DEPARTMENT OF PROCUREMENT SERVICES
NON-COMPETITIVE REVIEW BOARD (NCRB) APPLICATION

Complete this cover form and the Non-Competitive Procurement Application Worksheet in detail. Refer to the page entitled "Instructions for Non-Competitive Procurement Application" for completing this application in accordance with its policy regarding NCRB. Complete "other" subject area if additional information is needed. Subject areas must be fully completed and responses merely referencing attachments will not be accepted and will be immediately rejected.

Department
DoIT
Contract Liaison
Judy Mims
Originator Name
Adrian Molato
Email Contract Liaison
judith.mims@cityofchicago.org
Telephone
312-744-5318
Telephone
312-742-1817
Date
10/2/2019
Signature of Application Author

List Name of NCRB Attendees/Department
Carleton Nolan
Adrian Molato
Judy Mims

Request NCRB review be conducted for the product(s) and/or service(s) described herein.
Company: SDI Presence, LLC
Contact Person:
Matthew Haughey
Phone:
773-562-1740
Email:
mhaughey@sdipresence.com
Project Description: Banner CIS - Utility Billing Relief Project

This is a request for:
☐ New Contract
Contract Type
☐ Blanket Agreement  Term: ___ (# of mo)
☐ Standard Agreement
☐ Amendment / Modification
Type of Modification
☐ Time Extension  ☑ Vendor Limit Increase  ☑ Scope Change
Contract Number: 69858
Specification Number: 483330
Modification Number:

Department Request Approval

DEPARTMENT HEAD OR DESIGNEE

PRINT NAME

Recommended Approval

BOARD CHAIR/PERSON

PRINT NAME

Approved  ☑  Rejected  ☐

CHIEF PROCUREMENT OFFICER

PRINT NAME

FOR NCRB USE ONLY
Recommend Approval/Date:
Return to Department/Date:
Rejected/Date:

Page 1 of 5
April 2013
Justification for Non-Competitive Procurement Worksheet

PROCUREMENT HISTORY

1. An RFP was issued to replace the DWM billing system. The Banner CIS Billing System was selected and implemented as the billing solution for water and sewer services to customers residing in the City of Chicago and 125 suburbs for the Chicago Department of Water Management. SDI professional services has been used for the maintenance and support of Banner CIS. In addition, several critical revenue generating initiatives such as Refuse Fees and Water/Sewer Tax billing have been implemented leveraging Banner CIS. The current initiative is to modify Banner’s billing, payment arrangement, delinquency, and bad debt modules to provide water, sewer, tax and penalty billing relief for the City’s low-income homeowners. This initiative is a directive of Mayor Lightfoot’s recently enacted policy.

2. This is a continuation of a previous procurement from the same source. In December 2008, SDI was awarded a task order to provide maintenance and support for Banner CIS.

On December 1, 2010, the City entered into a three-year agreement with System Development Integration with 2 (1) year extensions. Contract (PO) number 23687, Specification Number: 68625.

On November 29, 2013, the City extended the agreement with modification number 73034 to amend PO Number 23687 to extend services through November 30, 2015. The modification reason was ‘Dollar Amount Change’.

In November 2015, the City extended the agreement with modification number 103962 to amend PO Number 23687 to extend services through November 30, 2106 to ensure there were no interruptions in maintenance/support.

In December 2016, the City extended the agreement with modification number 138812 to amend PO number 46701 (formerly 23687) to extend services through November 30, 2017 to ensure there was no interruption in maintenance/support.

On December 14, 2017, the City entered into a two-year agreement with SDI Presence with 2 (1) year extensions. Contract (PO) number 69858, Specification number 483330.

3. SDI has supported the Banner CIS application since 2008. SDI has retained staff that originally assisted with the original implementation of the Banner CIS system which occurred in 1998. Only the SDI staff has gathered requirements, performed business and quality assurance to develop all of the existing interfaces and interdependent customizations the City requested. The City of Chicago has made a considerable investment in Banner CIS a several major customizations have been implemented. The SDI staff was the only staff involved with the Banner upgrade from version 2.2.1.2 to version 3.2. Additionally, because Banner CIS’s current functionality is unique to the City of Chicago, only the SDI staff have the experience and knowledge of the product to provide best practice and effective recommendations for the Department of Water Management’s and Department of Finance’s business process activities.

SDI possesses the Banner application knowledge, experience of Department of Water Management and Finance business policy, ordinances, processing rules and scheduling of application dependencies that no other firm possesses. As a result of SDI’s extensive expertise and experience with the City’s Banner CIS they have been retained as the maintenance and support provider for this critical system.

4. No research has been done to identify other sources. There is extreme risk to the City in using a new vendor to provide the required maintenance and support to the Banner CIS system, which is extremely old, complex and has
been heavily customized to meet the needs of the City.

5. The City's plan is to issue an RFP for a new billing system. The goal of this request is to ensure that the maintenance, support, and expertise for Banner CIS is provided until the new billing system can be procured and implemented via RFP. Banner CIS is responsible for the billing of approximately $1.5B in revenue. It is, therefore, critical to keep the Banner CIS operational and fully supported beyond November 30, 2017.

6. Future competitive bidding is possible, however, there is extreme risk to the City in using a new vendor to provide the required maintenance and support to the Banner CIS system which is responsible for the billing and collections of over $1.5B in revenue. The system is extremely old and has been heavily customized to meet the needs of the City. The SDI staff was the only staff involved in the customization and enhancement of Banner CIS.

ESTIMATED COST

1. The estimated cost is $5,755,965, of which $5,086,725 is for SDI's requirements gathering, coding, testing and implementation. The remaining amount of $669,240 is for an additional full-time support resource that is needed due to the complexity of relief calculations involved. The additional support resource calculations were based over a 27 month period from March 2020 through the end of the SDI contract in May 2022. OBM is in process of determining the funding source for the project itself. The additional support resource cost would be sourced from water funds.

2. The estimated cost by fiscal year is as follows:

   Assuming a November 1 project start, $565,360 will be expended in 2019 for Phase 1.

   2020 costs = $282,680 (Remainder of Phase 1) + $1,738,923 (Phase 2a) + $466,656 (Phase 2b) + $257,400 (Additional support) = $2,745,659

   2021 costs = $2,033,106 (Phase 3) + $308,880 (Additional support) = $2,341,986

   2022 costs = $102,960 (Additional support)

3. The estimates were derived from billing rates of SDI team members that were used for prior initiatives.

SCHEDULE REQUIREMENTS

1. The schedule is being driven by the Mayor's Office policy and to ensure these relief measures are in place prior to peak billing season next spring.

2. SDI Presence has supported the Banner CIS application since 2008. During the course of support, the City of Chicago’s Department of Innovation & Technology, Water Management, Streets and Sanitation, Budget Management and Finance have requested hundreds of customizations to the application. These customization range from billing calculations to external interfaces and has transformed the core Banner CIS application into one that is unique and specifically tailored in its design, construction, architecture and daily functionality to the City of Chicago's business needs. As part of SDI’s standard process, each customization is accompanied by a detailed design specification to records the functional and technical traits for training, analysis and archival processes.

   The lack of specifications is not a constraining factor when each customization is viewed individually. However, the combination of 15 interfaces and their interaction with more than thousands of application customizations creates a situation where only SDI is able to accurately and successfully provide the day-to-day support and production capabilities that the City of Chicago requires. Only the SDI staff have performed the tasks for requirements gathering, specification development, testing, implementation, and support of the application, database, and all customizations. Knowledge of the system, third party customization and business processes and policies would be difficult to transition to another vendor.
DEPARTMENT OF PROCUREMENT SERVICES  
NON-COMPETITIVE REVIEW BOARD (NCRB) APPLICATION  
JUSTIFICATION FOR NON-COMPETITIVE PROCUREMENT WORKSHEET

3. Due to the Mayor's announcement of these relief measures as well as the pending peak issuance of water bills next spring, it is imperative that the project start in early November 2019 in order to meet the proposed completion of Phases 1 and 2a by April 1, 2020.  
The overall project schedule is as follows:  
Phase 1 - Immediate/Short Term Relief - Program Mobilization/Training - 90 days from project start  
Phase 2a - Intermediate Term Relief - LIHEAP Program Automation/Banner-LIHEAP System Interface - 6 months from project start  
Phase 2b - Payment Arrangement/Utility Billing Modifications - 6+ months from project start  
Phase 3 - Long Term Relief - Non-Metered Billing Cycle Overhaul/Automatically Stop Billing Upon Service Termination - 12 months from project start  
4. Given the truncated timeline for implementation, competitive billing would subvert the Mayor's announced active date of the relief policy.

☐ EXCLUSIVE OR UNIQUE CAPABILITY

1. This request is not intended for hiring a person or firm.  
2. SDI is a certified Minority Business Enterprise with the City with qualified personnel that are considered unquestionably dominant players in the utility, technology, and business operations and have intimate knowledge of the City's business processes and IT environment sets. There are no other consulting firms that can provide this level of service. Many members on the team were on the initial Banner implementation, have been providing support and maintenance for the Banner applications since 1998, and reside in the Chicagoland area. SDI committed to continuing to staff the project with resources associated with the team average of over 15 years of experience.  
3. In 1998, the City was eager to replace their Department of Water Management legacy system to become Y2K compliant. SDI has retained many of the key staff that originally assisted with the original implementation of the Banner CIS system. SDI staff have gathered requirements, performed business and quality assurance to develop all of the existing interfaces and interdependent customizations the City requested. The SDI staff were the only staff involved with the Banner upgrades from version 2.2.1.2 to version 3.2 as well as the current upgrade in process. Additionally, knowledge of the product to provide best practices and effective recommendations for the Departments of Innovation and Technology, Water Management, Streets and Sanitation, Budget Management, and Finance's business process activities. SDI staff provides business process analysis, change management, and other non-application consultative and value-add services due to their knowledge of how billing technology is used by the City of Chicago. In 2016, the City of Chicago decided to begin charging for refuse services. The Department of Innovation tasked SDI with a feasibility study to provide options to integrate refuse into the existing Banner CIS with minimal impact to billing and collections. SDI successfully implemented refuse creating a $66,000,000 annual revenue stream for the City within a 6-month timeframe. In 2017, SDI was asked to add water and sewer taxes that was successfully implemented to create a $22,000,000 2017 revenue stream that will increase based on an agreed upon rate structure. Since SDI has the intricate system and business knowledge, the additions to the system were executed successfully. Said knowledge will be critical in successfully implementing the Mayor's utility billing relief initiative.  
4. SDI possesses the Banner application and system architectural knowledge. SDI has intimate knowledge of the Departments of Innovation & Technology, Water Management, Streets & Sanitation, Budget Management, and Finance's business policies, ordinances, processing rules and scheduling of application dependencies that other firms possess.  
5. SDI has successfully implemented similar initiatives in recent years, such as refuse billing and the addition of water/sewer taxes.  
6. N/A. This is a new request for Banner development services.  
7. N/A. This is a new request for professional services to allow SDI to customize Banner based on the Mayor's utility billing relief initiative.  
8. Only the SDI staff have performed the tasks for requirements gathering, specification development, testing,
implementation, and support of the application, database, and all customizations for the Banner CIS. Knowledge of the system, third party customization and business processes and policies would be difficult to transition to another vendor.

