation process. CCC may also request that any short-listed finalists conduct oral presentation and/or demonstrations of their services and system.

SECTION VII - EXECUTIVE SUMMARY FORM

The undersigned, hereby acknowledges having received a full set of the **Request for Proposal (RFP) #SJ1804 – Budget Planning and Enterprise Performance Management System (EPM)** for the City Colleges of Chicago.

Company's Name : _____

Type of Company: () Corporation () Partnership () Sole Proprietor ()

Name of principals/owners of Company: _____

Name of Parent Company, if any: _____

- I.** I do solemnly declare and affirm under penalty of perjury that the contents of the forgoing documents are true and correct, and that I am authorized, on behalf of the firm, to commit to this proposal.

Name of Preparer (print) Title

Preparer's Signature Date

Attesting Signature (required for corporations) Title

Business Address

City State Zip Code

Federal Employee Identification Number (FEIN)

Contact Person's Name and Title

Telephone Number Fax Number

Email Address

Note: Summary Sheet must be completed or Proposal may be deemed non-responsive. Rubber-stamped or typed signatures will disqualify your proposal.

SECTION VIII – PRICE/COST PROPOSAL

Having carefully examined the scope of services, requirements, and conditions affecting this Request for Proposal, the Proposer shall provide a Price/Cost Proposal in which the Proposer will perform the services requested. Your proposal must identify any other pricing structures, cost or fees.

PRICE PROPOSAL

Service	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Annual Subscription fee (SaaS)						
3 admin. users						\$
80 read/write users						\$
42 read only users						\$
Implementation Services Phase I						
Implementation Services Phase II						
Implementation Services Phase III						
Implementation service: Total						\$
Training (year 1)						
Train the trainer (5 trainees)						\$
One-site training						\$
Remote training						\$
Self-guided training						\$
User support						\$
Others (please outline details in a separate sheet)						\$
Total cost of ownership (SaaS)						\$

Company's Name: _____

Preparer's Name (print) **Title**

Preparer's Signature **Date**

Telephone Number **Email Address**

ATTACHMENT A

**BOARD OF TRUSTEES OF COMMUNITY COLLEGE DISTRICT NO. 508
D/B/A CITY COLLEGES OF CHICAGO**

LETTER OF INTENT TO SUBMIT A PROPOSAL

**REQUEST FOR PROPOSALS (RFP) #SJ1804
BUDGET PLANNING AND ENTERPRISE PERFORMANCE MANAGEMENT (EPM) SYSTEM
CITY COLLEGES OF CHICAGO**

I, _____, the undersigned being a duly authorized official of _____ hereby acknowledges receipt of the above referenced RFP offering and certify the intent of this firm to submit a Proposal in response to the Request.

PLEASE EXECUTE AND SUBMIT THIS FORM VIA EMAIL, procurementservices@ccc.edu, TO THE ATTENTION OF SHEILA JOHNSON, DISTRICT DIRECTOR OF BUSINESS AND PROCUREMENT SERVICES, BY WEDNESDAY, JUNE 6, 2018, NO LATER THAN 12:00 P.M.

FIRM'S NAME: _____

ADDRESS: _____

CITY: _____ STATE: _____ ZIP CODE: _____

TELEPHONE: _____ FAX: _____

PRINCIPAL CONTACT: _____

TITLE: _____

SIGNATURE: _____ DATE: _____

DIRECT PHONE: _____ FAX: _____

EMAIL: _____ WEBSITE: _____

ATTACHMENT B**REFERENCES**

Proposers, please provide at least three (3) references, one per firm, for whom you have provided services to as requested in this RFP. Please complete the City Colleges of Chicago Reference Questionnaire, Page 1, for each of your references and return the forms with your proposal. CCC will provide questions to your references. (Please make additional copies as needed.)



**CITY COLLEES OF CHICAGO
REFERENCE QUESTIONNAIRE**

The contractor listed below has named you as a reference on a project completed within the past three years and/or is currently in progress. The work performed, as indicated by the contractor, is described below. Please revise any incorrect data, and/or include any additional relevant information.

Your timely completion of the questions on the next page(s) will assist CCC in determining the responsibility of this contractor. Your response will be "on the record" and available for the contractor's review. The individual completing this questionnaire may be contacted to confirm their participation. Thank you for your assistance.

Upon completion, please return this page to Sheila Johnson, District Director of Business and Procurement Services, via email to procurementservices@ccc.edu. Please contact Marietta Williams-Johnson at 312-553-2590 with any questions.

To Be Completed By Proposer

Reference Company Name: _____

Reference Contact: _____

Reference Fax: _____

Reference Phone: _____

Reference E-mail: _____

Proposer's Name: _____

Proposer, please provide a brief but detailed explanation of the project/services that you've provided to this reference:

Contract Amount: _____

Project Completion Date: _____

(Page _____ of _____)

APPENDICES

APPENDIX I – TERMS AND CONDITIONS REGARDING COMPLIANCE WITH THE
MINORITY BUSINESS COMMITMENT AND WOMEN BUSINESS ENTERPRISE
COMMITMENT

APPENDIX II – ETHICS ORIENTATION FOR CONTRACTORS/VENDORS

APPENDIX III – ECONOMIC DISCLOSURE INSTRUCTIONS AND ECONOMIC DISCLOSURE
STATEMENT AND AFFIDAVIT

APPENDIX IV - IRS W-9 INSTRUCTIONS AND FORM



Appendix 1

**Terms & Conditions Regarding Compliance with the Minority Business
Commitment and the Women Business Enterprise Commitment**

**Terms & Conditions Regarding
Compliance with the City Colleges of Chicago's
Minority Business Enterprise (MBE) and
Women Business Enterprise (WBE) Participation Plan**

SECTION 1: INTRODUCTION

1. The Board of Trustees of Community College District No. 508. (The "Board") has adopted the amended Minority and Women Business Enterprise Plan (The "Plan") to ensure that Minority Businesses and Women Businesses shall have maximum feasible opportunities to participate on City Colleges of Chicago contracts, and to remedy the effects of historical discrimination while minimizing its impact upon Non-MBE and Non-WBE businesses. The Plan includes goals for participation of certified MBE and WBE firms, and the Bidders/Proposers utilization of such firms is considered in determining responsibility in performing this contract.
- 1.1 The purpose of the revised Terms and Conditions is to describe the current requirements of the Plan including the MBE and WBE goals that have been established for this contract and certain administrative and procedural provisions.

Bidders/Proposers are required to submit information specifying the percentage of the total contract that will be performed by certified MBE and WBE firms on the attached Schedules.

SECTION 2: POLICY STATEMENT AND TERMS

- 2.1 It is the policy of the Board to ensure that the City Colleges of Chicago take all possible steps consistent with applicable law to insure that Minority Business Enterprises and Women Business Enterprises are afforded a fair and representative opportunity to participate fully in this institution's contracting.
- 2.2 Consistent with this policy it shall be the responsibility of all contractors to exhaust all feasible means to ensure significant participation by certified MBEs and WBEs.
- 2.3 Failure to carry out the commitments and policies set forth in this Plan shall constitute a material breach of contract and may result in termination of the contract or such other remedy as the Board deems appropriate.

SECTION 3: DEFINITIONS

- 3.1 The following words as used herein shall have the meanings indicated below unless the context clearly indicates otherwise:

- a. **Board of Trustees or Board** shall mean the Board of Trustees of Community College District No. 508.
- b. **Certified** means any business or individual which has been certified by any of the CCC approved certifying agency to be an MBE or WBE and is on the Board's list of certified MBEs or WBEs.
- c. **Chancellor** shall mean the Chancellor of City Colleges of Chicago or his/her designee.
- d. **City College** shall mean the City Colleges of Chicago.
- e. **Commercially Useful Function** shall mean the execution of a distinct element of work with actual performance, resources, management and supervision.
- f. **Financial and Administrative Service Committee** shall mean the Financial and Administrative Service Committee of the Board of Trustees of Community College District No.508 or such other committee as the Board of Trustees may from time to time designate.
- g. **General Contractor** shall mean a firm that has entered into a contract with the Board to provide goods or services.
- h. **Joint Venture shall** mean an association between two or more independent businesses formed to perform a specific contract.
- i. **Minority or Minority person** shall mean a person who is a citizen or lawful permanent resident of the United States, who is a member of an identified racial/ethnic population group, specifically, Black, Hispanic, Asian, or any other racial/ethnic population group that the Chancellor determines, after notice and hearing, to suffer discrimination in the Chicago area and who has participated, or has attempted to participate, in the Chicago area market.
- j. **MBE or Minority Business Enterprise** shall mean a certified business that is owned and controlled by a Minority or Minorities that is certified as an MBE as defined in Section III (Definitions, 3.1) and has participated, or has attempted to participate, in the Chicago area market.
- k. **Person** shall mean a natural person, or partnership, corporation or joint venture.

- l. **Subcontractor** shall mean a business that has entered into a contract with a General Contractor to provide goods or services pursuant to a contract between the General Contractor and the Board.

- m. **WBE or Women Business Enterprise** shall mean a certified business that is owned and controlled by a woman or women, that is certified as a WBE as provided in Section III (Definitions, 3.1) and has participated, or has attempted to participate, in the Chicago area market.

- n. **Woman or Female** shall mean a person who is a citizen or lawful permanent resident of the United States who is of female gender.

SECTION 4: PARTICIPATION GOALS

4.1 Percentages of Participation

Goals for participation by certified MBE and WBE firms for this Contract shall be not less than the following percentage of the **total contract value**:

MBE Participation goal: 25%

WBE Participation goal: 7%

4.2 Bidder/Proposer's Commitment and Responsibility

Each Bidder's commitment to the utilization of certified MBE and WBE firms shall be considered as further evidence of the responsibility of the Bidder/Proposer. Further, the Contractor agrees to use its best efforts to include certified MBE and WBE firms in any Contract modifications, amendments and renewals.

SECTION 5: PROCEDURE TO DETERMINE BID & PROPOSAL COMPLIANCE

- 5.1 The following documents constitute the Bidder/Proposer's MBE/WBE Compliance Plan and must be submitted with the bid or proposal:

A. Schedule A: Affidavit of MBE/WBE Goal Implementation Plan

Bidders/Proposers must submit, together with the bid/proposal, a completed Schedule A committing them to the utilization of each certified MBE/WBE firm listed.

Except in cases where the bidder/proposer has submitted a complete request for a waiver or variance of the MBE or WBE goals in accordance with Section 8 (below), the bidder/proposer must commit to the expenditure of an estimated percentage of their proposed contract value. Specific dollar amounts of participation by each certified MBE/WBE firm should also be included on the Schedule A as practicable.

Additionally, the total dollar commitments proposed for certified MBE firm(s) must at least equal the MBE goal, and the total dollar commitment to propose certified WBEs must at least equal the WBE goal.

All commitments made on the bidder/proposer's Schedule A must correspond with those presented on the Schedule C documents that are described below.

Additionally, a fully completed and executed Schedule A must be submitted with the bid/proposal when due. Failure to submit the completed Schedule A or a waiver request in accordance with this section will be cause for finding bid/proposal non-responsive and may result in rejection of bid/proposal.

B. Schedule C: Letter of Intent

A Schedule C [Schedule C-1 (MBE/WBE Bidder/Proposer or Schedule C-2 (Joint Venture Partner) as described herein] must be completed in its entirety and executed by each certified MBE and WBE firm listed on the Schedule A and submitted with the bid/proposal.

The Schedule C must accurately detail the work to be performed by the certified MBE or WBE firm at the agreed rates and prices to be paid. Additionally, the certified MBE and WBE firm's scope of work, as detailed on their Schedule C must conform to their area of specialty included in the certification letter as described below.

Additionally, all fully completed and executed Schedule Cs must be submitted with the bid/proposal when due. Failure to submit the completed Schedule C(s) in accordance with this section will be cause for finding bid/proposal non-responsive and may result in rejection of bid/proposal.

C. Letters of Certification & Certification Determination

A copy of each proposed MBE and WBE firm's current letter of certification must be submitted with the bid/proposal as a complement to the Schedule A and C. All letters of certification must include a statement of the certified MBE/WBE firm's area of specialty.

In order to be designated as a certified Minority Business Enterprise (MBE) or as a Women Business Enterprise (WBE) in City Colleges of Chicago contracting activity a firm must be verified as such by agencies known and accepted by CCC.

Specifically, the following agencies confer the designation and are accepted by the Office of Contract Compliance:

- 1) The City of Chicago;
- 2) Cook County;
- 3) The State of IL—CMS ;
- 4) National Minority Supplier Development Council and its regional affiliates including the Chicago Minority Supplier Development Council and
- 5) Women Business Enterprise National Council and its regional partner organizations including the Women’s Business Development Center in Chicago and

Certifications will also be considered from conferring government agencies in other states and major metropolitan cities on a case by case basis.

D. Schedule C-2 & Joint Venture Agreements

If the bidder/proposer's MBE/WBE proposal includes the participation of certified MBE or WBE firms as a joint venture on any tier (either as the bidder/proposer or as a subcontractor), the bidder/proposer must provide a copy of the joint venture agreement, as a part of Schedule A submission.

In order to demonstrate the certified MBE or WBE partner's share in the ownership, control, management responsibilities, risks and profits of the joint venture, the MBE or WBE firm that is a party to the Joint Venture must complete the Schedule C-2.

Additionally, the joint venture agreement must complement the Schedule C-2 and include specific details related to: (1) contributions of capital and equipment (2) work responsibilities or other performance to be undertaken by the certified MBE/WBE firm; (3) the commitment of management, supervisory and operative personnel employed by the certified MBE/WBE to be dedicated to the performance of the contract. The joint venture agreement must also clearly define each partner's authority to contractually obligate the joint venture and each partner's authority to expend joint venture funds (e.g. check signing authority).

5.2 Correct Completion of Schedules

The MBE/WBE Compliance Plan must have all blank spaces on both of the Schedules applicable to the Contract correctly filled in.

Agreements between a Bidder/Proposer and a certified MBE and certified WBE in which the certified MBE/WBE promises not to provide subcontracting quotations to other Bidders/Proposers are prohibited.

5.3 **Deficient Compliance Plans**

Upon receipt of the Compliance Plan submitted with the bid/proposal, the Office of MBE/WBE Compliance will determine if the bid/proposal is responsive. A bid/proposal may be treated as non-responsive by reason of the determination that the Bidder/Proposer's response did not contain a sufficient level of certified MBE or WBE participation or an approved waiver request.

During the period between bid opening/proposal due date and contract award the MBE/WBE Plan will be evaluated by the Office of M/WBE Contract Compliance for the following:

- 1) MBE and WBE Performance of a commercially useful function
- 2) Analysis of industry standard for sub-contracting (if applicable)
- 3) Scope of services versus certification letter specialty area
- 4) Accurate levels of compliance
- 5) Due diligence efforts to support waiver request (if applicable)
- 6) Certification renewal status
- 7) MBE/WBE execution of Schedule C
- 8) Compliance history on previous contracts with CCC and its sister agencies

The Bidder/Proposer agrees to provide, upon request, earnest and prompt cooperation to the Office of M/WBE Contract Compliance in submitting to interviews that may be necessary, in allowing entry to places of business, in providing further documentation, or in soliciting the cooperation of a proposed certified MBE or WBE firm in providing such assistance.

Additionally, a bid/proposal may be treated as non-responsive by reason of the determination that the Bidder/Proposer was unresponsive or uncooperative when asked for further information relative to the bid/proposal, or that false statements were made in the Schedules.

SECTION 6: COUNTING MBE/WBE PARTICIPATION TOWARD CONTRACT GOALS

6.1 Only certified MBE and WBE participation shall be counted toward the MBE and WBE goals set in this Contract and applied as follows:

A. Direct Participation

An MBE or WBE firm should be used directly in the performance of the scope of services that the Bidder/Proposer is providing for the District. The MBE or WBE's total contract value can be credited towards the participation goals for direct participation.

B. Indirect Participation

In the event the Bidder/Proposer's specific scope of services does not provide an opportunity for direct subcontracting, the Bidder/Proposer must consider other ways to engage MBEs and WBEs to meet the contract participation goals.

The expenditures with MBE and WBE vendors that are being used in the Bidder/Proposer's overall business operations for goods or services that are ancillary to the CCC contract such as transportation, advertising, accounting, landscaping, office supply can be credited at 100%.

C. Commercially Useful Function (CUF)

A Bidder/Proposer may count toward its MBE and WBE goal only expenditures to certified firms that will perform a commercially useful function in the work of a contract. A firm is considered to perform a commercially useful function when it is responsible for a distinct element of work of a contract and carries out the responsibilities by actually performing, managing, and supervising the work involved using its own resources.

The Office of M/WBE Contract Compliance will use a variety of methods to determine whether or not an MBE or WBE is performing a CUF at any time (pre-award, during contract execution and/or during the contract close-out phase) including but not limited to:

- 1) Project site visits;
- 2) Documentation requests and/or
- 3) Interviews with MBE or WBE owners or employees

D. MBE/WBE Subletting

Consistent with normal industry practices, a certified MBE or WBE subcontractor may enter into further subcontracts. If a certified MBE/WBE contractor subcontracts a significantly greater portion of the work of the contract than would be expected on the basis of normal industry practices, the certified MBE or WBE shall be presumed not to be performing a commercially useful function. Evidence may be presented, in writing, to the Office of M/WBE Contract Compliance by the contractors involved to rebut this presumption.

E. Counting MBE/WBE Manufacturers

A Contractor may count toward its goals expenditures to certified MBE or WBE manufacturers (i.e., suppliers that produce goods from raw materials or substantially alters them before resale) at 100%.

F. Counting MBE/WBE Suppliers

A Contractor may count 100% of its expenditures with certified MBE or WBE suppliers toward its compliance goals provided that the supplier performs a commercially useful function in the supply chain process and is a regular dealer.

G. Counting Total Dollar Value Awarded To Certified MBEs/WBEs

The total dollar value of contract awarded to a certified MBE or WBE firm shall only be credited to one of the respective certification statuses. The Contractor employing the certified firm may choose the goal to which the contract value is applied—either MBE or WBE; not both.

Work done by one and the same subcontractor shall be considered, for the purpose of this principle, as work effectively under one subcontract only, in which the subcontractor may be counted toward only one of the goals, but not toward both.

H. MBE/WBE Controlled Firms

If the Bidder or Proposer is a certified MBE most of the total contract value can be counted toward the fulfillment of the MBE goal and similarly, if a WBE is the Bidder or Proposer, most of the total contract value can be counted toward the fulfillment of the WBE goal. However, MBE Bidders/Proposers must obtain a certified WBE subcontractor and a WBE Bidder/Proposer must obtain a certified MBE subcontractor to meet the respective goals.

Additionally, if a firm is certified as both an MBE and WBE, they can only use one of the certification statuses to fulfill one of the goals; not both.

MBE and WBE Bidder/Proposers must submit a Schedule C-1 which outlines their intent to subcontract any portion of their work they do not plan to self-perform.

Moreover, an MBE or WBE Bidder/Proposer must submit a Schedule A, Schedule C(s) for MBE or WBE subcontractors, and certification letters for themselves and any other MBE or WBE they may be utilizing on the contract.

I. Counting Total Dollar Value of Eligible Joint Ventures

A Contractor may count toward its MBE or WBE goal the portion of the total dollar value of a contract with an eligible joint venture equal to the percentage of the ownership and control of the MBE or WBE partner in the joint venture. A joint venture seeking to be credited for MBE participation may be formed among certified MBE and WBE firms, or between certified MBE and WBE firms and a non-MBE/WBE firm. A joint venture satisfies the eligibility standards of this Plan if the certified MBE or WBE participant of the joint venture:

1. Shares in the ownership, control, management responsibilities, risks and profits of the joint venture; and
2. Is responsible for a clearly defined portion of work to be performed in proportion to the certified MBE or WBE ownership percentage.

A Schedule C-2 and Joint Venture agreement must be submitted to support utilizing an MBE or WBE as a Joint-Venture participant.

6.2 A Contractor may count toward its MBE/WBE goal the following expenditures to certified firms that are not manufacturers or regular dealers:

A. Fees or Commissions For Providing Services

The fees or commissions charged for providing a bona fide service, such as professional, technical, consultant or managerial services and assistance in the procurement of essential personnel, facilities, equipment, materials or supplies required for performance of the contract, provided that the fee or commission is determined by the Office of M/WBE Contract Compliance to be reasonable and not excessive as compared with fees customarily allowed for similar services.

B. Fees For Delivering Materials and Supplies

The fees charged for delivery of materials and supplies required on a job site (but not the cost of the materials and supplies themselves) when the hauler, trucker, or delivery service is not also the manufacturer of or a regular dealer in the materials and supplies, provided that the fee is determined by the Office of M/WBE Contract Compliance to be reasonable and not excessive as compared with fees customarily allowed for similar services.

C. Fees or Commissions For Bonds or Insurance

The fees or commissions charged for providing any bonds or insurance specifically required for the performance of the contract, provided that the fee or commission is determined by the Office of M/WBE Contract Compliance to be reasonable and not excessive as compared with fees customarily allowed for similar services.

SECTION 7: CHANGES TO MBE/WBE PARTICIPATION PLAN

7.1 Termination of Scope of Work Not Permitted

After submitting executed MBE and/or WBE sub-agreements to the Office of M/WBE Contract Compliance, the Contractor shall thereafter neither terminate the sub-agreement, nor reduce the scope of the work to be performed by the certified MBE or WBE firm, nor decrease the price to the MBE or WBE firm, without in each instance receiving the prior written approval of the Office of M/WBE Contract Compliance.

7.2 **Substitutions**

If it becomes necessary to substitute an MBE and/or WBE to fulfill the Contractor's MBE and/or WBE commitments, the Office of M/WBE Contract Compliance must be given reasons justifying the release of prior specific MBE and/or WBE commitments established in the Contractor's bid/proposal in order to review the propriety of the proposed substitution.

A substitution of MBE or WBE firms cannot be made without prior approval from the Office of MBE/WBE Compliance. In addition to the explanation provide above, the approval process must include a revised Schedule A, a Schedule C for the replacement firm(s) and current certification letter(s).

The approval process should also include concurrence from the affected MBE or WBE received either proactively from the Prime Vendor or by the Office of MBE/WBE Compliance.

SECTION 8: WAIVERS of MBE and WBE GOALS

8.1 **Inability to Meet Participation Goals**

If a Bidder/Proposer is unable to identify certified MBE and WBE firms to perform sufficient work to fulfill the MBE or WBE percentage goals for a contract, the bid/proposal must include a Schedule D (written request for waiver).

Submission of the Schedule D is not an automatic approval of the requested waiver. The approval of the requested waiver will be based, in part by the supporting documentation demonstrating the Bidder/Proposer's inability to obtain sufficient certified MBE and WBE firms, notwithstanding good faith attempts to achieve such participation.

Examples of such good faith efforts may include, but are not limited to, the following:

- a) Attendance at the Pre-bid/proposal conference.
- b) The Bidder/Proposer's general affirmative action policies regarding the utilization of MBE and WBE firms, plus a description of the methods used to carry out those policies.
- c) Advertisement in trade association newsletters and minority-oriented and general circulation media for specific sub-bids/proposals.
- d) Timely notification of specific sub-bids/proposals to minority and women assistance agencies and associations.

- e) Description of direct negotiations with certified MBE and WBE firms for specific sub-bids/proposals, including:
- f) the name, address and telephone number of the certified MBE and WBE firms contacted;
- g) a description of the information provided to certified MBE and WBE firms regarding the portions of the work to be performed; and
- h) the reasons why additional certified MBE and WBE firms were not obtained in spite of negotiations.
- i) A statement of the efforts made to select portions of the work proposed to be performed by certified MBE and WBE firms (such as sub-supplier, transport, engineering, distribution, or any other roles contributing to production and delivery as specified in the Contract) in order to increase the likelihood of achieving such participation.
- j) A detailed statement of the reasons for the Bidder/Proposer's conclusion that each certified MBE and WBE contacted, were not qualified.
- k) Efforts made by the Bidder/Proposer to expand its search for certified MBE and/or WBE firms beyond usual geographic boundaries.
- l) General efforts made to assist MBE and WBE firms to overcome participation barriers.

8.2 **Unacceptable Basis for Waiver Request**

If the bidder/proposer does not meet the MBE/WBE goal, price alone shall not be an acceptable basis for which the bidder may reject a certified MBE/WBE sub-bid/proposal unless the bidder can show to the satisfaction of the Office of M/WBE Contract Compliance that no reasonable price can be obtained from a certified MBE/WBE.

A determination of reasonable price is based on such factors as the estimate for the work under a specific subcontract, the bidder's own estimate for the specific subcontract, and the average of the bona fide prices quoted for the specific subcontract. A bid from a certified MBE/WBE for a subcontract will be presumed to be unreasonable if the MBE/WBE price exceeds the average price quoted by more than 15 percent.