☐ OTHER
DEPARTMENT OF PROCUREMENT SERVICES
NON-COMPETITIVE REVIEW BOARD (NCRB) APPLICATION
INSTRUCTIONS FOR NON-COMPETITIVE PROCUREMENT APPLICATION

INSTRUCTIONS FOR PREPARATION OF NON-COMPETITIVE PROCUREMENT APPLICATION

If a City Department has determined that the purchase of supplies, equipment, work and/or services cannot be done on a competitive basis, a justification must be prepared on this “Justification for Non-Competitive Procurement Application” in which procurement is requested on a non-competitive basis in accordance with 65 Ill. Comp. Stat. 5/8-16-4 of the Illinois Compiled Statutes. Using this instruction sheet, all applicable information must be addressed on the worksheet. The information provided must be complete and in sufficient detail to allow for a decision to be made by the Non-Competitive Procurement Review Board. For Amendments, Modifications, describe in detail the change in terms of dollars, time period, scope of services, etc., its relationship to the original contract and the specific reasons for the change. Indicate both the original and the adjusted contract amount and/or expiration date with this change.

Attach a DPS Checklist and any other required documentation; the Board will not consider justification with incomplete information documentation or omissions.

PROCUREMENT HISTORY
1. Describe the requirement and how it evolved from initial planning to its present status.
2. Is this a first time requirement or a continuation of previous procurement from the same source? If so, explain the procurement history.
3. Explain efforts made to competitively bid the requirement (attach copy of sources contacted).
4. Describe in detail all research done to find other sources; list other cities, companies in the industry, professional organizations contacted. List periodicals and other publications used as references.
5. Explain future procurement objectives. Is this a one-time request or will future requests be made for doing business with the same source?
6. Explain whether or not future competitive bidding is possible. If not, explain in detail.

ESTIMATED COST
1. What is the estimated cost for this requirement or for each contract, if multiple awards are contemplated? What is the funding source?
2. What is the estimated cost by fiscal year?
3. Explain the basis for estimating the cost and what assumptions were made and/or data used (i.e., budgeted amount, previous contract price, current catalog cost or cost proposal from firms solicited, engineering or in-house estimate, etc.)
4. Explain whether the proposed Contractor or the City has a substantial dollar investment in original design, tooling or other factors which would be duplicated at City expense if another source was considered. Describe cost savings or other measurable benefits to the City which may be achieved.
5. Explain what negotiation of price has occurred or will occur. Detail why the estimated cost is deemed reasonable.

SCHEDULE REQUIREMENTS
1. Explain how the schedule was developed and at what point the specific dates were known.
2. Is lack of drawings and/or specifications a constraining factor to competitive bidding? If so, why is the proposed Contractor the only person or firm able to perform under these circumstances? Why are the drawings and specifications lacking? What is the lead time required to get drawings and specifications suitable for competition? If lack of drawings and specifications is not a constraining factor to competitive bidding, explain why only one person or firm can meet the required schedule.
3. Outline the required schedule by delivery or completion dates and explain the reasons why the schedule is critical.
4. Describe in detail what impact delays for competitive bidding would have on City operations, programs, costs and budgeted funds.

EXCLUSIVE OR UNIQUE CAPABILITY
1. If contemplating hiring a person or firm as a Professional Service Consultant, explain in detail what professional skills, expertise, qualifications, and/or other factors make this person or firm exclusively or uniquely qualified for the project. Attach a copy of the cost proposal, scope of services, and Temporary Consulting Services Form.
2. Does the proposed firm have personnel considered unquestionably predominant in the particular field?
3. What prior experiences of a highly specialized nature does the person or firm exclusively possess that is vital to the job, project or program?
4. What technical facilities or test equipment does the person or firm exclusively possess of a highly specialized nature which is vital to the job?
5. What other capabilities and/or capacity does the proposed firm possess which is necessary for the specific job, project or program which makes them the only source who can perform the work within the required time schedule without unreasonable costs to the City?
6. If procuring products or equipment, describe the intended use and explain any exclusive or unique capabilities, features and/or functions the items have which no other brands or models, possess. Is compatibility with existing equipment critical from an operational standpoint? If so, provide detailed explanation.
7. Is competition precluded because of the existence of patent rights, copyrights, trade secrets, technical data, or other proprietary data (attach documentation verifying such)?
8. If procuring replacement parts and/or maintenance services, explain whether or not replacement parts and/or services can be obtained from any other sources? If not, is the proposed firm the only authorized or exclusive dealer/distributor and/or service center? If so, attach letter from manufacturer on company letterhead.

MSE/WBE COMPLIANCE PLAN

* All submissions must contain detailed information about how the proposed firm will comply with the requirements of the City’s Minority and Women Owned Business Program. All submissions must include a completed C-1 and D-1 form, which is available on the Procurement Services page on the City’s intranet site. The City Department must submit a Compliance Plan, including details about direct and indirect compliance.

OTHER
1. Explain other related considerations and attach all applicable supporting documents, i.e., an approved IT-G8 Form or “Request For Individual Hire Form”.

REVIEW AND APPROVAL

This application must be signed by both Originator of the request and signed by the Department Head. After review and final disposition from the Board, this application will be signed by the Board Chairman. After review and final disposition from the Board, this form will be presented to the Chief Procurement Officer recommending approval.
Date: October 21, 2019
Department Name: Innovation and Technology

Project Title: NCRB Request to increase vendor limit and modify scope
Project Description: WATER MANGEMENT CUSTOMER SERVICE, BILLING, AND INFORMATION SYSTEM SUPPORT
Funding:
- Corporate
- Bond
- Enterprise
- Grant
- Other:
- IDOT/Transit
- IDOT/Highway
- FHWA
- FTA
- FAA

Purchase Order Information:
- Contract Term (No. of Months):
- Extension Options (Rate of Recurrence):
- Estimated Spend/Value: $
- Grant Commitment / Expiration Date:
- Pre-Bid/Submittal Conference: Yes No
- Mandatory Site Visit

Modification or Amendment:
- PO Start Date: 01-JUN-2018
- PO End Date: 31-MAY-2020
- Amount (Increase/Reduction): $5,755,965
- MBE/WBE/DBE Analysis: Full Compliance Contract Specific Goals No Stated Goals Waiver Request Risk Management / EDS / IDOT
- Insurance Requirements (included) Yes No
- EDS Certification of Filling (included) Yes No
- IDOT Concurrence (required) Yes No

Vendor Information:
- Name: SDI Presence LLC
- Contact: Matt Haughey
- Address: 200 E. Randolph St, Suite 3500, Chicago IL 60601
- E-mail: m.haughey@sdipresence.com
- Phone: 312-580-7500

Special Approvals Required:
- Emergency
- Non-Competitive Review Board (NCRB)
- Request for Individual Contract Services
- Information Technology Governance Board (ITGB)
- IDOT Concurrence

Operation/Amendment Type:
- Time Extension Scope Change/Price Increase/Additional Line Item(s)
- Vendor Limit Increase Requisition Encumbrance Adjustment
- Other (specify):

Safety Enhancing Vehicle Equipment (MCC 2-92-597) Yes _No_

Contract Type:
- Architect Engineering Commodity
- Professional Services Revenue Generating
- Work Service Joint Procurement
- Vehicle & Heavy Equipment Reference Contract
- Construction JOC SBI

For Blanket Agreements, the lead department must consult with other departments who may wish to participate in the Blanket Agreement. If you plan to participate, attach copy of the approved grant application and other terms and conditions of the funding source.

By signing this form, I attest that all information provided is true and accurate.
Requisition 310621
NCRB Request to increase vendor limit and modify scope
WATER MANAGEMENT CUSTOMER SERVICE, BILLING, AND INFORMATION SYSTEM SUPPORT
PO 69858  SDI Presence LLC

Funding:

<table>
<thead>
<tr>
<th>FY</th>
<th>FUND</th>
<th>DEPT</th>
<th>ORGN</th>
<th>APPR</th>
<th>ACTV</th>
<th>PROJECT</th>
<th>RPTG</th>
<th>ESTDOLLAR AMOUNT</th>
</tr>
</thead>
<tbody>
<tr>
<td>20</td>
<td>200</td>
<td>99</td>
<td>2005</td>
<td>139</td>
<td>220000</td>
<td></td>
<td></td>
<td>$ 2,600,000.00</td>
</tr>
<tr>
<td>20</td>
<td>200</td>
<td>99</td>
<td>2005</td>
<td>138</td>
<td>220000</td>
<td></td>
<td></td>
<td>$ 426,965.00</td>
</tr>
<tr>
<td>20</td>
<td>314</td>
<td>99</td>
<td>2005</td>
<td>139</td>
<td>220000</td>
<td></td>
<td></td>
<td>$ 2,600,000.00</td>
</tr>
<tr>
<td>20</td>
<td>314</td>
<td>99</td>
<td>2005</td>
<td>138</td>
<td>220000</td>
<td></td>
<td></td>
<td>$ 129,000.00</td>
</tr>
<tr>
<td>TOTAL</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$ 5,755,965.00</td>
</tr>
</tbody>
</table>
MEMORANDUM

To: Shannon Andrews
  Chief Procurement Officer
  Procurement Services

From: Carleton Nolan
  Acting Chief Information Officer
  Innovation and Technology

Date: October 28, 2019

Re: WATER MANAGEMENT BILLING AND INFORMATION SYSTEM – UTILITY BILLING RELIEF
    NCRB Request for Amendment/Modification
    Req 310621/ Spec. 483330
    Current Contract Number: 69858

DoIT requests approval of a vendor limit increase and scope change for SDI Presence LLC PO number 69858.

The scope change is for changes to the Banner CIS system to comply with the Mayor’s Utility Billing Relief initiative. The scope will encompass changes to Banner’s existing collection strategy along with the billing, payment arrangement, delinquency, and bad debt modules to provide water, sewer, tax and penalty billing relief to some of the City’s low-income homeowners enrolled in the Low-Income Home Energy Assistance Program (LIHEAP).

The amount of the vendor limit increase is $5,755,965 which is comprised of $5,086,725 for the project itself and $669,240 for an additional support resource that will be required post-implementation.

(cont.,)
<table>
<thead>
<tr>
<th>Phase (Duration)</th>
<th>Phase Description</th>
<th>Profession Service Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 (90 days)</td>
<td>Immediate/Short Term Relief – Program Mobilization/Training</td>
<td>$848,040</td>
</tr>
<tr>
<td>2a (6 months)</td>
<td>Intermediate Relief – LIHEAP Program automation/Banner-LIHEAP System Interface</td>
<td>$1,738,923</td>
</tr>
<tr>
<td>2b (6+ months)</td>
<td>Payment Arrangement/Utility Billing Modifications</td>
<td>$466,656</td>
</tr>
<tr>
<td>3 (12 months)</td>
<td>Long Term Relief – Non-Metered Billing cycle Overhaul/Automatically stop billing upon service termination</td>
<td>$2,033,106</td>
</tr>
<tr>
<td>March 2020 through May 2022</td>
<td>Additional support resource</td>
<td>$669,240</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td></td>
<td><strong>$ 5,755,965</strong></td>
</tr>
</tbody>
</table>

The timeline for completion of phases 1 and 2a are driven by the Mayor’s Office and their enacted policy. Given the peak water billing season in the spring, it is imperative that these development changes are deployed by April 1, 2020. Doing so would require a project start in early November 2019.

SDI uniquely positioned to perform the implementation and post implementation support services of this UBR program. Because of its history with the operation and maintenance of the Banner System, SDI is uniquely familiar with the City’s water/sewer/refuse/tax rate structure, business processes, technical environment, and the 3,000+ system modifications made since the initial implementation. Because of SDI’s intimate knowledge of the City’s business processes and IT environment sets, there are no other IT system integrators/consulting firms that can provide SDI’s level of support.

Included with this request is the justification memo, Statement of Work, EDS, MBE/WBE compliance plan and project checklist documents.

Thank you for your consideration to DoIT’s request for a contract amendment. If additional information is required, please contact Adrian Molato at x4-5318 and Adrian.Molato@cityofchicago.org; and Judy Mims at x2-1817 and Judith.Mims@cityofchicago.org

attachments

cc: J. O'Brien/DPS
    J. Chan/DPS
    A. Molato/DoIT
    J. Mims/DoIT
SCOPE OF WORK

SPECIFICATION NUMBER 483330

The City of Chicago desired to execute a Statement of Work with SDI Presence, LLC to provide professional services to modify the Banner CIS system to comply with the Mayor's Utility Billing Relief Initiative. The scope will encompass changes to Banner's existing collection strategy along with the billing, payments arrangement, delinquency, and bad debt modules to provide water, sewer, tax and penalty billing relief to some of the City's low-income homeowners enrolled in the Low-Income Home Energy Assistance Program (LIHEAP).

In addition, supplemental collection processing activities will be incorporated to ease burden such as:

- Posting a property for service disconnection
- Service disconnection processes
- Additional collection agency actions

SDI will provide additional full-time resources (outside of the Banner Maintenance & Support team) to define requirements, document enhancement functionality, code, test, and implement the changes to the existing collection strategy along with the billing, payment arrangement, delinquency, and bad debt modules in the Banner CIS system and integration services to the LIHEAP system. At this time, additional personnel include a Program Manager, Project Manager, Programmer Analysts, Business Analysts (Specification Development, Testing, Training, Support), and System Architects for the integration.

The additional full-time resources will be perform the following activities:

1. Gather and Refine Requirements
2. Develop Project Definition/Project Charter
3. Develop Functional Specification and Change Controls
4. Develop Technical Approach Specification documents
5. Develop all new LIHEAP rates
6. Develop new/modified Banner CIS Forms/Processes/Reports
7. Develop Test Cases
8. Perform Testing
9. Develop Training Materials
10. Perform Training (Train-the-Trainer Approach)
11. Provide Post Implementation Support Services

The following deliverables will be completed as part of the Utility Billing Relief (UBR) project:

- Project Definition documents
- Project Work Plans
- Weekly Status Updates/Reports
- Signed Functional/Technical Specification Documentation
- Written Test Scripts/Cases
- New/Modified Forms/Processes/Reports
- Integrated Banner CIS-LIHEAP system interface
- Executed Test Scripts/Cases
  - Integration Testing
  - System Testing
- Training/Training Documentation (Train-the-Trainer)
- Transition Service to Post-Implementation Support Team

Sincerely,

[Signature]

Adrian Molato, IT Director

Department of Innovation and Technology
October 17, 2019

Carleton Nolan  
City of Chicago - Acting CIO and Commissioner  
Department of Innovation & Technology  
333 S. State St. #420  
Chicago, IL  60604

Re: Single Source Justification - URB Program Implementation

Dear Acting CIO and Commissioner Nolan,

SDI Presence, LLC ("SDI") is in receipt of your request for a justification to single source services to be provided by SDI to the City of Chicago Departments of Finance ("Finance") and Innovation & Technology ("DoIT") and the Office of Budget Management ("OBM"). This letter is in response to your request.

GENERAL BACKGROUND

SDI, a City certified Minority Business Enterprise, understands the City’s request to overhaul the existing collection strategy, along with the billing, payment arrangement, delinquency, and bad debt modules in the City’s Banner Customer Information (CIS)/Billing System (the “Banner System”) to provide water, sewer, tax and penalty billing relief to some of the City’s low-income homeowners enrolled in the Low Income Home Energy Assistance Program ("LIHEAP"), and potentially other related programs – otherwise known as the Utility Billing Relief Program ("UBR Program"). LIHEAP is a United States federal social services program that assists low income households with home energy/utility billing needs. LIHEAP is part of the United States Department of Health and Human Services and is funded by grants from the federal government. In Illinois, LIHEAP is administered by Community and Economic Development Association of Cook County.

UNIQUE QUALIFICATIONS

SDI is uniquely positioned to perform the implementation and post implementation support services of the UBR Program. SDI provided services on the initial implementation of the Banner System. Because of its history with the operation and maintenance of the Banner System, SDI is also uniquely familiar with the City’s water/sewer/refuse/tax rate structures, business processes, technical environment, and the 3,000+ system modifications made since the initial implementation. Because of SDI’s intimate knowledge of the City’s business processes and IT environment sets, there are no other IT system integrators/consulting firms that can provide SDI’s level of support.

SDI will assign qualified personnel to the UBR Project that are considered dominant players in utility, technology, and business operations. SDI staff have deep experience and knowledge of the Banner System and the business process activities of Finance, DoIT, OBM and the Departments of Water Management, Streets and Sanitation. This makes SDI uniquely qualified to provide best practices and effective recommendations for each Department. SDI staff are able to provide business process analysis,
change management, and other non-application consultative and value-add services due to their knowledge of how billing technology is used by the City.

In 2016, the City of Chicago decided to begin charging for refuse services. DoIT tasked SDI with a feasibility study to provide options to integrate refuse into the existing Banner System with minimum impact to billing and collections. SDI successfully implemented the refuse billing into the Banner System helping the City generate a $253M revenue stream (since implementation) for the City within a 6-month timeframe.

In 2017, the City tasked SDI to add water and sewer taxes to the Banner System. SDI successfully completed the implementation and helped the City generate a $308M revenue stream that will increase based on an agreed rate structure. Because SDI has such intricate knowledge of the Banner System and the City’s billing and collection objectives and methods, both additions to the Banner System were successfully executed by SDI.

**SDI RESOURCES**

Many members of the current SDI Team were on the initial Banner System implementation. These SDI Team members have continued to provide implementation/support services for the Banner System for years, many residing in the Chicagoland area. SDI is committed to staff the UBR Project with resources associated with the SDI Team averaging over 15 years of experience. This UBR Team will be led by the following senior resources:

- **Matthew Haughey**, SDI VP of Delivery, has over 20 years of consulting experience and utility industry expertise in Customer Information Systems (CIS), Meter Reading Systems and Work Management Systems - having previously worked for IBM Global Services – National Center of Excellence for Utilities (previous clients for IBM include: Seattle City Light & Power and Public Utilities, Vectren Energy-Indiana Gas/Southern Indiana Gas and Electric/Dayton Gas). Mr. Haughey also has expertise in project/program management, systems integration, application development, functional gap analysis, business requirement analysis, business process development, functional design, and quality assurance testing. Mr. Haughey has been the Delivery/Account Executive for the last nine (9) years on the Chicago Department of Water Management’s CIS Managed Services Project.

- **Marie Nichols**, Senior Consultant/Functional Lead, has over 20 years of professional experience within the insurance industry in accounting having previously worked with UNUM/Colonial Life/Lincoln Financial Group and in the utility industry in Customer Information Systems (CIS) with (6 years) SCT/INDUS and SDI (9 years) on the City of Chicago Department of Finance project. Ms. Nichols is proficient in project management and has a proven record of achievement in business requirement analysis, business process development, functional design, and quality assurance testing.

- **Anil Mithamidi**, SDI’s Technical Lead and Principal Consultant, has over 17 years of experience in Client-Server and 3-Tier Application Development experience and over 10 years of
experience in 24x7 Production Support. Mr. Mittamidi has successfully led and served in
several Banner CIS Implementation, Migration, Conversion and Cash Reconciliation projects
for large utility clients like OneGas, Atmos, NV Energy, Vectren, Aqua, and City of Chicago.

Please let me know if you have any questions or comments regarding any of the foregoing.

Sincerely,

Matt Haughey
VP – Public Sector and Utilities Practice
SDI Presence LLC (SDI)
(312) 580-7500
mhaughey@sdipresence.com
Carleton Nolan  
Acting CIO and Commissioner  
City of Chicago  
Department of Innovation & Technology  
333 S. State St. #420  
Chicago, IL 60604

Re: SDI Proposal/Quote - Banner CIS – Utility Billing Relief Project

Dear Mr. Nolan,

SDI Presence, LLC (“SDI”) appreciates the opportunity to provide this Proposal/Quote for services to be provided by SDI for the City of Chicago Departments of Finance, Office of Budget Management, and Innovation & Technology. SDI, a certified Minority Business Enterprise (MBE), acknowledges the request to overhaul the existing collection strategy along with the billing, payment arrangement, delinquency, and bad debt modules in the Banner CIS System to provide water, sewer, tax and penalty billing relief to some of the City’s low-income homeowners enrolled in the Low Income Home Energy Assistance Program (LIHEAP), and potentially enrolled in other related programs. The LIHEAP Program is a United States federal social services program that assists low income households with home energy/utility billing needs. The program, part of the United States Department of Health and Human Services (HHS), is funded by grants from the federal government. In Illinois, the LIHEAP Program is administered by Community & Economic Development Association of Cook County (CEDA).

In addition, there are new requirements to ease the burden of additional collection processing activities which include, but are not limited to the following:

➢ Posting a property for service disconnection
➢ Service disconnection processes
➢ Additional collection agency actions

The project will be structured into 3 phases as defined below. The Proposal/Quote provided is based on discussions and gathering of requirements of all three phases with the Departments of Finance, Budget Management, and Innovation & Technology Representatives.