8.3 **Subsequent Waiver by Request of Contractor**

During the performance of a contract, a contractor may request a partial waiver from compliance with its original MBE or WBE proposal for the following reasons:

- a) Due to substantially changed circumstances the contractor is unable to meet the previously stated MBE or WBE goal(s);
- b) Despite every good faith effort on the part of the contractor, it is unable to meet the previously stated MBE or WBE goal(s)

8.4 **Waiver Initiated by City Colleges of Chicago**

The Chancellor or their designee may grant a waiver from MBE or WBE requirements for an individual contract upon a determination that there are insufficient certified MBEs or WBEs available to fulfill such requirements for that particular contract.

A determination by the Chancellor to waive MBE or WBE requirements for an individual contract must be stated in writing, and placed in the appropriate project file.

SECTION 9: REPORTING AND RECORD-KEEPING REQUIREMENTS

9.1 **Execution of Subcontract By Contractor**

The Contractor, within five (5) working days after Contract award, shall execute a formal subcontract or purchase order in compliance with the terms of the Contractor's bid/proposal and MBE and WBE assurances and should be submitted to the Office of MBE/WBE Compliance within three (3) business days if requested by the Office of MBE/WBE Compliance.

In addition, each subcontract between the Bidder/Proposers and any certified MBE or WBE firm performing work on the Contract shall include remedies for non-compliance with the commitment to MBE and WBE participation, including an agreement to pay damages to the certified MBE and WBE firms which were underutilized.

9.2 **Payments to MBE and WBES**

During the performance of the Contract, the Contractor shall file regular MBE and WBE payment reports, on the form entitled "Monthly and Quarterly Report of Payments to MBE and WBE Subcontractors."

Additionally, invoices and/or other documentation must be submitted to the Office of MBE/WBE Compliance within five (5) days upon request to support the utilization of MBEs and WBES.

9.3 **Maintenance of Relevant Records**

The Contractor shall maintain records of all relevant data with respect to the utilization of certified MBE and WBE firms, including without limitation payroll records, tax returns and records, and book of accounts, and retain such records for a period of at least three (3) years after final acceptance of the work. Full access to such records shall be granted to the Office of M/WBE Contract Compliance or its designee, on five (5) business days' notice in order to determine the Contractor's compliance with its MBE and WBE commitments and the status of any certified MBE or WBE firm performing any portion of the Contract.

SECTION 10: NON-COMPLIANCE WITH MBE and WBE PARTICIPATION GOALS

10.1 **Compliance Audits**

Whenever the Office of M/WBE Contract Compliance believes that the contractor or any of its subcontractors may not be operating in compliance with this Plan, it shall conduct an appropriate investigation.

10.2 **Notification regarding Non-compliance**

Upon indications of inadequate compliance or non-compliance, the Office of M/WBE Contract Compliance will notify the contractor and the subcontractor, in writing.

The Office of M/WBE Contract Compliance, the contractor or subcontractor may request an opportunity to meet to discuss MBE/WBE contract compliance. The contractor or subcontractor shall make such request to the Office of M/WBE Contract Compliance in writing within five (5) working days of receiving notice. The meeting shall be scheduled by the Office of M/WBE Contract Compliance at a reasonable date, time and place, with notice to contractor and subcontractor.

10.3 **Determination of non-compliance**

If after notification and subsequent discussions, the Office of M/WBE Contract Compliance determines that a contractor is not meeting or has not met applicable MBE or WBE goals and is not demonstrating or has not demonstrated every good faith to meet the goals, the contractor shall be subject to suitable sanctions as set forth in paragraph 10.3 A (Sanctions) below.

10.4 **MBE and WBE Remedies For Prime Vendor Non-Compliance**

The unexcused reduction of certified MBE or WBE participation in connection with the Contract including any modification thereof, shall entitle the affected certified MBE and WBE firms to payments pursuant to such agreement. Such provisions shall include an undertaking by the Contractor to submit any dispute concerning such damages to binding arbitration by an independent arbitrator, other than the City Colleges of Chicago, with reasonable expenses, including attorneys' fees, being

recoverable by a prevailing certified MBE or WBE. Nothing herein shall be construed to limit the rights of and remedies available to the City Colleges of Chicago.

10.5 **Sanctions for Non-compliance**

A. Terms and Conditions of Plan Applying To All Contracts

The MBE/WBE requirements of these Terms and Conditions shall be incorporated into all of the contracts between City Colleges and its vendors. In addition to any other remedies City Colleges may have, the following apply:

Where the Office of M/WBE Contract Compliance determines the conditions set forth in Section 10.3 above to exist during the term of the contract, the Office of M/WBE Contract Compliance may recommend that the Board suspend or terminate the contract, in whole or in part, and may also declare the contractor ineligible for future contracts for a period of two (2) years.

The Contractor shall be liable to the City Colleges for any consequential damages incurred as a result of suspension or termination of the contract including damages arising either from delay or increased price in securing performance of the work by other contractors, attorney's fees and court cost.

Where the Office of M/WBE Contract Compliance determines the conditions set forth in paragraph 10.3 above to exist at the conclusion of a contract, the Office of M/WBE Contract Compliance may declare the contractor ineligible for future contracts for a period of two (2) years.

If a Contractor has provided false or misleading information in connection with certification, bid or proposal documents, compliance progress reports, or any other aspect of this Plan, the Office of M/WBE Contract Compliance may impose any of the sanction described in paragraph 10.5 (Sanctions) and all its subsections.

If there is a bona fide payment dispute between a Contractor and its certified M/WBE subcontractor for work performed under the Plan, the City Colleges may withhold payment of the disputed amount from the Contractor and place such funds in an interest bearing account pending resolution of the dispute, by judicial or other means.

B. Contractor's Right To Appeal Decision

A contractor shall have the right to appeal a decision from the Office of M/WBE Contract Compliance declaring it ineligible for future City College contracts. Such appeal shall be made to the Chancellor or his/her designee.

C. Sanctions Available To The City Colleges of Chicago

The failure of City Colleges to impose any sanction it may have under this Section shall not be deemed a waiver of its right to impose such a sanction for subsequent violations. The listing of sanctions available to City Colleges in paragraph 10.5 A shall not be deemed to exclude any other sanctions or remedies available at law or in equity.

NOTE: The bidder/proposer shall, in determining the manner of MBE/WBE participation, must first consider involvement with MBE/WBE firms as joint venture partners, direct subcontractors, and suppliers of goods and services directly related to the performance of this contract. A service not directly related to the scope of services, but utilized during the bidder/proposer's normal course of business is considered indirect.

Additionally, all MBE/WBE firms included in this plan must be currently certified as such by at least one of the following agencies acknowledged by the City Colleges of Chicago (City of Chicago, Cook County, State of IL, Chicago Minority Supplier Development Council and regional affiliates and/or the Women's Business Development Center and its regional affiliates).

Project Name& Number _____

In connection with the above referenced project I HEREBY DECLARE AND AFFIRM that I am a duly authorized representative of:

(Company Name)

(Printed Name and Signature of bidder/proposer's authorized representative)

located at: _____
(Address, City & Zip)

and I can reached at _____ or via email at _____
(phone number)

The certified MBE and WBE participants on this project include (attach additional sheets as necessary):

Name of MBE/WBE Vendor:	Street Address:	City, State & Zip:
Contact Name:	Contact Title:	Contact Phone:
Contact Email:	MBE <input type="checkbox"/> WBE <input type="checkbox"/> Supplier <input type="checkbox"/> (100% credit)	Certification Agencies:
Contract \$:	Contract %:	Indirect Participation <input type="checkbox"/> Direct Participation <input type="checkbox"/>
Description of Services:		

SCHEDULE A
MBE / WBE Goal Implementation Plan

Name of MBE/WBE Vendor:	Street Address:	City, State & Zip:
Contact Name:	Contact Title:	Contact Phone:
Contact Email:	MBE <input type="checkbox"/> Supplier <input type="checkbox"/>	WBE <input type="checkbox"/> Certification Agencies:
Contract \$:	Contract %:	Indirect Participation <input type="checkbox"/> Direct Participation <input type="checkbox"/>
Description of Services:		

Name of MBE/WBE Vendor:	Street Address:	City, State & Zip:
Contact Name:	Contact Title:	Contact Phone:
Contact Email:	MBE <input type="checkbox"/> Supplier <input type="checkbox"/>	WBE <input type="checkbox"/> Certification Agencies:
Contract \$:	Contract %:	Indirect Participation <input type="checkbox"/> Direct Participation <input type="checkbox"/>
Description of Services:		

Name of MBE/WBE Vendor:	Street Address:	City, State & Zip:
Contact Name:	Contact Title:	Contact Phone:
Contact Email:	MBE <input type="checkbox"/> Supplier <input type="checkbox"/>	WBE <input type="checkbox"/> Certification Agencies:
Contract \$:	Contract %:	Indirect Participation <input type="checkbox"/> Direct Participation <input type="checkbox"/>
Description of Services:		

Total MBE Direct	\$	%	Total MBE Indirect	\$	%
Total WBE Direct	\$	%	Total WBE Indirect	\$	%

Bidder/Proposer’s M/WBE Liaison (if other than the submitter of the Schedule):

(Please print—Name, phone & email address)

Affidavit of Bidder/Proposer:

I affirm that I have personally reviewed the material and facts set forth herein describing the Bidder/Proposer’s plan to achieve the City Colleges of Chicago’s MBE/WBE goals and that to the best of my knowledge the information contained herein is true and no material facts have been omitted. Additionally I understand that material misrepresentation will be grounds for contract termination if the Bidder/Proposer is so selected and will be subject to all laws relative to false statements.

On this _____ day of _____, 20____, the

(Title of Affiant)

(Name of Company)

appeared before me to acknowledge the execution of the terms contained herein.

IN WITNESS WHEREOF, I HEREUNTO SET MY HAND AND OFFICIAL SEAL.

(Signature of Notary Public)

My Commission Expires: _____

(Seal)

SCHEDULE C


Letter of Intent to Perform as Subcontractor,
Subconsultant and/or Material Supplier

Project Name and Number: _____

From: _____ MBE WBE
(Name of Certified Firm/ MBE or WBE)

To: _____
(Name of Bidder/Proposer)

The undersigned intends to perform work in connection with the above-referenced project as (check all that apply):

- a Sole Proprietor a Corporation
 a Partnership a Joint Venture  *If proposing a Joint Venture with an MBE or WBE, submit Schedule C-2*
 a supplier a Consultant a Sub-contractor

The undersigned is prepared to provide the following described service(s) and or goods in connection with the above-named project:

The above described service(s) or goods from the above-named certified MBE or WBE are offered for the following price, with terms of payment as stipulated in the Contract Documents, provided below:

Price \$ _____ % of Bidder/Proposer contract _____

Terms of Payment: _____

If more space is needed to add additional scopes of services or more fully describe the certified MBE or WBE firm's proposed scope of work and/or payment schedule, please attach additional sheet(s).

Sub-Contracting Levels

If the MBE or WBE firm **will not** be sub-contracting any of the work described in this Schedule, a zero (0) **must** be filled in each blank below in order for the form to be considered complete.

_____ % of the dollar value of the certified MBE/WBE subcontract will be sublet to non-MBE contractors.

_____ % of the dollar value of the certified MBE/WBE subcontract to other certified MBE/WBE contractors.

NOTE: If more than 10% percent of the value of the certified MBE or WBE subcontractor's scope of work will be sublet, a brief explanation and description of the work to be sublet **must** be provided on a separate sheet on the firm's letterhead.



SCHEDULE C

Letter of Intent to Perform as Subcontractor,
Subconsultant and/or Material Supplier

The undersigned hereby affirms:

- The **current** MBE or WBE status of the undersigned is confirmed by the attached Letter(s) of Certification.
- A formal agreement for the above work will be executed with the Prime Contractor, contingent upon their receipt of a contract award notification from the City Colleges of Chicago, within five (5) working days of said notice.
- The undersigned understands that any misrepresentation of the information contained herein may be grounds for terminating any resulting subcontracts and could result in the pursuit of action relative to local, state and/or federal laws regarding false statements.

By: _____
Print Name of MBE or WBE Firm

Printed Name & Signature of MBE or WBE's Authorized Representative Date

On this _____ day of _____, 20____, the

(Title of Affiant) (Name of Company)

appeared before me to acknowledge the execution of the terms contained herein.

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 to Perform as an MBE or WBE
Prime Contractor, Consultant and/or Material

If an MBE or WBE will perform as a Prime Contractor, the firm must certify the portion of work they intend to self-perform with their own resources and accurately indicate subcontracting levels. This form must be completed in its entirety.