**Personnel**

SDI will provide additional full-time resources (outside of the Banner Maintenance & Support team) to define requirements, document enhancement functionality, code, test, and implement the changes to the existing collection strategy along with the billing, payment arrangement,
delinquency, and bad debt modules in the Banner CIS System and integration services to the LIHEAP System(s). At this time, additional personnel include a Program Manager, Project Manager, Programmer Analysts, Business Analysts (Specification Development, Testing, Training, Support), and Systems Architects for the integration.

The additional full-time resources listed above will perform the following activities:

**Personnel Services – Phase 1 - Immediate/Short Term UBR Project (6 months)**

1. Gather and Refine Requirements (See Appendix A for Initial Requirement Sets)
2. Develop Project Definition/Project Charter
3. Develop Functional Specification and Change Controls
4. Develop Technical Approach Specification documents
5. Develop all new LIHEAP rates
6. Develop New/Modified Banner CIS Forms/Processes/Reports
7. Develop Test Cases
8. Perform Testing
9. Develop Training Materials
10. Perform Training (Train-the-Trainer Approach)
11. Provide Post Implementation Support Services

**Personnel Services – Phase 2 - Intermediate Term UBR Project (6 Months)**

1. Gather and Refine Requirements (See Appendix A for Initial Requirement Sets)
2. Develop Project Definition/Project Charter
3. Develop Functional Specification and Change Controls
4. Develop Technical Approach Specification documents
5. Develop New/Modified Banner CIS Forms/Processes/Reports
6. Develop New LIHEAP Interface
7. Develop Test Cases
8. Perform Testing
9. Provide Post Implementation Support Services

**Personnel Services – Phase 3 - Long Term UBR Project (12 Months)**

1. Gather Requirements (See Appendix A for Initial Requirement Sets)
2. Develop Project Definition/Project Charter
3. Develop Functional Specification and Change Controls
4. Develop Technical Approach Specification documents
5. Develop New/Modified Banner CIS Forms/Processes/Reports
6. Develop Test Cases
7. Perform Testing
8. Provide Post Implementation Support Services
Deliverables
The following deliverables will be completed as part of the Utility Billing Relief (UBR) project:

- Project Definition documents
- Project Work Plans
- Weekly Status Updates/Reports (throughout all phases)
- Signed Functional /Technical Specifications Documentation
- Written Test Scripts/Cases
- New/Modified Forms/Processes/Reports
- Integrated Banner CIS – LIHEAP System Interface
- Executed Test Scripts/Cases
  - Integration Testing
  - System Testing
- Training / Training Documentation – Phase I (Train-the-Trainer)
- Transition Service to Post Implementation Support Team at the end of each Phase

Pricing
SDI will charge the City of Chicago Department of Innovation Technology on a fixed fee basis based upon the activities described above and the assumptions detailed in Appendix B attached. This estimate is being provided based upon high-level requirements, and the City’s need for an immediate cost assessment.

The cost for professional services is $5,086,725. This cost is only professional services. Peripheral infrastructure, licensing, and/or software costs associated with City or the City’s vendors can be found in Appendix B.

<table>
<thead>
<tr>
<th>Phase (Duration)</th>
<th>Phase Description</th>
<th>Professional Service Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 (6 months)</td>
<td>Intermediate Term Relief - Program Mobilization /Training</td>
<td>$848,040.00</td>
</tr>
<tr>
<td>2a (6 months)</td>
<td>Intermediate Term Relief - LIHEAP Program Automation /Banner- LIHEAP System Interface</td>
<td>$1,738,923.00</td>
</tr>
<tr>
<td>2b (6 months+)</td>
<td>Payment Arrangement / Utility Billing Modifications</td>
<td>$466,656.00</td>
</tr>
<tr>
<td>3 (12 months)</td>
<td>Long Term Relief – Non-Metered Billing Cycle Overhaul / Automatically Stop Billing Upon Service Termination</td>
<td>$2,033,106.00</td>
</tr>
<tr>
<td><strong>UBR PROJECT TOTAL</strong></td>
<td></td>
<td><strong>$5,086,725.00</strong></td>
</tr>
</tbody>
</table>

Change requests approved by the City may result in additional project costs. Phases 1 and 2 will be performed concurrently (6 months in duration). Phase 3 is not dependent in the completion of any prior phase, but the start date has yet to be determined.
Note: There will be an increase of $25,740 per month for base support associated with the UBR Program beginning with the implementation of Phase 1 (anticipated to be 26 months of support or $669,240). The increased professional services cost of the UBR Project ($5,086,725) and the additional support resource ($669,240) will be $5,755,965.

Invoicing

SDI will invoice based on the percent complete per month (not to exceed final/approved pricing) for the Utility Billing Relief Project.

The $25,740 per month in additional base support will be added/billed with the monthly on-going Water Management Customer Service, Billing, and Information System Maintenance and Support invoice.

Please do not hesitate to contact me if you require additional information or clarification.

Sincerely,

[Signature]

Matt Haughey
VP – Public Sector and Utilities Practice
SDI Presence, LLC (SDI)
(312) 580-7500
mhaughey@sdipresence.com
Appendix A – Initial Requirements

Personnel Services – Phase 1 - Immediate/Short Term Relief – Program Mobilization
Gather Requirements - Initial requirements include, but are not limited to:

1. Create a web service and provide limited fields in UZBTMPQ to outside agency (CEDA - Community & Economic Development Association of Cook County, Inc) Note: CEDA cannot provide data by law. Provide a mechanism to accept enrollments and disenrollments. Create a new UBR welcome letter (includes program framework / i.e. FPC changes). The program will be limited to homeowners up to 2 flats, not a senior, not a vacant dwelling, not in MeterSave).

2. Create Water, Sewer, Tax 50% Reduction Rates.

3. Create a new LIHEAP Delinquency Code and modify the posting (POST)/Service Disconnection (SHUT) Programs to not process LIHEAP customers.

4. Create new Notices (Welcome Letter, New Notices Letters – i.e. LIHEAP 30, LIHEAP 60, LIHEAP 90 – date of generation to be determined, Letter prior to anniversary that all new charges need to be paid for debt forgiveness)

5. Create new Bad Debt Statuses and the corresponding transfer/backout Adjustment Codes:
   - 'X' - LIHEAP Evaluation Period (12 months)
   - 'Y' - LIHEAP Enrollment Period Ended (current on new charges after 12 months)
     - Debt Balance Remains Removed - remain at 50% reduction WT, SW, TX Rate
   - 'Z' - LIHEAP Enrollment Period Ended (not current on new charges after 12 months) - Debt Balance Restored charge uncharged service history rows and move to regular residential rate."

6. Modify Account Maintenance to track LIHEAP Data (i.e. LIHEAP ID, application date, enrollment date, anniversary date, removal date, removal reason). This will be utilized for manual enrollments (outside the matching process).

7. Create a new LIHEAP Tracking Report to track all accounts in the program to ensure:
   - Only residential up to two flat building - Service Class
   - WT, SW, Water TX, and Sewer TX all have a 50% rate reduction
   - No active payment plan
   - No Vacant Building Dwelling Type
   - No senior delinquency code or 0% Sewer Association
   - No MeterSave
   - LIHEAP Delinquency code
   - Penalty exempt
   - Bad Debt Agency Referral Exempt
   - Monthly Bill Cycle
   - If Bad Debt exists, it only has a status of 'X', 'Y', or 'Z'
   - No estimated readings (3 or more consecutive immediately prior to enrollment or during eval period)
   - Recent RC Letter/RC Trouble Code since last reading.
○ No bad debt status of ‘Z’ (indicating a failure to pay new charges during the 12-13-month evaluation period)

8. Modify the Running Continuous letter to have language surrounding the LIHEAP Program.
9. Create a New Report to be sent to Law Firms where the Assignment is changed from a Standard Collection Agency to the City of Chicago (possible trigger off of the audit field).
10. Create a New City of Chicago Agency for the LIHEAP Program.
11. Create a LIHEAP graduation report to be sent to the agencies so they can waive collection fees.
12. Modify the Charitable Reports - Rate Reduction Report.
13. Modify the Balancing Report (UZRNBAL) to include these rates

Personnel Services – Phase 2a - Intermediate Term Relief – Automation / Banner- LIHEAP
System Interface / Payment Arrangement - Utility Billing Modifications
Gather Requirements - Initial requirements Include, but are not limited to:
14. Create on-line interface Banner CIS Data against LIHEAP Data participants (homeowner up to 2 flats, no seniors, not a vacant dwelling, not in MeterSave - ideally this is a web service for the application that interfaces with the LIHEAP System). On a match, automatically perform the following:
   ○ Post/Shut Exempt (modified in previous phase - UZPPOST/UZPSHUT – exemption will only last for a certain period of time i.e. 365 days – to be determined)
   ○ Penalty exempt
   ○ New delq code of ' LIHEAP '
   ○ Move to Monthly Bill Cycle (and move in monthly refuse rates)
   ○ Bad Debt / Agency Referral Exempt
   ○ Cancel active payment plan
   ○ Change the payment plan eligibility indicator to ineligible in the interface table (UZBTMPQ)
   ○ Create necessary columns (assistance program information: LIHEAP ID, application date, enrollment date, anniversary date, removal date, removal reason) for the LIHEAP Program in the interface table (UZBTMPQ)
15. Prevent the creation of Payment Plans in Banner, IVR (Catalyst/Accuvoice - SDI will change the payment plan eligibility indicator to ineligible (Catalyst / Accuvoice would not need to make any changes), on-line, (Sebis/Catalyst-Docugateway) and any other source while in LIHEAP). Modify the Web Layer and Banner Payment Arrangement Form to prevent the creation of a payment arrangement while enrolled in the LIHEAP Program.
16. Add new LIHEAP indicator to alerts on top of new web-based CSR form. indicator on top, IVR and online payment arrangements (Sebis/Catalyst-Docugateway)
17. Automatically move to Bad Debt Status of:
   ○ 'X' - LIHEAP Evaluation Period (13 months from anniversary date in UCAACCT)
     - does not happen overnight - immediately moves to new status and transfers existing debt or any bad debt automatically to new bad debt status (assigns to internal City Agency).
- 'Y' - LIHEAP Enrollment Period Ended (current on new charges after 13 months) - Debt Balance Removed - remain at 50% reduction WT, SW, TX Rate
- 'Z' - LIHEAP Enrollment Period Ended (not current on new charges after 13 months) - Debt Balance Restored - move to regular residential rate and revert all exemptions:
  - No longer Post/Shutdown Exempt (modified in previous phase - UZPPOST/UZPSSHUT)
  - No longer Penalty Exempt
  - Move to prior delq code
  - Remain in Monthly Bill Cycle
  - No longer Bad Debt / Agency Referral Exempt
  - Payment plan eligible

18. If Full Payment Certificate received, full balance is due if in 'X' - LIHEAP Evaluation Period (13 months -> money moves back on the account). Modify the On-Line FPC Process to put a Bad Debt Status of LIHEAP automatically restores the full balance on the account that makes it collectable.

19. Create a mechanism to perform periodic (i.e. annual) verification of LIHEAP eligibility - Banner -> Federal/State LIHEAP System:
   a. Only allow up to 2 UBR defaults. A default is defined as follows:
      - Failing to pay all new charges by the UBR Anniversary Date - Bad Debt Status of 'Z' (Debt Restored).
      - Failing to reenroll in the program within the 60-day window (30 days before or 30 days after the anniversary date).
   b. Reenrollments after the first anniversary will continue to receive all of the benefits of the UBR Program (i.e. exemptions) with the exception of relieving all prior debt.

Personnel Services – Phase 2b - Intermediate Term Relief - Payment Arrangement / Utility Billing Modifications

Payment Arrangements
The number of payment arrangements created has increased significantly year over year, including a 41% increase from 2017 to 2018.

<table>
<thead>
<tr>
<th>Year</th>
<th>CSR</th>
<th>IVR</th>
<th>Online</th>
<th>Grand Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>2014</td>
<td>47,635</td>
<td>14,206</td>
<td></td>
<td>61,841</td>
</tr>
<tr>
<td>2015</td>
<td>47,989</td>
<td>17,859</td>
<td></td>
<td>65,848</td>
</tr>
<tr>
<td>2016</td>
<td>69,479</td>
<td>12,620</td>
<td></td>
<td>82,099</td>
</tr>
<tr>
<td>2017</td>
<td>59,269</td>
<td>12,701</td>
<td>4,145</td>
<td>76,115</td>
</tr>
<tr>
<td>2018</td>
<td>51,330</td>
<td>38,927</td>
<td>17,090</td>
<td>107,347</td>
</tr>
</tbody>
</table>

This increase can be attributed to factors such as annual rates increases, the addition of billing for new water/sewer taxes and refuse services, aggressive collection activities (i.e. posting for shut off, shut off for non-payment, collection agency referral, city employee wage garnishment), and the increase in types/durations of payment arrangements (i.e. 12, 18, and 24 month options).
While not a LIHEAP / UBR Initiative, there is a new city initiative to include payment arrangement installment information on bill print files allowing customers to better understand their balance/payment options then subsequently pay for payment arrangement installment plus current charges (as payment plans and bills are currently independent processes sent on different pieces of correspondence). This will eliminate customer confusion regarding the balance due/payment arrangements and unnecessary outreach (walk-in, call, email) to the City of Chicago Utility Billing and Customer Service Center. In addition, this will eliminate printing/mailing costs associated with send payment arrangement installment correspondence as this will be included on future bills.

20. This initiative includes the following changes:
   a. Insert the installment information (similar to table on the PYAR Reminder Letter). (2 Options: SDI/MSS to update and Sebis pulls from existing UZVPABA). Place installment information under Standard PYAR Language on top right of the bill (Info pulled from existing PYAR view).

| Account Summary |
|-----------------|-----------------|
| Installment #2 - due by SEP-02-2019 | $100.16 |
| Remaining balance on payment plan | $1,001.58 |
| Total account balance (includes amount on payment plan) | $1,016.18 |

**Utility Billing**

The current City of Chicago Utility Bills have multiple transactions included in the 'Adjustment' section of a bill. In addition to adjustments, these transactions include new charges entered by a user (i.e. not metered reading/non-metered billing-based charges), credit balance refunds, service order auto generated fees (POST, SHUT, IRSO), and charge transfers. This often leads to customer confusion and unnecessary outreach (walk-in, call, email) to the City of Chicago Utility Billing and Customer Service Center (see sample below).

自治区 Service Address: 8545 S. JEFFERY BLVD CHICAGO IL 60617-2267

Bill Summary for this MeterSave Account for billing period Jan-04-2019 thru Jan-18-2019

| Previous Balance | $688.77 |
| Adjustments | $405.97 CREDIT |
| Payments | $105.99 |
| Current Water | $15.78 |
| Current Sewer | $15.78 |
| Current Water-Sewer Tax | $18.04 |
| Current Garbage | $5.35 |
| Current Penalty | $7.87 |
| Total Due | $186.70 |

While not a LIHEAP / UBR Initiative, there is a new city initiative to modify the bill print module to break out the individual fees. This will allow customers to better understand their balance/payment options, reduce the number of billing disputes, and subsequently pay their bills.
21. Modify Bill print - Break out Adjustment Field on the bill to show miscellaneous charges/fees:
   a. Create a New Line Item on the Bill to show the Misc. Charges/Fees:
      - IRSO-Illegal Restore Fee
      - OFF-Shut Off Fee
      - ONF-Restore Fee
      - FPC-Full Payment Certificate Fee
      - RCF-Returned Check Fee
      - METR-Meter Fee
      - Remote Reading Device Fee
      - Lien Fee

      There is a requirement to list what the fee is somewhere on the bill (even if there are multiple instances of a fee). Note: There were 3,400 times in 2018 where multiple fees occurred in the same billing period.

There are significant changes associated with the aforementioned modifications to the Banner CIS Payment Arrangement and Utility Billing Modules. Since the Utility Billing Relief Initiative requires changes to the same modules, there are both application development and testing efficiencies gained (particularly regression testing) versus running these multiple initiatives independently.

**Personnel Services – Phase 3 - Long Term Relief – Non-Metered Billing Cycle Overhaul**

Gather Requirements - Change 180,000 non-metered accounts from a six (6) month to a monthly (1) billing schedule. Initial requirements include, but are not limited to:

22. Set Up - Modify Rates and configurations in Banner tables

23. Account Creation – Modify and/or Test changes to Banner tables

24. Processes – Modify and/or Test changes to Banner processes, including Charge Calculation and the Non-Metered Billing Schedule

25. Interfaces – Modify and/or Test changes to five (5) Banner interfaces, including the On-Line FPC, Bill Print. The potential modifications associated with the MeterSave interface represents a significant change/level of effort.

26. Adjustments - Modify and/or Test changes associated with adjustments that assumed six-month billing periods.

27. Change Management – Document and/or coordinate and train business owners on changes as they relate to different Banner modules or business processes

28. Data Storage – Test and Evaluate data storage capacity as it relates to data-producing processes and tables, including Delinquency and Reminders

29. Appworx – Modify and/or Test the Appworx Scheduling Module (i.e. Delinquency Schedules)

30. Performance – Test and Evaluate application performance as it relates to data-producing processes and tables, including Charge Calculation and Delinquency Runs

31. New Processes – Create a new script to update all 888 Non-Metered rates from six (6) month billing to one (1) month billing, with new effective dates

32. Reports – Modify and/or Test impact on 152 application reports

33. Ad Hoc Budget Report – Modify and/or Test impact on ad hoc budget reports
Other

34. Create a mechanism to start/stop non-metered billing after a service disconnection /
activation.
Appendix B - Assumptions

I. Utility Billing Relief Assumptions

Banner CIS Infrastructure Requirements

1. SDI recommends a separate Banner CIS Test Environment for this UBR initiative to separate development and testing efforts from the final phase of the Banner Refresh Project – CSR Interface that will be running in parallel (started 07/15/19), impacting the following Banner Modules:

<table>
<thead>
<tr>
<th>Build Phase</th>
<th>Module Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Payments (Disable/Remove)</td>
</tr>
<tr>
<td>1</td>
<td>Financials (Service History, Bill History, Ledger Card)</td>
</tr>
<tr>
<td>2</td>
<td>Pay Arrangements</td>
</tr>
<tr>
<td>2</td>
<td>Service Orders</td>
</tr>
<tr>
<td>3</td>
<td>Calendar</td>
</tr>
<tr>
<td>3</td>
<td>High Bill</td>
</tr>
<tr>
<td>3</td>
<td>Collections</td>
</tr>
<tr>
<td>4</td>
<td>Adjustments (New Charge Entry, Consumption Adj, Monetary Adj)</td>
</tr>
<tr>
<td>5</td>
<td>New Construction (Interface included)</td>
</tr>
<tr>
<td>All</td>
<td>Miscellaneous (Alerts, Rules, DB Constraints/Common, Docs, Training)</td>
</tr>
</tbody>
</table>

This Proposal/Quote does not contemplate the hardware, software (Oracle, Appworx, MicroFocus), or licensing costs associated with creating this new Test Environment.

<table>
<thead>
<tr>
<th>Item</th>
<th>Cost</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Test Environment Hardware</td>
<td>TBD – DoIT to obtain</td>
<td>a. Leverage existing DEV Citrix Server(s)</td>
</tr>
<tr>
<td>a. Citrix Server(s)</td>
<td></td>
<td>b. Leverage existing DEV or QA Server(s)</td>
</tr>
<tr>
<td>b. JBoss Server(s)</td>
<td></td>
<td>c. Leverage existing WebLogic Server(s)</td>
</tr>
<tr>
<td>c. WebLogic Server(s)</td>
<td></td>
<td>d. 1 New Batch Server required (new server required to install Appworx and Cobol Licenses)</td>
</tr>
<tr>
<td>d. Batch Server</td>
<td></td>
<td>e. 1 New DB Test Instance</td>
</tr>
<tr>
<td>e. Oracle Exadata Server</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Item</td>
<td>Cost/Estimate</td>
<td></td>
</tr>
<tr>
<td>----------------------------------------------------------------------</td>
<td>--------------------------------------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>Oracle License</td>
<td>None (According to DoIT)</td>
<td></td>
</tr>
<tr>
<td>New Appworx License (assume this includes hours for installation)</td>
<td>$12,000.00</td>
<td></td>
</tr>
<tr>
<td>New MicroFocus License &amp; Annual Maintenance (from A. Molato)</td>
<td>a. $225,000.00</td>
<td></td>
</tr>
<tr>
<td>Catalyst Development Effort – FPC Modifications:</td>
<td>b. $36,000.00</td>
<td></td>
</tr>
<tr>
<td>Estimated Time:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Design: 16 hours</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Development: 80 hours</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Testing: 24 hours</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Total: 120 hours-Range of 108-150 hours based on -10% and +25%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sebis – Bill / Letter Vendor</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. UBR Web Portal Development / Testing</td>
<td>TBD</td>
<td></td>
</tr>
<tr>
<td>b. New Bill Development / Testing</td>
<td>Estimate not obtained</td>
<td></td>
</tr>
<tr>
<td>c. New Letter Development / Testing</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Total: Software/Infrastructure** | TBD |

**Eligibility Assumptions**
1. The program is designed for single family residences not exceeding a 2-flat residence.
2. The customer must be the current homeowner (not a renter).
3. Customers enrolled in “Senior” exemption are not eligible.
4. Customers registered with the DOB as a “vacant building” are not eligible.
5. Metered customers currently in the MeterSave program are ineligible. Non-metered accounts eligible for the UBR program may not enroll in the MeterSave program.