Project Name and Number: _____

MBE or WBE Bidder or Proposer: _____ MBE WBE
(Name of Certified Firm/ MBE or WBE)

The undersigned intends to perform work in connection with the above-referenced project as (check one):

- a Sole Proprietor a Corporation
 a Partnership a Joint Venture
 a supplier a Consultant a Sub-contractor



→ ***If proposing a Joint Venture as an MBE or WBE in addition to the Schedule A, a corresponding Schedule C-2 must be submitted.***

Self-Performance Levels

_____ % of the dollar value the MBE or WBE firm named above will self-perform.

Sub-Contracting Levels

_____ % of the dollar value of the certified MBE/WBE subcontract will be sublet to ***non-MBE contractors***.

_____ % of the dollar value of the certified MBE/WBE subcontract to other certified MBE/WBE contractors.

The undersigned hereby affirms:

- The **current** MBE or WBE status of the above named firm is confirmed by the attached Letter(s) of certification.
- The undersigned understands that any misrepresentation of the information contained herein may be grounds for terminating any resulting subcontracts and could result in the pursuit of action relative to local, state and/or federal laws regarding false statements.

By: _____
Print Name of MBE or WBE Firm

Printed Name & Signature of MBE or WBE's Authorized Representative Date

On this _____ day of _____, 20____, the

(Title of Affiant) (Name of Company)

appeared before me to acknowledge the execution of the terms contained herein.

IN WITNESS WHEREOF, I HEREUNTO SET MY HAND AND OFFICIAL SEAL.

(Signature of Notary Public)

My Commission Expires: _____

(Seal)



SCHEDULE C-2

Letter of Intent to Perform as an MBE or WBE
Joint Venture Partner

Please complete this form in its entirety with the specific information requested (consistent referral to the joint venture agreement will be unacceptable). A copy of the Joint Venture agreement and the letters of certification for each MBE or WBE Joint Venture partner must be attached.

Project Name and Number: _____

A. Joint Venture Name: _____

Address: _____

Phone: _____

Contact: _____

B. MBE or WBE Joint Venture Partner: _____

MBE WBE Certifying Agency(s) _____

Address: _____

Phone: _____

Contact: _____

C. Non-MBE/WBE Joint Venture Partner: _____

Address: _____

Phone: _____

Contact: _____

D. Ownership of Joint Venture

	MBE/WBE Partner %	Non-MBE/WBE %
MBE WBE ownership of the joint-venture		
Profit		
Loss		
Capital contribution		
Capital contribution	\$	\$
Equipment contribution	Attach a list of equipment being provided by each Joint Venture partner on a separate sheet of paper.	
Other ownership interests	Attach a list of ownership interests of each JV partner that may restrict or limit the participation in the JV being formed for this project.	

SCHEDULE C-2

Letter of Intent to Perform as an MBE or WBE
Joint Venture Partner

E. Control of Joint Venture

Indicate which Joint Venture partner is responsible for the activities noted below and notate if there are any limitations or restrictions.

Activity	Name of responsible Joint Venture Partner	Comments (restrictions or limitations)
JV check signing		
Authority to enter contracts on behalf of the JV		
Obligate the JV for insurance, bonding and/or other financial commitments		
Accounting		
Major purchases		
Negotiation and signing labor agreements		
Supervise field operations		
Estimating		
Engineering		
Hire JV personnel		
Submit JV payrolls		

F. Joint Venture personnel

Indicate the approximate number of employees needed to perform the work of the joint venture and the approximate number of employees that will be contributed by each partner and if any will be hired directly by the JV:

Trade	Non-M/WBE JV Partner (#)	MBE/WBE JV Partner (#)	Joint Venture (indicate if new hire or if employed by which partner)



SCHEDULE D—WAIVER REQUEST

NOTE: Please refer to the attached instructions regarding the Good Faith Efforts required to support a waiver request.

To: City Colleges of Chicago Office of M/WBE Contract Compliance

Re: **Request for waiver from the City Colleges of Chicago MBE/WBE Contract Participation Plan**

The undersigned respectfully requests a waiver of the City Colleges of Chicago’s M/WBE Contract Participation Plan as detailed below. The request is made with the express understanding that the approval is not automatic and the circumstances and supporting documentation will be reviewed accordingly.

Project Name & Number: _____

Type of waiver: Full MBE (25%) Partial MBE (percentage to be waived) _____%

 Full WBE (7 %) Partial WBE (percentage to be waived) _____%

Reason for waiver:

- Sole Source Manufacturer
- Distributor – No Subcontractors
- Limited subcontracting opportunities
- Other _____

Submitted by: _____

Name and Title of authorized representative

Name of Bidder/Proposer Company

For CCC use only:

Granted: Full MBE Partial MBE _____% Full WBE Partial WBE _____%

Denied: Insufficient supporting documentation Sufficient pool of direct M/WBE vendors

User Department concurrence (for scope issues): _____

CCO initials/date: _____ Compliance Director/date _____

Instructions regarding Good Faith Efforts for supporting a waiver request:

In addition to completing the Schedule D document, the Bidder/Proposer must provide a detailed narrative citing the reason they are seeking a waiver of the MBE/WBE Plan. The narrative must include reference to and attachments (where appropriate) of the following:

- a) Attendance at the Pre-bid/proposal conference.
- b) The Bidder/Proposer's supplier diversity policies regarding the utilization of MBE and WBE firms, plus a description of the procedures used to carry out those policies.
- c) Advertisement in trade association newsletters and minority-oriented and general circulation media for specific sub-bids/proposals.
- d) Timely notification of available sub-bids/proposals to minority and women assistance agencies and associations.
- e) Description of direct negotiations with certified MBE and WBE firms for specific sub-bids/proposals, including:
 - o Names, addresses and telephone numbers of certified MBE and WBE firms contacted;
 - o A description of the information provided to certified MBE and WBE firms regarding the portions of the work to be performed; and
 - o The reasons why additional certified MBE and WBE firms were not obtained in spite of negotiations.
- f) A description of the efforts made to select portions of the work proposed to be performed by certified MBE and WBE firms (such as sub-supplier, transport, engineering, distribution, or any other roles contributing to production and delivery as specified in the Contract) in order to increase the likelihood of achieving such participation.
- g) A detailed statement of the reasons for the Bidder/Proposer's conclusion that each certified MBE and WBE contacted, were not qualified.
- h) Efforts made by the Bidder/Proposer to expand its search for certified MBE and/or WBE firms beyond usual geographic boundaries.
- i) General efforts made to assist MBE and WBE firms to overcome barriers in the marketplace.

**ETHICS ORIENTATION
CONTRACTORS/VENDORS**

12/08

CITY COLLEGES OF CHICAGO ETHICS ORIENTATION CONTRACTORS/VENDORS

INTRODUCTION/GENERAL PRINCIPLES

As a City Colleges of Chicago (CCC) vendor/contract worker you are subject to the City Colleges of Chicago Ethics Policy. The purpose of this policy is to promote public confidence in the integrity of CCC by establishing consistent standards for the conduct of CCC business by Board members and employees.

The CCC Ethics Policy applies to full-time, part-time, temporary and seasonal employees, as well as to appointees to the Board of Trustees and contract workers.

As a CCC vendor/contract worker, you are expected to work on behalf of CCC in a manner that always complies with laws, rules, regulations and policies. By doing so and by always acting with honesty and integrity you are allowing established values to guide your actions and decisions. That is what it means to follow the principles of ethics.

The information that follows is intended to make you aware of selected elements of the CCC Ethics Policy and other laws and rules that relate to ethical conduct. If you have questions you may contact the CCC Procurement Office.

ETHICS OFFICER

The City Colleges Ethics Officer is designated by the Chancellor to provide guidance to the officials and employees of the District concerning the interpretation and compliance with the provisions of the City Colleges of Chicago Ethics Policy. The Ethics Officer shall also perform such other duties as may be delegated by the City Colleges of Chicago Board.

ANNUAL ETHICS TRAINING

All CCC employees are required to complete at least annually an ethics training program conducted by the City Colleges of Chicago. This requirement applies to any person employed full-time, part-time, or pursuant to a contract, as well as to any appointee – i.e. Board members. The ethics training reflects aspects of the City Colleges of Chicago Ethics Policy. The City Colleges Ethics Training Administrator will notify you and provide instructions to you concerning when and how to participate in the annual ethics training.

EXCERPTS FROM CCC ETHICS POLICY

GIFT BAN

In many instances, it is unlawful for a CCC employee to accept gifts that are offered in connection with his or her job. An employee cannot solicit or accept a gift from certain individuals or entities that are defined by law as a "prohibited source." Current vendors, as well as vendors interested in doing work for CCC are considered prohibited sources.

As a contractor or vendor doing business with the City Colleges of Chicago you are required to comply with the Gift Ban prohibition of the CCC Ethics Policy. Under the Gift Ban Section of the Policy (Section 1aa) current vendors, as well as vendors interested in doing work for CCC are considered prohibited sources and thereby precluded from providing gifts to CCC employees except as provided in the CCC Policy at Section 4-2(a-1). If you are in doubt about a gift, contact your Ethics Officer and read the City Colleges of Chicago Ethics Policy on Gift Ban. The City Colleges of Chicago Ethics Policy can be found at www.ccc.edu/departments/pages/ethics.aspx.

FIDUCIARY RESPONSIBILITY

All vendor/contract workers, Board members and student officers of the District owe fiduciary responsibility to the Board, District and residents of the District. Fiduciary responsibility is defined as a relationship imposed by law where someone has voluntarily agreed to act in the capacity of a "caretaker" of another's rights, assets and/or well being. The fiduciary owes an obligation to carry out the responsibilities with the utmost degree of "good faith, honesty, integrity, loyalty and undivided service of the beneficiaries' interest."

USE OF DISTRICT PROPERTY

CCC full-time, part-time, temporary and seasonal employees, as well as appointees to the Board of Trustees and contract workers shall not engage in or permit unauthorized use of District property.

POLITICAL ACTIVITY

No person who has done business with the City Colleges of Chicago within the preceding four years or is seeking to do business with the City Colleges of Chicago shall make contributions in an aggregate amount exceeding \$1500.00: (i) to any candidate for city office during a single candidacy; or (ii) to an elected official of the government of the city during any reporting year of his term; or (iii) any official or employee of the City Colleges of Chicago who is seeking election to any other office.

PENALTIES

Any contractor doing business with City Colleges of Chicago found to have violated the City Colleges of Chicago Ethics Policy, may be barred from doing business with City Colleges of Chicago, along with any other penalty provided for in this Policy.

CITY COLLEGES OF CHICAGO ETHICS POLICY

All vendor/contractors workers are required to read and will be held accountable to the City Colleges of Chicago Ethics Policy. The City Colleges of Chicago Ethics Policy can be found at www.ccc.edu/departments/pages/ethics.aspx.

All vendor/contract workers are required to sign the attached acknowledgment and return it to the Procurement Office. The executed acknowledgment will be on file in the Procurement Office.

VENDOR/CONTRACTOR ACKNOWLEDGEMENT

I affirm that I have received the above Ethics Orientation Training for Contractors/Vendors. I further affirm that I will read the full text of the City Colleges of Chicago Ethics Policy and be available for yearly ethics training.

FIRM NAME

SUBMITTED BY

TITLE

Contact Information for the City Colleges of Chicago Ethics Office

Telephone: 312/553-2925

Email: ethicsoffice@ccc.edu

Web Page: www.ccc.edu/departments/pages/ethics.aspx.

**IRS W-9
Form**

Request for Taxpayer Identification Number and Certification

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

Print or type See Specific Instructions on page 2.	1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.	
	2 Business name/disregarded entity name, if different from above	
	3 Check appropriate box for federal tax classification; check only one of the following seven boxes: <input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____ Note. For a single-member LLC that is disregarded, do not check LLC; check the appropriate box in the line above for the tax classification of the single-member owner. <input type="checkbox"/> Other (see instructions) ▶ _____	4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____ <i>(Applies to accounts maintained outside the U.S.)</i>
	5 Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
	6 City, state, and ZIP code	
	7 List account number(s) here (optional)	

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Note. If the account is in more than one name, see the instructions for line 1 and the chart on page 4 for guidelines on whose number to enter.

Social security number									
				-			-		
or									
Employer identification number									
				-					

Part II Certification

Under penalties of perjury, I certify that:

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

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.

Sign Here	Signature of U.S. person ▶	Date ▶
------------------	----------------------------	--------

General Instructions

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

Future developments. Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at www.irs.gov/fw9.

Purpose of Form

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

- Form 1099-INT (interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)

- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

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

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding? on page 2.

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting?* on page 2 for further information.

Economic Disclosure Statment

**INSTRUCTIONS FOR COMPLETING
CITY COLLEGES OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT
AND AFFIDAVIT**

Community College District No. 508 ("CCC") requires disclosure of the information requested in this Economic Disclosure Statement and Affidavit ("EDS") before any CCC department or CCC Board action regarding the matter that is the subject of this EDS. Please fully complete each statement, with all information current as of the date this EDS is signed. If a question is not applicable, answer with "N.A." An incomplete EDS will be returned and any CCC action will be delayed.

Please print or type all responses clearly and legibly. Add additional pages if needed, being careful to identify the portion of the EDS to which each additional page refers.

For purposes of the EDS:

"Applicant" means any entity or person making an application to CCC for action requiring CCC or CCC Board approval including bids, solicitations and other contract and lease proposals.

"Disclosing Party" means any entity or person submitting an EDS. If the Disclosing Party is participating in a matter in more than one capacity, please indicate each such capacity in Section I.F. of the EDS.

"Entity" or **"Legal Entity"** means a legal entity (for example, a corporation, partnership, joint venture, limited liability company or trust).

"Person" means a human being.

WHO MUST SUBMIT AN EDS:

An EDS must be submitted by Persons or Entities that are:

1. Applicants: An Applicant must always file this EDS. If the Applicant is a Legal Entity, state the full name of that Legal Entity. If the Applicant is a Person acting on his/her own behalf, state his/her name.
2. Entities holding an interest in the Applicant: Whenever a Legal Entity has a beneficial interest (i.e. direct or indirect ownership) of more than 7.5% in the Applicant, each such Legal Entity must file a separate EDS on its own behalf; and
3. Controlling entities: Whenever a Legal Entity directly or indirectly controls the Applicant, each such controlling Legal Entity must file a separate EDS on its own behalf.

CITY COLLEGES OF CHICAGO
Community College District No. 508 ("CCC")
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:** _____ **Email:** _____

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):

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

- | | |
|---|--|
| <input type="checkbox"/> Individual | <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 and complete 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, that 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 whether held in its or their own name or through intermediaries or nominees. **If none, state "None."**

NOTE: CCC may require any such additional information from any applicant which is reasonably intended to achieve full or additional disclosure of ownership.

Name	Business Address	Percentage Interest in the Disclosing Party

(Add sheets if necessary)

SECTION III -- COMPLIANCE WITH CCC ETHICS POLICY

The CCC Ethics Policy imposes certain duties and obligations on persons or entities seeking CCC contracts, work, business, or transactions. The full text of CCC's Ethics Policy and a training program is available on line at http://www.ccc.edu/files/Ethics_Policy.pdf and may also be obtained from CCC Ethics Office at 226 W. Jackson Blvd, 12th Floor, Chicago, Illinois, 60606-6998.

By signing this EDS, the Disclosing Party certifies that it and its officers, agents and employees have not by action or omission, breached the CCC Ethics Policy or induced, caused to result in or caused a breach of CCC Ethics Policy by a CCC officer, contractor, agent or employee and will not do so.

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

On the next page, the Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, or consultant whom the Disclosing Party has retained or expects to retain in connection with the Matter and any other person who will be paid a fee for communicating with CCC employees of officials when such communications are intended to influence the issuance of a contract or lease, 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 other than Lobbyists 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 CCC whether disclosure is required or make the disclosure. (Add sheets if necessary)

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)
---	---------------------	---	--

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

Substantial owners of business entities that contract with CCC 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

All of the Contractor's Substantial Owners who directly or indirectly owns 10% or more of the Contractor must remain in compliance with any such child support obligations (1) throughout the term of the contract and any extensions thereof; or (2) until the performance of the contract is completed, as applicable. Failure of Contractor's Substantial Owners to remain in compliance with their child support obligations in the manner set forth in either 1 or 2 constitutes an event of default.

B. CERTAIN OFFENSES INVOLVING CCC AND SISTER AGENCIES

1. Neither the Disclosing Party nor any Controlling Person (as defined below) of the Disclosing Party has ever been convicted or in custody, under parole or under any other non-custodial supervision resulting from a conviction in a court of any jurisdiction for the commission of a felony of any kind, or of a criminal offense of whatever degree, involving;
 - (a) bribery or attempted bribery, or its equivalent under any local, state or federal law, of any public officer or employee of the CCC or of any Sister Agency (as defined below); or
 - (b) theft, fraud, forgery, perjury, dishonesty or deceit, or attempted theft, fraud, forgery, perjury, dishonesty or deceit, or its equivalent under any local, state or federal law, against the CCC or any Sister Agency; or
 - (c) conspiring to engage in any of the acts set forth in items (a) or (b) of this Section V.B.1
2. Neither the Disclosing Party nor any Controlling Person of the Disclosing Party has made in any civil or criminal proceeding an admission of guilt of any of the conduct set forth in items (a) through (c), inclusive, of Section V.B.1 above, under circumstances where such admission of guilt is a matter of record but has not resulted in criminal prosecution for such conduct.
3. Neither the Disclosing Party nor any Controlling Person of the Disclosing Party is charged with or

indicted for any felony or criminal offense set forth in items (a) through (c), inclusive, of Section V.B.1 above.

As used in this Section V.B, "**Controlling Person**" means any person who (1) is an officer, director, limited liability company manager, managing member, partner, general partner or limited partner of any business entity; or (2) owns, directly or indirectly through one or more intermediate ownership entities, more than 7.5% of the ownership interest in any business entity; or (3) controls, directly or indirectly through one or more intermediate ownership entities, the day-to-day management of any business 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 under this section, using substantially the same management, ownership or principals as the ineligible entity.

As used in this Section V.B., "**Sister Agency**" means (1) the Board of Education of the City of Chicago; (2) Chicago Park District; (3) Chicago Transit Authority; (4) the City of Chicago; (5) Chicago Housing Authority; or (6) the Public Building Commission of Chicago.

C. 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 C.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 federal government, any state, or any other unit of local government.
2. The certifications in subparts 3, 4 and 5 of this Section V.C., 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 CCC, 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**").

3. 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 CCC, 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.

4. 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.

5. Neither the Disclosing Party, Affiliated Entity or Applicable Party 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.

6. The Disclosing Party understands and shall comply with all the applicable rules and regulations of the Board of Trustees of CCC now in effect or hereafter adopted by the Board.

7. If the Disclosing Party is unable to certify to any of the above statements in Parts V.B. (Certain Offenses

Involving CCC and Sister Agencies) or V.C. (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.

D. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

For purposes of this Part D, under the Municipal Code of Chicago (“CMC”) 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 CMC 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 CMC.

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 CMC. 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 CMC. 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 CCC.

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 CMC) is a predatory lender within the meaning of Chapter 2-32 of the CMC, 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.

E. CERTIFICATION REGARDING INTEREST IN CCC BUSINESS

Any words or terms that are defined in CCC Ethics Policy have the same meanings when used in this Part E.

1. In accordance with CCC Ethics Policy: To the best of your knowledge after diligent inquiry does any Board Member, official or employee of CCC have a **"special 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 E.1., proceed to Items E.2. and E.3. If you checked "No" to Item

E.1., proceed to E.4.

- 2. Unless sold pursuant to a process of competitive bidding following public notice, no employee or Board member shall have a financial interest in the purchase of any property that belongs to the Board. Before participating in the competitive process, the employee or Board member shall disclose his financial interest.

Does the Matter involve a CCC Property Sale? Yes No

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

Name	Business Address	Nature of Interest

- 4. No employee or spouse of any employee, or entity in which an employee or his or her spouse has a financial interest, has applied for, solicited, accepted or received a loan of any amount from the Disclosing Party, any Applicable Party or any Affiliated Entity; provided, however, that nothing in this section prohibits application for, solicitation for, acceptance of or receipt of a loan from a financial lending institution, if the loan is negotiated at arm's length and is made at a market rate in the ordinary course of the lender's business.

Yes No

- 5. If you checked "Yes" to Item E.4., provide the names and addresses of the CCC officials or employees who applied for, solicited, accepted or received such loan:

Name	Business Address	Amount of loan

- 6. The Disclosing Party further certifies that no prohibited financial or special interest in the Matter will be acquired by any CCC official or employee.

SECTION VI -- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

A. The Disclosing Party understands and agrees that:

- 1. By completing and filing this EDS, the Disclosing Party acknowledges, on behalf of itself and the persons or entities named in this EDS, that the CCC may investigate the creditworthiness of and the information provided about some or all of the persons or entities named in this EDS.
- 2. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the CCC in connection with the Matter, whether procurement or other CCC action, and are material inducements to the CCCs 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.
- 3. If CCC 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 CCC 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 CCC..

4. CCC may make this document available to the public on its Internet site and/or upon 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 CCC in connection with the public release of information contained in this EDS and also authorizes CCC to verify the accuracy of any information submitted in this EDS.
5. 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 CCC takes action on the Matter. If the Matter is a contract or other agreement being entered into by the CCC's Board of Trustees, the Disclosing Party must also update this EDS as the contract or agreement requires.

B. The Disclosing Party represents and warrants that:

1. 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 required by this Disclosure Affidavit.

For purposes of the certifications in VI.B.2. and B.3., 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 CCC, using substantially the same management, ownership, or principals as the ineligible entity.

2. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its affiliates delinquent in paying any fine, fee, tax or other charge owed to CCC or a Sister Agency (as defined in Section V,B). This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.
3. 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.
4. 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 contained in this Disclosure Affidavit and will not, without the prior written consent of the CCC, 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 VI.B.2., B.3. or B.4. 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 CCC.

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)

State of _____

County of _____

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

_____ Notary Public.

Commission expires: _____

EXHIBIT A

Technical Interrogatories

Please respond to the groups and questions below by indicating Y-Yes or N-No (for each bullet point) and providing appropriate details in the table. The table needs to be completed in the format provided. You can expand the space for details and additionally reference attachments if you need more space.

Please note that CCC is only interested in SAAS (Software-as-a-Service/Cloud-based) solutions.

Group Question ID	Category	Sub-Category	SAAS (Software as a Service)	Y/N	Please provide details as appropriate
1	Application	Reporting	<ul style="list-style-type: none"> List and describe all reports included in the base application. Please differentiate between transactional versus analytical reports How do you manage reporting access? 		
2	Application	Reporting Tools	<ul style="list-style-type: none"> Do you provide an ad-hoc reporting tool? Is access to this tool limited by user groups or other method? Do you provide real-time reporting? Is a separate reporting environment available for high-volume analytics? Is this required? What online and offline file formats are supported (pdf, MS-Word/Excel, XML, etc...) 		
3	Application	Data Extract/Import	<ul style="list-style-type: none"> Do you provide a tool to extract or import information from/to your system? If so, what formats are supported (pdf, MS-Word/Excel, XML, etc...) Are there any system constraints or limits to the amount of information that can be imported/extracted? Is there information that cannot be imported/extracted? 		
4	Application	Access to Data Model	<ul style="list-style-type: none"> Do you provide a data model (diagram) and/or data dictionary for your application? What options are available for CCC to access your system data? Do you allow backend database or system updates or is it view-only? 		

City Colleges of Chicago – Exhibit A – Technical Interrogatories Matrix for Budget Solution RFP

Group Question ID	Category	Sub-Category	SAAS (Software as a Service)	Y/N	Please provide details as appropriate
			<ul style="list-style-type: none"> Do you provide delivered APIs to access information? Please describe their functionality. Do you provide tools to allow CCC to “mass update” high volume information as appropriate? 		
5	Application	Integration/Interface	<ul style="list-style-type: none"> List integration and/or interfaces delivered with the standard system. What information do you need CCC to provide to your application (required versus optional)? How frequently? What formats are acceptable? Describe any delivered integrations available with 3rd parties (e.g., PeopleSoft)? What forms of secure transmission do you support: sftp? ssl? ftp with pgp? Other? What integration options are available (real-time services, batch, near real-time, etc...)? 		
6	Application	Configuration/Customization/Branding	<ul style="list-style-type: none"> For an average client, what is the percentage of customizations versus configuration? Give an example of a common customization or a situation where a customization is required (i.e., something that cannot be configured as delivered) Provide two examples of “complex” customizations. To what extent can CCC “brand” the application (differentiate between customization and configuration)? What skill sets are required to configure the application (how much training is required and what training/support materials are delivered)? Who performs the customizations (CCC and/or Vendor)? If CCC is allowed to customize, what is allowable to avoid violating the licensing agreement/warranty? What programming expertise is required to customize the application? Describe all the areas that can be “configured” (e.g., setup, transaction processes, security, workflow, online validations, etc...) 		
7	Application	Workflow/Approvals/Proxy	<ul style="list-style-type: none"> Does your application allow configurable workflow? 		