**Rate Assumptions**
1. The Utility Billing Relief Program only addresses water, sewer, tax, and penalty rates. There is no change to refuse rates.
Matching Process Assumptions – Phase 1:
1. Eligible customers for the UBR program will be enrolled in the 50% reduction rate on water, sewer, and taxes. The rates will be penalty exempt. No penalties will be assessed on current or future water, sewer, or tax charges while in the UBR program. SDI will be responsible for the rate setup in the Banner CIS System.
2. DOF will be responsible for establishing services with the new rates for the qualified accounts.
3. The process to match Banner CIS data with LIHEAP data will be expecting full matches. Partial matches will be disregarded.
4. The matching process will have a delimited flat file with each element being separated for name and address for example.

Matching Process – Phase 2:
1. This Proposal/Quote assumes that SDI will not build the UI/UX website for UBR Project but will still develop the required API’s for Banner integration.

Billing Assumptions – Phase 1
1. Metered customers enrolled in the UBR program will be billed monthly. The DOF will be responsible for establishing the accounts to the appropriate monthly billing cycles.
2. Metered customers enrolled in the UBR program may not have three or more consecutive estimated readings and will need to allow access to the meter to obtain actual readings. SDI will create a new report to assist the DOF/DWM with monitoring the services for estimated readings.
3. Non-metered customers enrolled in the UBR program will remain in the six-month billing schedule.

Payment Arrangement Assumptions
1. Customers enrolled in the UBR program are ineligible for payment plans (agency or City established plans). The DOF will be responsible to cancel any existing City payment plan in CIS or notify the agency if there is an outside agency payment plan.

Bad Debt Assumptions
1. Customers enrolled in the UBR program with existing bad debt will have debt removed from collection status. SDI will create new bad debt statuses in CIS for the UBR program. The DOF will be responsible for updating the existing bad debt to the new status and will notify the agencies to suspend any collection, judgment, or lawsuit activity.

UBR Graduation / Default Assumptions
1. Customers who remain in good standing in the UBR program for 13 months will have all debt waived, regardless of age, and will continue to receive the 50% reduction. SDI will
create a UBR Graduation report for the DOF to monitor the account’s good standing while in the program. The DOF will be responsible for adjusting the debt from the account.

2. Customers who fail to remain in good standing in the UBR program for 13 months will be updated to the previous rates. The DOF will be responsible for updating the account and services to allow resumption of 100% billing of charges, accruing of penalties, become eligible for “post and shut”, as well as ensure the past due becomes collectible.

3. Customers who default in the UBR program are not eligible for reinstatement.

FPC Assumptions

1. Upon the sale of the property (FPC), the full balance is due, and account is unenrolled from the UBR rates. The UBR program does not automatically transfer with the new homeowner. The DOF will be responsible for following the current FPC procedures for the change in ownership.

Collection Process Assumptions - Phase 1:

1. Eligible customers for the UBR program will be exempt from the “post and shut” processing. SDI will create a delinquency code rule in CIS to be used in the “post and shut” processing allowing the accounts to be exempt while in the UBR program. DOF will be responsible for establishing the account with the new delinquency code.

Other

1. The modifications should be configured/developed in the Banner CIS System with the consideration that other Federal/State Programs could take advantage of the LIHEAP Program.

II. General Project Assumptions

Project Assumptions

1. New project resources dedicated to this project will not start on this project until this Definition Document/Project Charter has been signed-off by all members in the Approval to Proceed Section.

2. SDI will not define tasks or develop project plans for the City of Chicago assigned tasks.

3. The project will not commence until a Project Definition/Statement of Work document has been completed and signed off/approved by the City of Chicago.

General City of Chicago Related Assumptions

1. The City of Chicago will obtain any and all consents (e.g., executed contract/amendment/notice to proceed approval) necessary for the SDI Team to begin performing the services contemplated by the project.

2. The City of Chicago will provide a designated Point of Contact (POC).

3. The City of Chicago will provide prompt review and approval of deliverables, as agreed upon with the Application / Software Integration Vendor, to meet the agreed upon project timeline.

4. The City of Chicago will make this project a high priority.
5. The City of Chicago will provide the SDI Team with full access to the relevant City of Chicago functional, technical, and business resources with adequate skills and knowledge to support the performance of services. If the City of Chicago cannot provide resources, the SDI Team can provide supplemental resources via Change Control.

6. The City of Chicago will help resolve decisions on escalated issues and process issues impacting project schedules in a timely manner. The City of Chicago will maintain open communications and inform the SDI Team of any and all City of Chicago or third-party changes that may have a direct impact on SDI responsibilities, deliverables, or timelines for this project.

7. The City of Chicago will provide SDI with contact information for City of Chicago personnel for standard operations and emergency situations.

8. The City of Chicago will communicate any scheduled maintenance efforts, or any other activity, to SDI that may have an impact on the project schedule or scope.

Change Control Assumptions

1. SDI will follow change management procedures. Change controls approved by the City of Chicago may result in reduced or additional costs to the City of Chicago.

2. Both Parties will approve or reject the Change Order from the other Party within a timely fashion.

Appendix C – Business Process Events

BUSINESS EVENTS - UBR ENROLLMENT/DISENROLLMENT
<table>
<thead>
<tr>
<th>#</th>
<th>Event</th>
<th>Resp Party</th>
<th>System</th>
<th>System Modification?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Apply for LIHEAP at satellite CEDA affiliated facility (must have latest City of Chicago Utility Bill).</td>
<td>Customer / Citizen</td>
<td>None</td>
<td>No</td>
</tr>
<tr>
<td>2</td>
<td>Verify application / eligibility requirements for LIHEAP and UBR.</td>
<td>CEDA Partner</td>
<td>LIHEAP</td>
<td>No</td>
</tr>
<tr>
<td>3</td>
<td>Send application information via UPS to CEDA Central Office (567 W. Lake Street).</td>
<td>CEDA Partner</td>
<td>None</td>
<td>No</td>
</tr>
<tr>
<td>4</td>
<td>Verify LIHEAP / UBR applications.</td>
<td>CEDA Central Office</td>
<td>LIHEAP</td>
<td>No</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>UBR Web Portal (Banner Web Service) / Banner CIS</td>
<td>Yes</td>
</tr>
<tr>
<td>5</td>
<td>Application Denied – Notify customer of denial and appeal process via mail</td>
<td>CEDA Central Office</td>
<td>None</td>
<td>No</td>
</tr>
<tr>
<td>6</td>
<td>Application Approved – Click approval, select organization (CEDA-LIHEAP) enter enrollment process date or sysdate in UBR Web Portal.</td>
<td>CEDA Central Office</td>
<td>UBR Web Portal / Banner CIS (Banner Web Service – eligibility routine)</td>
<td>Yes</td>
</tr>
<tr>
<td></td>
<td>• Generate UBR Welcome Letter (includes program framework / i.e. FPC changes)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Update delinquency code (POST / SHUT Exempt)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Move all debt or existing bad debt to new Bad Debt Status (adjust bad debt balance to $0.00) / Assign to Internal City Agency</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Populate UBR Info</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Update new rates (WT, SW, TX).</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Make Penalty exempt</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Make Bad Debt Exempt</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Notify Agency (if exists – they should cancel)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>BILLING – UBR</td>
<td>8. Generate Monthly Metered and Semi Annual Non-Metered UBR Bills (prior to changing to monthly).</td>
<td>City DOF UBCS / SDI</td>
<td>Banner CIS</td>
<td>Yes</td>
</tr>
<tr>
<td>----------------</td>
<td>-------------------------------------------------------------------------------------------------</td>
<td>---------------------</td>
<td>------------</td>
<td>-----</td>
</tr>
<tr>
<td>PAYMENTS</td>
<td>9. Customer pays bill (payments applied to new charges)</td>
<td>City DOF UBCS / SDI</td>
<td>Banner CIS</td>
<td>No</td>
</tr>
<tr>
<td></td>
<td>10. Customer doesn’t pay or partially pays bill:</td>
<td>City DOF UBCS / SDI</td>
<td>Banner CIS</td>
<td>Yes</td>
</tr>
<tr>
<td></td>
<td>• Generates UBR Reminder Notices (days past due / date of exact generation TBD).</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Generates POST Service Orders (days past due / date of exact generation TBD).</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ANNIVERSARY (12 MONTHS)</td>
<td>11. 30 Days Prior to Anniversary:</td>
<td>City DOF UBCS / SDI</td>
<td>Banner CIS</td>
<td>Yes</td>
</tr>
<tr>
<td></td>
<td>• Generates Anniversary Reminder Letter (Reminder to Pay All New Charges by Anniversary) and/or Reenrollment Reminder Letter (Customer has 30 days before Anniversary and 30 Days after Anniversary to reenroll)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>12. Anniversary – No Past due balance on new charges:</td>
<td>City DOF UBCS / SDI</td>
<td>Banner CIS</td>
<td>Yes</td>
</tr>
<tr>
<td></td>
<td>• Move to new bad debt status (Y).</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Past debt forgiven</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>13. Anniversary – Past due balance on new charges:</td>
<td>City DOF UBCS / SDI</td>
<td>Banner CIS</td>
<td>Yes</td>
</tr>
</tbody>
</table>
- Move to new bad debt status (Z).
- Past debt restored
- Charge uncharged history rows.
- Move to residential rates and remove all exemptions (detailed in step 6).

<table>
<thead>
<tr>
<th>REENROLLMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>14. Mechanism to verify continued UBR eligibility criteria.</td>
</tr>
<tr>
<td>Only allow up to 2 UBR defaults. A default is defined as follows:</td>
</tr>
<tr>
<td>- Failing to pay all new charges by the UBR Anniversary Date - Bad Debt Status of ‘Z’ (Debt Restored) – greater than 2 instances.</td>
</tr>
<tr>
<td>CEDA / City DOF UBCS / SDI LIHEAP</td>
</tr>
<tr>
<td>UBR Web Portal / Banner CIS (Banner Web Service – eligibility routine)</td>
</tr>
<tr>
<td>Yes</td>
</tr>
</tbody>
</table>

| 15. Application Reenrollment Denied |
| – Notify customer of denial and appeal process via mail |
| CEDA Central Office |
| None |
| No |

| 16. Application for Reenrollment Approved |
| – Click approval, select organization (CEDA-LIHEAP) enter enrollment process date or sysdate in UBR Web Portal. |
| - Generate UBR Welcome Letter (includes program framework / i.e. FPC changes) |
| - Update delinquency code (POST / SHUT Exempt) |
| - **DO NOT** Move all debt or existing bad debt to new Bad Debt Status (adjust bad debt balance to $0.00) Assign to Internal City Agency – This only occurs on the initial enrollment. |
| CEDA Central Office UBR Web Portal / Banner CIS (Banner Web Service – eligibility routine) |
| Yes |

- Populate UBR info
- Update new rates (WT, SW, TX).
- Make Penalty exempt
- Make Bad Debt Exempt
- Notify Agency (if exists – they should cancel collection agency payment agency plans if active)
- Update to Monthly Bill Cycle (if metered)
- Cancel Active Payment Plan in Banner (all types)
- Make Payment Plan Ineligible

**BUSINESS EVENTS – ACTIVE UBR CUSTOMER ATTEMPTS TO CREATE A PAYMENT ARRANGEMENT**

<table>
<thead>
<tr>
<th>#</th>
<th>Event</th>
<th>Resp Party</th>
<th>System</th>
<th>System Modification?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>UBR Customer attempts to create a payment arrangement.</td>
<td>Customer</td>
<td>SDI Sebis Banner CIS IVR Docugateway</td>
<td>Yes No No</td>
</tr>
<tr>
<td></td>
<td>Payment Arrangement status changed to ineligible preventing the creation in the following methods:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• In Person</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Phone</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• On-line</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**BUSINESS EVENTS - UBR FOR FULL PAYMENT CERTIFICATE - FPC**

<table>
<thead>
<tr>
<th>#</th>
<th>Event</th>
<th>Resp Party</th>
<th>System</th>
<th>System Modification?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Customer in UBR (Account Maintenance Active UBR Status and bad debt status of 'X') applies for Full Payment Certificate.</td>
<td>Customer / Catalyst / SDI</td>
<td>On-Line FPC Banner CIS</td>
<td>Yes</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Charge uncharged service history rows</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Move to residential rates and remove all exemptions (detailed in step 6).</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

2.

**BUSINESS EVENTS – NON UBR BILLING**

**BILLING – NON UBR BILLS**

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
</table>
| 1. | Generate Metered and Semi Annual Non-Metered Non UBR Bills with (if applicable):  
- Payment arrangement information  
- Fee information (i.e. Shut Off Fee, Illegal Restore Fees broken out). | City DOF UBCS / SDI | Banner CIS | Yes |
- Automatically start/stop non-metered billing after a service activation/disconnection. | City DOF UBCS / DWM / SDI | Banner CIS | Yes |
CERTIFICATE OF FILING FOR

CITY OF CHICAGO ECONOMIC DISCLOSURE STATEMENT

EDS Number: 145739
Certificate Printed on: 10/04/2019
Disclosing Party: SDI Presence LLC
Filed by: Linda Petty

Date of This Filing: 10/04/2019 12:22 PM
Original Filing Date: 10/04/2019 12:22 PM
Title: Chief Legal Officer

Matter: Amendment No. 1 to Water Management Customer Service, Billing and Information System Maintenance
Applicant: SDI Presence LLC
Specification #: 483330
Contract #: 69858

The Economic Disclosure Statement referenced above has been electronically filed with the City. Please provide a copy of this Certificate of Filing to your city contact with other required documents pertaining to the Matter. For additional guidance as to when to provide this Certificate and other required documents, please follow instructions provided to you about the Matter or consult with your City contact.

A copy of the EDS may be viewed and printed by visiting http://webapps1.cityofchicago.org/EDSWeb and entering the EDS number into the EDS Search. Prior to contract award, the filing is accessible online only to the disclosing party and the City, but is still subject to the Illinois Freedom of Information Act. The filing is visible online to the public after contract award.
**CERTIFICATE OF LIABILITY INSURANCE**

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

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

**PRODUCER**

LOCKTON COMPANIES
500 West Monroe, Suite 3400
CHICAGO IL 60661
(312) 699-6900

**INSURED**

1427688
SDI Presence LLC
200 E. Randolph St
Ste 3550
Chicago IL 60601

**COVERAGES**

<table>
<thead>
<tr>
<th>CERTIFICATE NUMBER:</th>
<th>14677272</th>
</tr>
</thead>
<tbody>
<tr>
<td>REVISION NUMBER:</td>
<td>XXXXXXXX</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>INSR</th>
<th>LTR</th>
<th>TYPE OF INSURANCE</th>
<th>ADDL SUBINS</th>
<th>POLICY NUMBER</th>
<th>LIMITS</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>X</td>
<td>COMMERCIAL GENERAL LIABILITY</td>
<td>Y</td>
<td>711-01-58-83-0002</td>
<td>EAC: 1,000,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Y</td>
<td></td>
<td>DTP: 1,000,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Y</td>
<td></td>
<td>MED EXP: 10,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>N</td>
<td></td>
<td>PR: 1,000,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>N</td>
<td></td>
<td>LG: 2,000,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>N</td>
<td></td>
<td>PROD: 2,000,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>N</td>
<td></td>
<td>LOC: 10,000,000</td>
</tr>
</tbody>
</table>

| B     | N   | WORKERS COMPENSATION AND EMPLOYER LIABILITY | N/A | 406-04-45-94-0002 | EAC: 1,000,000 |
|       |     | ANY PROPRIETOR/EXECUTIVE OFFICER EXCLUDED? | Y/N |               | DISEASE: 1,000,000 |
|       |     | DESCRIPTION OF OPERATIONS below | N/A |               | POLICY LIMIT: 1,000,000 |

| C     | N   | PROFESSIONAL LIABILITY | N | ZPL 15T8568 | 10M each claim & aggregate limit, $50,000 deductible |

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

**CERTIFICATE HOLDER**

14677272
City of Chicago
Dept. of Procurement Services
City Hall Room 806
121 N. LaSalle St.
Chicago IL 60602

**CANCELLATION**

See Attachment

**SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.**

**AUTHORIZED REPRESENTATIVE**

© 1980-2018 ACORD CORPORATION. All rights reserved.

*ACORD 25 (2016/03) The ACORD name and logo are registered marks of ACORD*
City of Chicago  
Dept. of Procurement Services  
City Hall Room 806

To whom it may concern:

In our continuing effort to provide timely certificate delivery, Lockton Companies is transitioning to paperless delivery of Certificates of Insurance.  

To ensure electronic delivery for future renewals of this certificate, we need your email address. Please contact us via one of the methods below, referencing Certificate ID **14677272**.

- Email: Chicagoedelivery@lockton.com  
- Phone: 866-297-8023

If you received this certificate through an internet link where the current certificate is viewable, we have your email and no further action is needed.

In the event your mailing address has changed, will change in the future, or you no longer require this certificate, please let us know using one of the methods above.

*The above inbox is for automating electronic delivery of certificates only. Please do NOT send future certificate requests to this inbox.*

Thank you for your cooperation and willingness in reducing our environmental footprint.

Lockton Companies

Lockton Companies  
500 W. Monroe Street, Suite 3400  
Chicago, IL 60661
SCHEDULE C-1
MBE/WBE Letter of Intent to Perform as a Subcontractor, Supplier, or Consultant

Amendment No. 1 to Water Management Customer Service,
Billing and Information System Maintenance

Project Name: Spec No.: 483330

From: SDI Presence LLC
(Name of MBE/WBE Firm)

To: SDI Presence LLC and the City of Chicago.
(Name of Prime Contractor)

The MBE or WBE status of the undersigned is confirmed by the attached City of Chicago or Cook County, Illinois Certification Letter. 100% MBE or WBE participation is credited for the use of a MBE or WBE "manufacturer." 60% participation is credited for the use of a MBE or WBE "regular dealer."

The undersigned is prepared to perform the following services in connection with the above named project/contract. If more space is required to fully describe the MBE or WBE proposed scope of work and/or payment schedule, including a description of the commercially useful function being performed. Attach additional sheets as necessary:
- Customer Service Billing and Information System Maintenance and Support Services, including but not limited to system management, maintenance and development support, data entry, database maintenance, and batch processing for billing and collection services. Perform application and support services, production control and system interface requirements. Provide professional services associated with the Utility Billing Relief Initiative.

The above described performance is offered for the following price and described terms of payment:
See SDI's Cost Proposal, SDI will invoice monthly to be paid by the City within 45 days after it receives SDI's invoice.

---

SUB-SUBCONTRACTING LEVELS
A zero (0) must be shown in each blank if the MBE or WBE will not be subcontracting any of the work listed or attached to this schedule.

0 % of the dollar value of the MBE or WBE subcontract that will be subcontracted to non MBE/WBE contractors.

0 % of the dollar value of the MBE or WBE subcontract that will be subcontracted to MBE or WBE contractors.

NOTICE: If any of the MBE or WBE scope of work will be subcontracted, list the name of the vendor and attach a brief explanation, description and pay item number of the work that will be subcontracted. MBE/WBE credit will not be given for work subcontracted to Non-MBE/WBE contractors, except for as allowed in the Special Conditions Regarding Minority Business Enterprise Commitment and Women Business Enterprise Commitment.

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

The undersigned has entered into a formal written mentor protégé agreement as a subcontractor/protégé with you as a Prime Contractor/mentor: ( ) Yes ( X ) No

NOTICE: THIS SCHEDULE AND ATTACHMENTS REQUIRE ORIGINAL SIGNATURES.

______________________________
(Signature of President/Owner/CEO or Authorized Agent of MBE/WBE) October 4, 2019

David Gupta
(Name of MBE/Please Print)

dgupta@sdipresence.com 312-580-7500

[Email & Phone Number]
JUN 24 2019

David Gupta
SDI Presence, LLC
200 E. Randolph Street, Suite 3550
Chicago, IL 60601

RE: Change in NAICS codes

Dear Mr. Gupta:

We are pleased to inform you that we have updated your certification to reflect your firm's change in NAICS codes. SDI Presence LLC continues to be certified as a Minority-Owned Business Enterprise ("MBE") by the City of Chicago ("City"). This MBE certification is valid until 06/30/2021; however, your firm's certification must be revalidated annually. In the past the City has provided you with an annual letter confirming your certification; such letters will no longer be issued. Therefore, we require you to be even more diligent in filing your annual No-Change Affidavit 60 days before your annual anniversary date.

It is now your responsibility to check the City's certification directory and verify your certification status. As a condition of continued certification during the five year period stated above, you must file an annual No-Change Affidavit. Your firm's annual No-Change Affidavit is due by 06/30/2020. Please remember, you have an affirmative duty to file your No-Change Affidavit 60 days prior to the date of expiration. Failure to file your annual No-Change Affidavit may result in the suspension or rescission of your certification.

Your firm's five year certification will expire on 06/30/2021. You have an affirmative duty to file for recertification 60 days prior to the date of the five year anniversary date. Therefore, you must file for recertification by 04/30/2021.

It is important to note that you also have an ongoing affirmative duty to notify the City of any changes in ownership or control of your firm, or any other fact affecting your firm's eligibility for certification within 10 days of such change. These changes may include but are not limited to a change of address, change of business structure, change in ownership or ownership structure, change of business operations, gross receipts and or personal net worth that exceed the program threshold. Failure to provide the City with timely notice of such changes may result in the suspension or rescission of your certification. In addition, you may be liable for civil penalties under Chapter 1-22, "False Claims", of the Municipal Code of Chicago.