City Colleges of Chicago – Exhibit A – Technical Interrogatories Matrix for Budget Solution RFP

Group Question ID	Category	Sub-Category	SAAS (Software as a Service)	Y/N	Please provide details as appropriate
			<ul style="list-style-type: none"> Does your application allow workflow approvals (multi-levels)? How does your application handle workflow proxy? How does your application handle escalations? 		
8	Application	Transaction Audits	<ul style="list-style-type: none"> What types of transaction audits are available with the standard system? What information is not audited? Do the delivered transaction audits affect system performance? Is the audit data readily available for access? To whom? At what point do you purge the audit information? 		
9	Application	Data Integrity/Validations	<ul style="list-style-type: none"> Explain in detail how the application maintains data quality and integrity (address online, batch, etc...) For situations where there is not an “edit” to maintain data quality/integrity, what other safeguards are available as delivered (e.g., reports, periodic batch validation programs, etc...) 		
10	Application	Operations/Scheduling	<ul style="list-style-type: none"> How are interfaces, reports, and other batch processes scheduled and the results distributed? Differentiate between CCC and Vendor responsibilities and access. 		
11	Application	Communications (Email)	<ul style="list-style-type: none"> Do you have email capabilities (single user, mass email)? Please elaborate 		
12	Network	LAN/WAN	<ul style="list-style-type: none"> Provide connectivity requirements for the hosted solution if the Internet is not the recommended solution. Provide network bandwidth requirements for the various functions within this application Does this application work with caching servers? Is there a specific configuration needed? Is a dedicated circuit required? If yes, is the connection encrypted, provide detail? 		
13	Network	Firewall Rules	<ul style="list-style-type: none"> Describe the ports needed to communicate with this application. 		
14	Network	Redundancy/Failover/Load Balancing	<ul style="list-style-type: none"> Explain what safeguards are in place to minimize the risks of failure (address appropriate tiers) Explain your load balancing capabilities (address 		

City Colleges of Chicago – Exhibit A – Technical Interrogatories Matrix for Budget Solution RFP

Group Question ID	Category	Sub-Category	SAAS (Software as a Service)	Y/N	Please provide details as appropriate
			appropriate tiers)		
15	Network	Data Flow	<ul style="list-style-type: none"> Provide a diagram of data flows through the various tiers and systems in the environment. Include ports and protocols of those data flows. 		
16	Servers	Hardware Requirements	<ul style="list-style-type: none"> Provide high-level documentation of your hardware architecture – Address the following categories: Servers, Memory, CPU, Virtualization, Operating System, Storage, etc...) 		
17	Servers	VPN	<ul style="list-style-type: none"> Does your application encrypt the session between the server and the end user? 		
18	Storage/Environments	Environments Required (Dev, QA, Prod, Training, Production Mirror, etc...)	<ul style="list-style-type: none"> What environments are standard? Describe each environment Discuss how the environments are maintained (i.e., upgraded, cloned, refreshed, etc...) Explain the process to migrate data between various environments (e.g., setup data from Dev to QA). Do you provide delivered scripts and/or processes? Can CCC request additional environments as needed for the build-out as well as future needs (e.g., Development, Testing, Production, Training, etc...)? What database platform do you utilize? How do you determine the initial database size? How do you adjust for actual and planned growth? How much space is included in the standard offering for each environment? What is the incremental cost for additional environments and/or space requirements? 		
19	Storage/Data base	Data Purge, Retention, Backup, Restore, and Recovery	<ul style="list-style-type: none"> Discuss your data archive, purge, and retention strategy as it relates to various tiers. Discuss your backup, restore, and recovery strategy as it relates to various tiers. What is provided as part of your standard offering? Will our business be subject to mandatory purging and/or archival? <i>Complete Appendix A and B</i> 		
20	Remote Hosting	Disaster/Recovery, Business Continuity	<ul style="list-style-type: none"> Discuss your Disaster/Recovery (DR) capabilities and architecture. Do you have a business continuity template or 		

City Colleges of Chicago – Exhibit A – Technical Interrogatories Matrix for Budget Solution RFP

Group Question ID	Category	Sub-Category	SAAS (Software as a Service)	Y/N	Please provide details as appropriate
			<p>initial plan?</p> <ul style="list-style-type: none"> • How often do you test Disaster Recovery with each client? • What is the maximum data loss in the event of catastrophic system failure? • How long will the system be down (i.e., timing for switching over to secondary system/application and bringing it online)? • What are your SLA’s related to DR? 		
21	Remote Hosting	Data Center Capabilities	<ul style="list-style-type: none"> • Where is the data center located? If there are multiple, please specify primary, alternate(s) • Is the data center owned or leased? • If leased, please provide details around agreement with 3rd party (including major terms and expiration dates). • Who manages and maintains the data center? • Is the data center secure? How do you maintain security? Please detail and address following areas at a minimum: <ul style="list-style-type: none"> ○ Network Security ○ Server Security ○ Application Security ○ Physical Security ○ Database Security ○ Data/Information Security (Personal Identifying Information - PII) ○ Operating System Security ○ Shared versus Dedicated Environments 		
22	Remote Hosting	System/Application Availability	<ul style="list-style-type: none"> • Describe what system availability guarantees you offer and the costs associated • How do you backup your guarantee? What are the consequences of not meeting the guarantee? • Define how the guarantee applies to all hosted applications, systems, and/or tiers • Do you currently offer High Availability (HA)? If so, please provide separately the options and costs- 		

City Colleges of Chicago – Exhibit A – Technical Interrogatories Matrix for Budget Solution RFP

Group Question ID	Category	Sub-Category	SAAS (Software as a Service)	Y/N	Please provide details as appropriate
			<p>related</p> <ul style="list-style-type: none"> • If no, do you have any plans to offer HA within the next two years? If yes, please provide as much details as possible. 		
23	Remote Hosting	Audit and Compliance	<ul style="list-style-type: none"> • Please describe in detail what type of auditing (SAS 70, SSAE 16, SOC 1, 2, or 3, etc...) you adhere to. • Please provide the dates and types of your most recent audits (if more than one type) and who they were conducted by. • Detail any major deficiencies that were identified and how they were remedied. • Please describe your audit schedule and when your next audits will be conducted? • When was the most recent 3rd party audit performed and can you provide the results to CCC? 		
24	Remote Hosting	Maintenance	<ul style="list-style-type: none"> • Provide a schedule of your data center maintenance schedule for the upcoming calendar year and include planned system downtime/durations • Discuss unplanned maintenance: <ul style="list-style-type: none"> ○ Process ○ Communication to CCC ○ Alerts ○ RCA – Root Cause Analysis 		
25	Remote Hosting	Monitoring	<ul style="list-style-type: none"> • What monitoring tools do you offer? • Which tiers/areas are monitored? <ul style="list-style-type: none"> ○ Hardware System Availability ○ System Connectivity Availability ○ Communication Protocol Delivery ○ Network Reliability and Performance ○ Operating System Availability ○ Database Access Availability ○ OLTP Performance ○ Batch Processing Performance ○ Other • Please describe the alert process and timing • What is the demarcation point (vendor/CCC)? • Does your monitoring extend to CCC? Are there additional costs for the end-to-end monitoring? 		

City Colleges of Chicago – Exhibit A – Technical Interrogatories Matrix for Budget Solution RFP

Group Question ID	Category	Sub-Category	SAAS (Software as a Service)	Y/N	Please provide details as appropriate
			<ul style="list-style-type: none"> • What access will you provide to CCC (dashboard, reports, etc...) and what is the frequency of updates? • Discuss what tools and/or applications do you utilize to ensure maximum system availability? • How do you proactively identify potential issues? 		
26	Remote Hosting	Infrastructure Architecture	<ul style="list-style-type: none"> • Describe the physical hardware environment and architecture, including servers, storage and software you will utilize and/or provide as part of the agreement. Please diagram initial state, as well as what it might look like based on the 5-year growth projections. • Please clearly differentiate which resources/tiers are dedicated for CCC versus what will be shared with other organizations • Do you utilize virtualization? Please explain. • What capital upgrades are you undertaking or plan to make within the next two years? How will this impact the agreement and costs? • How do you maintain a current system (latest patches, releases, hardware/software, etc...)? – Please discuss CCC versus Vendor roles, responsibilities, and costs. 		
27	Security	Various tiers - Access, Roles	<ul style="list-style-type: none"> • Explain how you provision users and restrict access for various tiers by roles and responsibility (authorization)? • Do you have the capability to import user access roles from other systems? 		
28	Security	LDAP/AD, Single Sign-on (SSO)	<ul style="list-style-type: none"> • Discuss your system's ability to utilize LDAP or AD to authenticate and/or authorize? Is this delivered or does it have to be built? • Discuss examples of single sign-on (SSO) capabilities to provide seamless user access as they transition between multiple systems and/or applications 		
29	Security	Database security	<ul style="list-style-type: none"> • Explain how highly confidential data is maintained and encrypted during storage 		
30	Security	Data Center/Physical	<ul style="list-style-type: none"> • Provide an overview of your data center and its operations and controls 		

City Colleges of Chicago – Exhibit A – Technical Interrogatories Matrix for Budget Solution RFP

Group Question ID	Category	Sub-Category	SAAS (Software as a Service)	Y/N	Please provide details as appropriate
		1 Security	<ul style="list-style-type: none"> Discuss physical security to limit unauthorized access to that data center 		
31	Security	Intrusion Detection/Viruses	<ul style="list-style-type: none"> What safeguards are in place to prevent malicious 3rd party attacks and intrusion? Do you have automated logging for all application activity? How do ensure that your system is current to prevent all malware? How does your application prevent threats such as SQL injection? 		
32	Security	General	<ul style="list-style-type: none"> What security logs does the host provider maintain and which tiers? Upon request, vendor needs to provide CCC access to security logs What security standards and methods are utilized (SSL/VPN Tunnel, Antivirus, Encryption, etc...) The vendor shall provide applicable Service Organization Reports (SOC II type 1 and 2) or complete the CCC Audit Checklist if it does not perform SOC testing 		
33	Implementation	SDLC – Methodology	<ul style="list-style-type: none"> Discuss your implementation methodology – What are the phases, tasks, responsibilities, and deliverables Discuss your post-implementation activities and support as part of the standard offering 		
34	Implementation	Preliminary Project Plan	<ul style="list-style-type: none"> Provide a preliminary project plan for CCC taking into consideration our requirements (with assumptions). Include major milestones and key deliverables 		
35	Implementation	Project Charter and other deliverables	<ul style="list-style-type: none"> As appropriate, provide a sample charter and some representative project deliverables 		
36	Implementation	Vendor Tasks/Responsibilities	<ul style="list-style-type: none"> What are high-level tasks required of CCC and the vendor? 		
37	Implementation	Change Management, Training, Communication	<ul style="list-style-type: none"> Is change management included in your standard offering? Discuss your change management strategy, responsibilities, dependencies, and tasks Is communication included in your standard 		

City Colleges of Chicago – Exhibit A – Technical Interrogatories Matrix for Budget Solution RFP

Group Question ID	Category	Sub-Category	SAAS (Software as a Service)	Y/N	Please provide details as appropriate
		ns	offering? Discuss your communication strategy, responsibilities, dependencies, and tasks <ul style="list-style-type: none"> • Is training included in your standard offering? Discuss your training strategy, responsibilities, dependencies, and tasks • What post-implementation training do you provide and to what audience? How often are the classes? Where are they located? What training options are available? Who conducts the training? 		
38	Ongoing Maintenance	Project/Application Documentation	<ul style="list-style-type: none"> • What documentation do you provide for the project implementation and ongoing use? 		
39	Ongoing Maintenance	Upgrades, Releases, Patches	<ul style="list-style-type: none"> • What is the most current release? When was it first available? When is the next release scheduled? What is currently included in the next release? • What major functionality or bug/fixes are you currently planning to implement in the future? • Describe the process for customers to provide input into your future releases • Discuss your patch, upgrade, and release strategy and address the following: Frequency, Time to Apply, Roles and Responsibilities, Dependencies, Testing, Contingency/Rollback, etc... • Describe your process for providing release notes (timing, formats, content)? • Discuss how a change (configuration or customization) moves from request, development, testing, and production. • Describe your change control and version control process. • Describe what is included in your maintenance agreement as it relates to application/system bug/fixes. 		
40	Ongoing Maintenance	Support/Call Center - Response, Resolution, Escalations,	<ul style="list-style-type: none"> • Provide a sample Service Level Agreement document specifying response and resolution times for Production/Non-Production (based on various severities/priorities/tiered support) • <i>Complete Appendix C</i> 		

City Colleges of Chicago – Exhibit A – Technical Interrogatories Matrix for Budget Solution RFP

Group Question ID	Category	Sub-Category	SAAS (Software as a Service)	Y/N	Please provide details as appropriate
		Hand-off (CCC and Vendor) - SLAs	<ul style="list-style-type: none"> How do you adjust your employee resources for peak times? Describe your help desk support activities and process. How would you coordinate with CCC'S centralized Service Desk? Are there penalties if SLAs are not met, describe? 		
41	Ongoing Maintenance	Warranties	<ul style="list-style-type: none"> What do you warranty as part of your standard offering? 		
42	Ongoing Maintenance	Availability: System, Application, Network, Servers, etc...	<ul style="list-style-type: none"> Discuss your guaranteed application and system availability (percentage) Discuss your planned outages (address all tiers) How flexible is your maintenance windows and can it be integrated and/or coordinated with CCC? 		
43	Other	Web 3.0 capabilities	<ul style="list-style-type: none"> List and describe your Web 3.0 capabilities? Provide examples. 		
44	Other	Scalability - Various Tiers	<ul style="list-style-type: none"> Describe how your architecture (system resources) supports peak times and considers various concurrent activities (online, batch, services, reporting, etc...) Provide your performance SLA's and describe the process, impact, and timing to scale (planned and unplanned) 		
45	Other	Smart/Mobile Device Capabilities	<ul style="list-style-type: none"> Does your application support smart and/or mobile devices? Can you provide examples? 		
46	Other	Stress/Performance assurances/peak times	<ul style="list-style-type: none"> Discuss your strategies for performance/stress testing to ensure maximum system efficiency during normal and peak times How do you ensure adequate network bandwidth? 		
47	Other	Additional software licenses	<ul style="list-style-type: none"> Is there specific 3rd party software required for your application? 		
48	Other	Client hardware/software/version requirements	<ul style="list-style-type: none"> Detail specific client workstation and/or software versions and requirements (e.g., web browsers, desktop memory, display resolution, etc...) 		
49	Government Regulations	HIPPA, SOX, FERPA, Security, Data	<ul style="list-style-type: none"> With which government requirements/mandates do you comply (HIPPA, ADA Section 508, FERPA, etc...)? 		

City Colleges of Chicago – Exhibit A – Technical Interrogatories Matrix for Budget Solution RFP

Group Question ID	Category	Sub-Category	SAAS (Software as a Service)	Y/N	Please provide details as appropriate
		Retention	<ul style="list-style-type: none"> • Clearly delineate between Vendor and CCC responsibility as it relates to compliance with government law, regulations, contracts, etc... 		
50	Legal	Electronic Signatures	<ul style="list-style-type: none"> • Discuss if and/or how your application utilizes and facilitates electronic signatures. Provide an example. 		
51	Value-added		<ul style="list-style-type: none"> • Provide a listing of all Vendor value-added offerings. Example of offerings: <ul style="list-style-type: none"> ○ Account Management ○ Advisory Services ○ Database and Server administration, Tuning, Monitoring, Capacity Planning, or Performance ○ Third Party Integration Support ○ Programming and Customization Services ○ Extra environments ○ Extra storage ○ Licenses ○ Additional Tools ○ Training ○ Other 		
52	Legal	Exit agreements (tasks/responsibilities)	<p>Contractual:</p> <ul style="list-style-type: none"> • Please describe in detail the policies and procedures for termination of services, including any fees, charges or penalties. • Please provide a high-level plan that details tasks, responsibilities, and time/duration guarantees • In addition, describe your policies and procedures for the disposition of CCC data on devices not returned to CCC. 		
53	Costs	Itemize (Variable/Fixed)	<ul style="list-style-type: none"> • Please complete the cost matrix (Appendix TBD): <ul style="list-style-type: none"> ○ Build Out/Migration ○ Implementation ○ Setup, Circuit, etc... ○ One-Time Costs ○ Ongoing Fixed Monthly ○ Ongoing Variable (Monthly/Per Unit) ○ Optional (new accounts, services, licenses, 		

City Colleges of Chicago – Exhibit A – Technical Interrogatories Matrix for Budget Solution RFP

Group Question ID	Category	Sub-Category	SAAS (Software as a Service)	Y/N	Please provide details as appropriate
			storage, etc...) ○ Growth/Increases (storage, metrics - # students, employees, budget, etc...) ○ Exit/Termination costs (included, not included) ○ Ability to reduce costs ○ Purge/Archive ○ Other		

Additional Requirements

Duration/Terms of Agreement

- Initial Term: Three years from execution of contract
- Renewal Term: Three one-year renewals

Call Center Support

- Monitored/Available 24/7
- Urgent requests response time 15 minutes (Production)
- Ticketing system accessible to CCC
- SLA measured and reported (planned/actual/variances)

PeopleSoft Applications

	Human Capital Management (HCM)	Financials and Supply Chain Management (FSCM)	Campus Solutions	Interaction Hub (Portal)
Application (PeopleSoft) Version	9.2	9.2	9.0	9.1
PeopleTools Version	8.55.11	8.55.11	8.55.11	8.55.11
OS - LINUX Version	6.8	6.8	6.8	6.8
OS - Windows Version (NT/Terminal Servers)	2012 R2	2012 R2	2012 R2	2012 R2
Tuxedo	12.1.1	12.1.1	12.1.1	12.1.1
Weblogic	12.1.2.0.0	12.1.2.0.0	12.1.2.0.0	12.1.2.0.0
Oracle Database Version	12.1 C Unicode	12.1 C Unicode	12.1 C Unicode	12.1 C Unicode

City Colleges of Chicago – Exhibit A – Technical Interrogatories Matrix for Budget Solution RFP

Major Integrations:

- PeopleSoft applications (HCM, CS, FSCM, Portal)
- Business Intelligence/Data Warehouse Processing (BI)

City Colleges of Chicago – Exhibit A – Technical Interrogatories Matrix for Budget Solution RFP

Attachments

Appendix A: Backup

	DESCRIPTION	TIMING
Baseline	Pre-Production Image	
Daily Incremental Files	Data changes during the period all tiers all environments	
Full Data Files	All resident data files all tiers all environments	
Applications	All application files (full data files including cold backups)	
Operating System	All O/S configuration files – all tiers all environments	
Database	All database – all tiers all environments.	
Fall Back Copy	At request of the Board when a change is made to a the Board system a copy will be made before the change.	

City Colleges of Chicago – Exhibit A – Technical Interrogatories Matrix for Budget Solution RFP

Appendix B: Retention

DESCRIPTION	RETENTION PERIOD
Baseline	
Daily	
Weekly	
Monthly	
Annual	
Key Calendar Dates	

City Colleges of Chicago – Exhibit A – Technical Interrogatories Matrix for Budget Solution RFP

Appendix C: Support

ENVIRONMENT	PRIORITY	TECH RESPONSE TIME	MAXIMUM RESOLUTION TIME
Production	High		
Production	Medium		
Production	Low		
Development/Test	High		
Development/Test	Medium		
Development/Test	Low		



RFP #SJ1804 –Budget Planning and Enterprise Performance Management (EPM) System

EXHIBIT B Scope of Services and Technical Environment Overview

Instructions: In the “vendor response” column, proposers are required to respond with ‘yes’ indicating that the requirement is met in the corresponding column. For comments, respondents are encouraged to submit a separate document identifying how requirements are met. Proposers need to ensure that the same order as below is kept and that the respective ID number is referenced. Please ensure to submit this information with your proposal.

PHASE I (Go-Live Jan 2019):

1. Planning/Budgeting/Forecasting

ID #	Requirement	Detailed Description	Vendor Response (Please explain if answer “yes” to “need to configure” or “consultants to implement”)			
			Out of the Box	Need to Configure	Need Consultant(s) to Implement	Not Available
Budgeting						
1.1	Top-down/ Bottom-up budgeting with target exception reporting and reconciliations	The ability to define performance targets – including financial and operational metrics, margins – at any level from corporation down to individual business unit and/or account level and the ability to create budgets, forecasts, and plans from the lowest account and organizational unit levels with reconciliation reports highlighting target variances.				
1.2	Individualized business unit budget and forecast input templates at multiple levels	Creation and distribution of budget/forecast data entry or data collection forms for individual business units or budget managers. Ability to pre-populate templates with prior year’s data (budget, actual). Business Units should be easily consolidated.				
1.3	Departmental Planning	The ability for individual departments/business units/cost centers to budget and report at a greater level of detail than corporate requires without impacting corporate system integrity and				

		performance.				
1.4	Allocations	Ability to create allocations and spread across multiple business units or cost centers according to a formula utilizing other data in the system. Support for multiple methodologies including allocation by value, percent, or prior year data model.				
1.5	Line Item Detail	The ability to enter multiple budget records supporting single budget item such as for detailing capital expenditures planned in support of Capital Expenditure budget line item or multiple tasks or expenditures within single capital project.				
1.6	Workforce and staff expense planning	Headcount planning by position title/department/fund/location or pools, effective dates including support for transfers, individual named employee, or outsourced (contractor or temporary) resource level and related labor expense planning by staffing level/category such as executive, salaried, non-exempt, and union-backed labor including modelling all direct salary and incentive compensation expenses, benefits and payroll tax calculations.				
Planning/Forecasting						
1.7	Revenue Planning	Multi-level revenue planning including detailed planning by customer/customer segment, product/product category, service/service category or geographic region or high level revenue planning for multiple revenue sources based on data in other systems.				
1.8	Multiple "What-if" scenario modelling and contingency planning	The ability to create multiple scenarios to model various business conditions or plan assumptions and perform side-by-side comparisons of multiple scenarios (e.g., scenario vs. historical results, budget, recent forecast, or other scenario). Allows for best case, worst case, etc., acquisition modelling.				
Core system capabilities						
1.9	Version	The ability to create, maintain, and				

	control	compare/reconcile multiple versions of plans, budgets, and forecasts including the ability to view variances or model changes between versions. The ability to control security at a scenario or data category level.				
Other						
1.10	Project Planning and Tracking	Ability to budget by major project and tie to individual work orders and supporting documents/invoices; ability to easily view all project components in reports across calendar years.				

2. Financial Consolidation Capabilities (Full Module NOT Required)

ID #	Requirement	Detailed Description	Vendor Response (Please explain if answer “yes” to “need to configure” or “consultants to implement”)			
			Out of the Box	Need to Configure	Need Consultant(s) to Implement	Not Available
2.1	Ability to enter adjustments for forecast or budget	Support for adjustment entities/accounts such that reporting can be done pre and post-adjustments at any level in the system.				
2.2	Audit trails	System creates and maintains registers to provide audit trail for all data, application, user rights, and process control modifications. Includes full audit trail for all metadata updates, data loads, and data validation and error reporting.				

3. Reporting / Analytics

ID #	Requirement	Detailed Description	Vendor Response (Please explain if answer “yes” to “need to configure” or “consultants to implement”)			
			Out of the Box	Need to Configure	Need Consultant(s) to Implement	Not Available
3.1	Standardized financial and operating statement reporting	System is able to produce with adequate performance production financial and operational reports to meet corporate, divisions and business units’ requirements. Must have variance analysis, and the ability to create “pro forma” reporting not aligned with corporate entities.				
3.2	Variance reporting	Variance reporting based upon budget, forecast. Variances to be				

		expressed as values and/or percent.				
3.3	Standardized report package printing/report books/online viewing	The ability to print reports in predefined report packages (e.g., monthly management reports, board book or annual budget report packages) with full formatting and standard print features such as Print Preview, Print All/Current/Page Numbers, Print to File. Also the option to view books online (as PDFs for example). Report books may need to include content from third-party applications such as Microsoft Office. Support for extensive narrative with data refresh.				

4. User Interface

ID #	Requirement	Detailed Description	Vendor Response (Please explain if answer “yes” to “need to configure” or “consultants to implement”)			
			Out of the Box	Need to Configure	Need Consultant(s) to Implement	Not Available
4.1	User-friendly, intuitive, and easy to learn interface	System allows users to easily and intuitively navigate within reports and data entry templates using hierarchical paths and navigational options using web browser, spreadsheet, or other vendor supplied user interface. Browser interface needs to support IE, and ideally Firefox, Chrome, and Safari.				
4.2	Integration with Excel/use of Excel as primary user interface	The option of using Excel as the user interface and the ability to use Excel for viewing and creating reports, exporting data to Excel for offline analysis, and importing data from Excel based sources of data and analysis (e.g., supporting schedules, external data sources, projections/assumptions). Support for Excel 2007, 2010 and later versions.				
4.3	Data Entry	The system shall provide the ability to allow user to enter budget or forecast performance data and analysis - and actual data if necessary - manually via web-based data entry forms or Excel based templates. In some cases multiple users may need to concurrently enter data for the same entity. Data can be adjusted by value, percentage, or spread by formula.				