Please note – you shall be deemed to have had your certification lapse and will be ineligible to participate as a MBE if you fail to:

- File your annual No-Change Affidavit within the required time period;
- Provide financial or other records requested pursuant to an audit within the required time period;
• Notify the City of any changes affecting your firm’s certification within 10 days of such change; or
• File your recertification within the required time period.

Please be reminded of your contractual obligation to cooperate with the City with respect to any reviews, audits or investigation of its contracts and affirmative action programs. We strongly encourage you to assist us in maintaining the integrity of our programs by reporting instances or suspicions of fraud or abuse to the City’s Inspector General at chicagoinspectorgeneral.org, or 866-IG-TIPLINE (866-448-4754).

Be advised that if you or your firm is found to be involved in certification, bidding and/or contractual fraud or abuse, the City will pursue decertification and debarment. In addition to any other penalty imposed by law, any person who knowingly obtains, or knowingly assists another in obtaining a contract with the City by falsely representing the individual or entity, or the individual or entity assisted is guilty of a misdemeanor, punishable by incarceration in the county jail for a period not to exceed six months, or a fine of not less than $5,000 and not more than $10,000 or both.

Your firm’s name will be listed in the City’s Minority, Women-Owned Business Enterprise, Veteran-Owned Business Enterprise and Business Enterprise Owned or Operated by People with Disabilities in the specialty area(s) of:

NAICS Code(s):

- 531390 – Other Activities Related to Real Estate
- 541511 – Custom Computer Programming Services
- 541512 – Computer Systems Design Services
- 541512 - Information Management Computer Systems Integration Design Services
- 541513 - Computer Facilities Management Services
- 541519 – Other computer Related Services
- 541690 – Other Scientific and Technical Consulting Services
- 611420 – Computer Training
- 811212 – Computer and Office Machine Repair and Maintenance
- 541611 – Administrative Management and General Management Consulting Services

Specializes in: 541611 - Utilities Database Management and Emergency Exit Planning

Your firm’s participation on City contracts will be credited only toward MBE goals in your area(s) specialty. While your participation on City contracts is not limited to your area of specialty, credit toward goals will be given only for work that is self-performed and providing a commercially useful function that is done in the approved specialty category.

Thank you for your interest in the City’s Minority, Women-Owned Business Enterprise, Veteran-Owned Business Enterprise and Business Enterprise Owned or Operated by People with Disabilities (MBE/WBE/BE/BEPD) Program.

Sincerely,

Shannon E. Andrews
Chief Procurement Officer

SEA/kr
SCHEDULE D-1
Compliance Plan Regarding MBE/WBE Utilization
Affidavit of Prime Contractor

MUST BE SUBMITTED WITH THE BID. FAILURE TO SUBMIT THE SCHEDULE D-1 WILL CAUSE THE
BID TO BE REJECTED. DUPLICATE AS NEEDED.

Amendment No.: 1 to Water Management Customer Services
Project Name: Billing and Information System Maintenance
Specification No.: 483330

In connection with the above-captioned contract, I HEREBY DECLARE AND AFFIRM that I am a duly authorized
representative of _________________________________________.
(Name of Prime Consultant/Contractor)

and that I have personally reviewed the material and facts set forth herein describing our proposed plan to achieve the
MBE/WBE goals of this contract.

All MBE/WBE firms included in this plan have been certified as such by the City of Chicago and/or Cook County,
Illinois (Letters of Certification Attached).

I. Direct Participation of MBE/WBE Firms:

NOTE: The bidder/proposer shall, in determining the manner of MBE/WBE participation, first consider involvement with
MBE/WBE firms as joint venture partners, subcontractors, and suppliers of goods and services directly related to the
performance of this contract.

A. If bidder/proposer is a joint venture and one or more joint venture partners are certified MBEs or WBEs, attach
copies of Letters of Certification, Schedule B form and a copy of Joint Venture Agreement clearly describing the role
of each MBE/WBE firm(s) and its ownership interest in the joint venture.

B. Complete this section for each MBE/WBE Subcontractor/Supplier/Consultant participating on this contract:

1. Name of MBE/WBE: SDI Presence LLC
   Address: 200 E. Randolph Street, Suite 3550, Chicago, IL 60601
   Contact Person: David Gupta, CEO
   Phone Number: 312-580-7500
   Dollar Value of Participation $ 3,865,768 or DUR
   Percentage of Participation % 67%
   Mentor Protégé Agreement (attach executed copy): ( ) Yes (x) No Add'l Percentage Claimed: 1 %
   Total Participation % 67%

2. Name of MBE/WBE: ___________________________
   Address: ______________________________________
   Contact Person: __________________________________

1 The Prime Contractor may claim an additional 0.333 percent participation credit (up to a maximum of five (5) percent) for
every one (1) percent of the value of the contract performed by the MBE/WBE protégé firm.
Schedule D-1: Prime Contractor Affidavit-MBE/WBE Compliance Plan

Phone Number: ________________________________

Dollar Value of Participation $ ________________________________

Percentage of Participation % ________________________________

Mentor Protégé Agreement (attach executed copy): ( ) Yes ( x ) No  Add'l Percentage Claimed: ___ %

Total Participation % ________

3. Name of MBE/WBE: ________________________________

Address: __________________________________________

Contact Person: _____________________________________

Phone Number: ________________________________

Dollar Value of Participation $ ________________________________

Percentage of Participation % ________________________________

Mentor Protégé Agreement (attach executed copy): ( ) Yes ( ) No  Add'l Percentage Claimed: ___ %

Total Participation % ________

4. Name of MBE/WBE: ________________________________

Address: __________________________________________

Contact Person: _____________________________________

Phone Number: ________________________________

Dollar Value of Participation $ ________________________________

Percentage of Participation % ________________________________

Mentor Protégé Agreement (attach executed copy): ( ) Yes ( ) No  Add'l Percentage Claimed: ___ %

Total Participation % ________

5. Attach Additional Sheets as Needed

II. Indirect Participation of MBE/WBE Firms

NOTE: This section need not be completed if the MBE/WBE goals have been met through the direct participation outlined in Section I. If the MBE/WBE goals have not been met through direct participation, Contractor will be expected to demonstrate that the proposed MBE/WBE direct participation represents the maximum achievable under the circumstances. Only after such a demonstration will indirect participation be considered.

MBE/WBE Subcontractors/Suppliers/Consultants proposed to perform work or supply goods or services where such performance does not directly relate to the performance of this contract:

1. Name of MBE/WBE: ________________________________

Address: __________________________________________

Contact Person: _____________________________________

09/2013
Schedule D-1: Prime Contractor Affidavit-MBE/WBE Compliance Plan

Phone Number: ____________________________

Dollar Value of Participation $ ____________________________

Percentage of Participation % ____________________________

Mentor Protégé Agreement (attach executed copy): ( ) Yes ( ) No  Add'l Percentage Claimed: ___ %

Total Participation % ________

2. Name of MBE/WBE: ____________________________

Address: ____________________________

Contact Person: ____________________________

Phone Number: ____________________________

Dollar Value of Participation $ ____________________________

Percentage of Participation % ____________________________

Mentor Protégé Agreement (attach executed copy): ( ) Yes ( ) No  Add'l Percentage Claimed: ___ %

Total Participation % ________

3. Name of MBE/WBE: ____________________________

Address: ____________________________

Contact Person: ____________________________

Phone Number: ____________________________

Dollar Value of Participation $ ____________________________

Percentage of Participation % ____________________________

Mentor Protégé Agreement (attach executed copy): ( ) Yes ( ) No  Add'l Percentage Claimed: ___ %

Total Participation % ________

4. Name of MBE/WBE: ____________________________

Address: ____________________________

Contact Person: ____________________________

Phone Number: ____________________________

Dollar Value of Participation $ ____________________________

Percentage of Participation % ____________________________

Mentor Protégé Agreement (attach executed copy): ( ) Yes ( ) No  Add'l Percentage Claimed: ___ %

Total Participation % ________

5. Attach Additional Sheets as Needed
Schedule D-1: Prime Contractor Affidavit-MBE/WBE Compliance Plan

III. Summary of MBE/WBE Proposal

A. MBE Proposal (Direct & Indirect)

1. MBE Direct Participation

<table>
<thead>
<tr>
<th>MBE Firm Name</th>
<th>Dollar Amount Participation ($)</th>
<th>Percent Amount Participation (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>SDI Presence LLC</td>
<td>$3,865,768 or DUR</td>
<td>67%</td>
</tr>
</tbody>
</table>

Total Direct MBE Participation: $3,865,768 or DUR 67%

2. MBE Indirect Participation

<table>
<thead>
<tr>
<th>MBE Firm Name</th>
<th>Dollar Amount Participation ($)</th>
<th>Percent Amount Participation (%)</th>
</tr>
</thead>
</table>

Total Indirect MBE Participation

B. WBE Proposal (Direct & Indirect)

1. WBE Direct Participation

<table>
<thead>
<tr>
<th>WBE Firm Name</th>
<th>Dollar Amount Participation ($)</th>
<th>Percent Amount Participation (%)</th>
</tr>
</thead>
</table>

Total Direct WBE Participation

2. WBE Indirect Participation

<table>
<thead>
<tr>
<th>WBE Firm Name</th>
<th>Dollar Amount Participation ($)</th>
<th>Percent Amount Participation (%)</th>
</tr>
</thead>
</table>

Total Indirect WBE Participation
Schedule D-1: Prime Contractor Affidavit-MBE/WBE Compliance Plan

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

Barbara Jackson  312-580-7563

(Name- Please Print or Type)  (Phone)

I DO SOLEMNLY DECLARE AND AFFIRM UNDER PENALTIES OF PERJURY THAT THE CONTENTS OF THE FOREGOING DOCUMENT ARE TRUE AND CORRECT, THAT NO MATERIAL FACTS HAVE BEEN OMITTED, AND THAT I AM AUTHORIZED ON BEHALF OF THE PRIME CONTRACTOR TO MAKE THIS AFFIDAVIT.

SDI Presence LLC
(Name of Prime Contractor – Print or Type)

October 4, 2019
(Date)

State of:  IL
County of:  Cook

(Signature)

David Gupta, CEO
(Name/Title of Affiant – Print or Type)

On this 4th day of October, 2019, the above signed officer _______________________, David Gupta
(Name of Affiant)

personally appeared and, known by me to be the person described in the foregoing Affidavit, acknowledged that (s)he executed the same in the capacity stated therein and for the purposes therein contained.

IN WITNESS WHEREOF, I hereunto set my hand and seal.

(Notary Public Signature)

Commission Expires:  May 29, 2023