4.4	Dynamic interactive point of view reporting	Ability to allow users to view summary and detail reports based on different selection criteria (e.g., Account, Client, Project, Division, Business Unit, Region or Department).				
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5. Administration

ID #	Requirement	Detailed Description	Vendor Response (Please explain if answer “yes” to “need to configure” or “consultants to implement”)			
			Out of the Box	Need to Configure	Need Consultant(s) to Implement	Not Available
5.1	User/role-based data and meta-data security	The ability to define access and view/modify rights to specific cells, reports, accounts, entities, or data types for named users or groups of users, including to confidential and sensitive information such as individual salary and personnel data.				
5.2	Audit trails and associated reporting	The system must track and store comprehensive audit trail information for all structural and data modification made with the application that include date, time, user, type of update operations executed against each data record managed by the system (create, read, update, print and delete).				

6. Technology Requirements

ID #	Requirement	Detailed Description	Vendor Response (Please explain if answer “yes” to “need to configure” or “consultants to implement”)			
			Out of the Box	Need to Configure	Need Consultant(s) to Implement	Not Available
6.1	Web-based/cloud-based access	Browser based, true zero footprint, application for all data entry and end user reporting and analysis functions. Only Cloud-based/SaaS solutions will be considered.				
6.2	System security	Integrates with existing security system and supports Active Directory and LDAP security authentication standards to provide a single user security authentication and sign on. The system shall have the ability to lock users out after pre-defined number of failed access attempts, automatically deactivate				

		<p>inactive IDs after a system administrator-defined period of inactivity, and require security administrators to reset user identifications. In addition, the system shall have the ability to provide predefined security and audit log reports.</p> <p>If browser-based, the following applies: The system shall use modern encryption standards to ensure data in motion is secured:</p> <ol style="list-style-type: none"> 1. The SSL certificate shall be signed with a SHA2 algorithm 2. The client and server shall not use SSL v3.0 3. The client and server shall not use RC4 ciphers 4. The client and server shall use TLS v1.2 or higher, 256-bit encryption or higher 				
6.3	Infrastructure compatibility	Compatible with existing and planned technical infrastructure including hardware, network and storage system.				
6.4	Backup and Recovery	The system shall provide the ability to schedule full and incremental backups of all business and configuration data used and managed by the system. The system shall allow backups with minimal interruption to users' on-line access.				
6.5	Availability	The system must be available to users 24 hours per day 365 days per year.				
6.6	System compatibility	Ability to fully integrate with versions of Microsoft Office to utilize Excel, Word and PowerPoint capabilities. Should not be required to be on the latest version.				
6.7	Data Refresh	Capabilities to do fast data refresh, overnight, daily.				
6.8	Data Extract	The ability to extract all data and metadata out of the system in an industry-standard format if system use is discontinued.				

7. Other Functional Requirements

ID #	Requirement	Detailed Description	Vendor Response (Please explain if answer “yes” to “need to configure” or “consultants to implement”)			
			Out of the Box	Need to Configure	Need Consultant(s) to Implement	Not Available
7.1	Storage of data history	The system must be able to store 5-7 years of monthly history. We would like to load FY2018 summary level budget but require to store 5-7 years of monthly history going forward.				
7.2	Process monitoring	Ability to define and report metrics relating to system usage and progress through the budgeting, forecasting, and planning processes.				

PHASE II (Go-Live June 2019):

1. Planning/Budgeting/Forecasting

ID #	Requirement	Detailed Description	Vendor Response (Please explain if answer “yes” to “need to configure” or “consultants to implement”)			
			Out of the Box	Need to Configure	Need Consultant(s) to Implement	Not Available
Budgeting						
1.1	Cell level annotation	Ability to annotate individual cells or line items and attach unstructured data/documents.				
Planning/Forecasting						
1.2	Rolling Forecasts	The ability to create rolling forecasts with projections based upon period-to-date actuals, historical run rates, and forecast adjustments.				
1.3	Long-range Plan/Forecast	The ability to create a long-range plan for up to 10 years for revenues and expenses based on a compounded annual rate.				
Core system capabilities						
1.4	Complex calculations and rules	Ability to develop and process complex business rules, logic, and calculations including multi-step calculations like those used in salary benefits and tax calculations.				
1.5	Driver-based modeling	Business drivers - expressed in units and prices for operational statistics (e.g., standard costs, utilization factors, or other metrics) – used in business rules and multi-step calculations to facilitate budget				

		and forecast preparation, collaboration, and modeling. Includes the ability to leverage business drivers to model balance sheet and cash flow calculations.				
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2. Financial Consolidation Capabilities (Full Module NOT Required)

ID #	Requirement	Detailed Description	Vendor Response (Please explain if answer “yes” to “need to configure” or “consultants to implement”)			
			Out of the Box	Need to Configure	Need Consultant(s) to Implement	Not Available
	No Additional items in Phase II for this category					

3. Reporting / Analytics

ID #	Requirement	Detailed Description	Vendor Response (Please explain if answer “yes” to “need to configure” or “consultants to implement”)			
			Out of the Box	Need to Configure	Need Consultant(s) to Implement	Not Available
3.1	Drill-down and drill-through capabilities	When viewing a report online user is able to drill-down through organizational, account, or time period structure to reveal underlying details. For source system databases that support the capability, system can drill-through directly to transactional level detail. Alternatively, store adequate transactional detail within the performance management system to support the equivalent of drill-through.				
3.2	Ad-hoc reporting and query capabilities	Ad hoc reporting and query tools that allow authorized users to create analytic reports separate from standardized corporate, business unit, or departmental level reports.				

4. User Interface

ID #	Requirement	Detailed Description	Vendor Response (Please explain if answer “yes” to “need to configure” or “consultants to implement”)			
			Out of the Box	Need to Configure	Need Consultant(s) to Implement	Not Available
4.1	Customizable performance management desktop with embedded dashboards	Displaying key performance indicators, standard reports, customized reports, criteria based variance alerts, and workflow tasks. Allows creation of multiple standard dashboards to display financial and				

		operational performance indicator and metric information for corporate, business unit or departmental key performance indicators based on user security rights. Allows users to personalize configuration and content of desktop in accordance with user presentation preferences without custom code development by selecting components from authorized lists. (This could shift to phase III if needed)				
4.2	Report calculation definitions	Ability to allow authorized users to view data definitions, business rules and calculation formulas , performance indicators, and reporting components in order to improve visibility of underlying expense allocation and revenue attribution calculations and business unit owners associated with each business rule.				

5. Administration

ID #	Requirement	Detailed Description	Vendor Response (Please explain if answer “yes” to “need to configure” or “consultants to implement”)			
			Out of the Box	Need to Configure	Need Consultant(s) to Implement	Not Available
5.1	Centralized application administration	The system shall provide the capability to define, configure, and manage data definitions and hierarchical structures, business rules, drivers, reports, key performance indicators, dashboards/scorecards, workflow procedures, and user interface screens through a convenient, easy-to-use, centralized system administration interface.				
5.2	Ease of use for system administration	System administrators can easily develop, distribute, and maintain data entry templates, reports and dashboards. Allow to intuitively navigate within report roll-ups and drill-downs. Displays navigational landmarks to visually show users where they are in the data using a hierarchical tree or path structure.				
5.3	Electronic external data integration	Ability to import and export data to and from applications and identified systems/ other databases. Periodic execution of data extraction, transformation and loading				

		operations can be scheduled from multiple source data systems to occur on a real-time, daily or periodical basis as needed. The system must also provide the ability for automatic data validation and error notification to ensure completeness and accuracy of data loaded into the system via the data integration procedures. Requires integration with PeopleSoft.				
5.4	Workflow process modelling and real time status visibility and management	Ability to define budgeting, forecasting, and performance reporting process steps and requirements including the preparation, submission, and review/approval of data entry templates, standardized periodic reports, and variance reports to users, enable review and approval process requirements, and monitor workflow status with graphical reporting and alerting tools. Includes the ability to restrict access to view or edit specific data elements plus the ability to “lock down” submitted actual, budget and forecast data with workflow processes to avoid data changes.				

6. Technology Requirements

ID #	Requirement	Detailed Description	Vendor Response (Please explain if answer “yes” to “need to configure” or “consultants to implement”)			
			Out of the Box	Need to Configure	Need Consultant(s) to Implement	Not Available
6.1	Multiple source data integration capabilities	Ability to integrate data from multiple data sources using extraction, transformation and local utilities and source system data mapping and integration tools that can be configured to map data from current and future source systems without requiring design, development and implementation of the EPM application. Integration can be done via import/export mechanism, exchanging data and metadata via synchronization mechanism or programmatically using interfaces. Specifically need to interface with PeopleSoft.				
6.2	Scalable with	Application capable of supporting				

	up to 100 concurrent users	multiple users concurrently accessing and updating data in the application, based upon user or role based security profiles that allow users to view or modify specified data elements. Additionally, need to allow for multiple users updating the same entity.				
6.3	Minimal IT support with no program customization required	Requires nominal support from IT resources to maintain application and data integration once application has been developed and deployed.				

PHASE III (Go-Live December 2019):

1. Planning/Budgeting/Forecasting

ID #	Requirement	Detailed Description	Vendor Response (Please explain if answer "yes" to "need to configure" or "consultants to implement")			
			Out of the Box	Need to Configure	Need Consultant(s) to Implement	Not Available
Budgeting						
1.1	Capital Expenditure Planning	Prioritized project based capital planning with project related startup and operating expenses with integrated depreciation modeling for existing and incremental asset depreciation expenses.				
1.2	Workflow enabled plan submission, review and approval	Allows authorized users the ability to submit, review, revise, approve or reject submitted budgets based on pre-defined planning submission and approval procedures while providing a graphical representation of progress.				
Other						
1.3	Lease Planning and Tracking	Ability to budget by major leases and tie to individual lease details and supporting documents; ability to easily view all lease components in reports across calendar years.				

2. Financial Consolidation Capabilities (Full Module NOT Required)

ID #	Requirement	Detailed Description	Vendor Response (Please explain if answer "yes" to "need to configure" or "consultants to implement")			
			Out of the Box	Need to Configure	Need Consultant(s) to Implement	Not Available
	No Additional items in Phase III for this category					

3. Reporting / Analytics

ID #	Requirement	Detailed Description	Vendor Response (Please explain if answer “yes” to “need to configure” or “consultants to implement”)			
			Out of the Box	Need to Configure	Need Consultant(s) to Implement	Not Available
3.1	Variance reporting with e-mail and graphical exception alerting	Variance reporting based upon budget, forecast, and/or actual data, with variance alerts based upon user defined tolerance criteria highlighted on reports. Variances to be expressed as values and/or percent. Ability to run quarterly, monthly, weekly, daily (with appropriate source data loaded).				
3.2	Detailed profitability analysis	Reports using detailed granular data to provide accurate profitability of customers, products, services with support for activity-based costing.				
3.3	Report format rounding precision	Performance results are stored as entered or calculated to a specified number of digits with all rounding of performance results on reports performed only on final calculated results & never on any intermediate values.				
3.4	Performance variance commentary and annotation	Ability to allow users to provide narrative comments of limited length to explain individual line item variances between actual and plan performance results.				
3.5	Built-in graphing capabilities	The application must be capable of producing graphs without having to export to separate third party graphing software.				
3.6	Visual performance dashboard for key performance indicators	Highly graphical and intuitive dashboard to present key measures with color-coding based on tolerances and standard visual elements such as stoplights, gauges, and arrows along with charting capabilities. Ability to drill into details from the dashboard. Ability to create cascading dashboards from corporate level down to divisions/business units.				

4. User Interface

ID #	Requirement	Detailed Description	Vendor Response (Please explain if answer “yes” to “need to configure” or “consultants to implement”)			
			Out of the Box	Need to Configure	Need Consultant(s) to Implement	Not Available
4.1	On-line documentation and instructions	The system shall provide context sensitive on-line help on all user interface screens including the ability to create, distribute, and use vendor supplied and customized application specific instructions and documentation such as workflow procedures and online help screens.				
4.2	Remote access	The ability to access the system as an end user from a remote location.				
4.3	Mobile access	The ability to access 'live' (drillable, point of view sensitive) reports from a tablet computer.				

5. Administration

ID #	Requirement	Detailed Description	Vendor Response (Please explain if answer “yes” to “need to configure” or “consultants to implement”)			
			Out of the Box	Need to Configure	Need Consultant(s) to Implement	Not Available
5.1	Allocations	Ability to create, document, invoke, and administer various expense allocation or revenue attribution algorithms.				
5.2	Business rule documentation and reporting capabilities	Ability to document and view application business rules such as allocations, financial ratio calculations, and other metric calculations.				

6. Technology Requirements

ID #	Requirement	Detailed Description	Vendor Response (Please explain if answer “yes” to “need to configure” or “consultants to implement”)			
			Out of the Box	Need to Configure	Need Consultant(s) to Implement	Not Available
No Additional items in Phase III for this category						